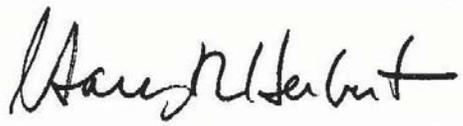


**III. RACE TO THE TOP APPLICATION ASSURANCES  
(CFDA No. 84.395A)**

Legal Name of Applicant (Office of the Governor): Governor Gary R. Herbert	Applicant's Mailing Address: Utah State Capitol Complex 350 North State Street, Suite 200 PO Box 142220 Salt Lake City, Utah 84114-2220
Employer Identification Number: 87-6000545	Organizational DUNS: 029999372
State Race to the Top Contact Name: (Single point of contact for communication) Brenda Hales	Contact Position and Office: Associate Superintendent, Student Achievement and School Success, Utah State Office of Education
Contact Telephone: 801-538-7515	Contact E-mail Address: brenda.hales@schools.utah.gov
<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>	
Governor or Authorized Representative of the Governor (Printed Name): Gary R. Herbert	Telephone: 801-538-1000
Signature of Governor or Authorized Representative of the Governor: 	Date: 5/24/10
Chief State School Officer (Printed Name): Larry K. Shumway	Telephone: 801-538-7510
Signature of the Chief State School Officer: 	Date: 5/24/10
President of the State Board of Education (Printed Name): Debra G. Roberts	Telephone: 435-438-5843
Signature of the President of the State Board of Education: 	Date: 5/20/10

**UTAH STATE ATTORNEY GENERAL CERTIFICATION**

**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):

*Mark L. Shurtleff*

Telephone:

*801-538-1191*

Signature of the State Attorney General or Authorized Representative:



Date:

*5/25/10*

**Eligibility Requirement (b)**

At the time the State submits its application, there are no legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

*The certification of the Attorney General addresses this requirement. The applicant may provide explanatory information, if necessary. The Department will determine eligibility under this requirement.*

#### **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 (American Recovery and Reinvestment Act (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](http://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)

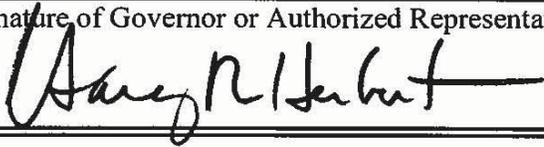
## **Other Assurances and Certifications**

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 sub awards 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

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): Gary R. Herbert	
Signature of Governor or Authorized Representative of the Governor: 	Date: 5/24/10

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

**June 1, 2010**



## Table of Contents

<b>Race to the Top Application Assurances</b> .....	<b>5</b>
<b>State Attorney General Certification</b> .....	<b>6</b>
<b>Accountability, Transparency, Reporting, and Other Assurances and Certifications</b> .....	<b>7</b>
<b>Eligibility Requirements</b> .....	<b>10</b>
<b>(A)(1)(i)</b> .....	<b>13</b>
<b>(A)(1)(ii)</b> .....	<b>44</b>
<b>(A)(1)(iii)</b> .....	<b>45</b>
<b>Evidence for (A)(1)(ii) and (A)(1)(iii)</b> .....	<b>47</b>
<b>(A)(2)(i)</b> .....	<b>57</b>
<b>(A)(2)(ii)</b> .....	<b>73</b>
<b>Evidence for (A)(2)(i)(d) and (A)(2)(ii)</b> .....	<b>75</b>
<b>(A)(3)(i)</b> .....	<b>207</b>
<b>(A)(3)(ii)</b> .....	<b>87</b>
<b>Evidence for (A)(3)(ii)</b> .....	<b>99</b>
<b>(B)(1)(i)</b> .....	<b>101</b>
<b>(B)(1)(ii)</b> .....	<b>102</b>
<b>Evidence for (B)(1)(i) and (B)(1)(ii)</b> .....	<b>104</b>
<b>(B)(2)(i) and (B)(2)(ii)</b> .....	<b>106</b>
<b>Evidence for (B)(2)</b> .....	<b>112</b>
<b>(B)(3)</b> .....	<b>116</b>
<b>(C)(1)</b> .....	<b>129</b>
<b>Evidence for (C)(1)</b> .....	<b>131</b>
<b>(C)(2)</b> .....	<b>132</b>
<b>(C)(3)</b> .....	<b>138</b>
<b>(D)(1)(i)</b> .....	<b>141</b>

<b>(D)(1)(ii)</b> .....	<b>144</b>
<b>(D)(1)(iii)</b> .....	<b>147</b>
<b>Evidence for (D)(1)(i) and (D)(1)(ii)</b> .....	<b>148</b>
<b>(D)(2)(i)</b> .....	<b>150</b>
<b>(D)(2)(ii)</b> .....	<b>153</b>
<b>(D)(2)(iii)</b> .....	<b>161</b>
<b>(D)(2)(iv)</b> .....	<b>162</b>
<b>(D)(3)(i)</b> .....	<b>170</b>
<b>(D)(3)(ii)</b> .....	<b>174</b>
<b>Evidence for (D)(3)(i)</b> .....	<b>175</b>
<b>(D)(4)(i)</b> .....	<b>180</b>
<b>(D)(4)(ii)</b> .....	<b>182</b>
<b>(D)(5)(i)</b> .....	<b>188</b>
<b>(D)(5)(ii)</b> .....	<b>199</b>
<b>(E)(1)</b> .....	<b>201</b>
<b>Evidence for (E)(1)</b> .....	<b>202</b>
<b>(E)(2)(i)</b> .....	<b>204</b>
<b>(E)(2)(ii)</b> .....	<b>215</b>
<b>Evidence for (E)(2)</b> .....	<b>228</b>
<b>(F)(1)(i)</b> .....	<b>230</b>
<b>(F)(1)(ii)</b> .....	<b>232</b>
<b>Evidence for (F)(1)(i) and (F)(1)(ii)</b> .....	<b>235</b>
<b>(F)(2)(i)</b> .....	<b>237</b>
<b>(F)(2)(ii)</b> .....	<b>239</b>
<b>(F)(2)(iii)</b> .....	<b>240</b>
<b>(F)(2)(iv)</b> .....	<b>241</b>

<b>(F)(2)(v)</b> .....	<b>241</b>
<b>Evidence for (F)(2)(i) through (F)(2)(v)</b> .....	<b>243</b>
<b>(F)(3) and Evidence for (F)(3)</b> .....	<b>243</b>
<b>(Competition Priorities</b> .....	<b>245</b>
<b>Budget Summary Table</b> .....	<b>259</b>
<b>Budget Summary Narrative</b> .....	<b>260</b>
<b>Project Level Budget Table</b> .....	<b>Appendix 5</b>
<b>Indirect Cost Information</b> .....	<b>264</b>

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

Legal Name of Applicant (Office of the Governor): Governor Gary R. Herbert	Applicant's Mailing Address: Utah State Capitol Complex 350 North State Street, Suite 200 PO Box 142220 Salt Lake City, Utah 84114-2220
Employer Identification Number: 87-6000545	Organizational DUNS: 029999372
State Race to the Top Contact Name: (Single point of contact for communication) Brenda Hales	Contact Position and Office: Associate Superintendent, Student Achievement and School Success, Utah State Office of Education
Contact Telephone: 801-538-7515	Contact E-mail Address: brenda.hales@schools.utah.gov
<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>	
Governor or Authorized Representative of the Governor (Printed Name): Gary R. Herbert	Telephone: 801-538-1000
Signature of Governor or Authorized Representative of the Governor: 	Date: 5/24/10
Chief State School Officer (Printed Name): Larry K. Shumway	Telephone: 801-538-7510
Signature of the Chief State School Officer: 	Date: 5/24/10
President of the State Board of Education (Printed Name): Debra G. Roberts	Telephone: 435-438-5843
Signature of the President of the State Board of Education: 	Date: 5/20/10

**UTAH STATE ATTORNEY GENERAL CERTIFICATION**

**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):

Mark L. Shurtleff

Telephone:

801-538-1191

Signature of the State Attorney General or Authorized Representative:



Date:

5/25/10

**Eligibility Requirement (b)**

At the time the State submits its application, there are no legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

*The certification of the Attorney General addresses this requirement. The applicant may provide explanatory information, if necessary. The Department will determine eligibility under this requirement.*

#### **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 (American Recovery and Reinvestment Act (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](http://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)

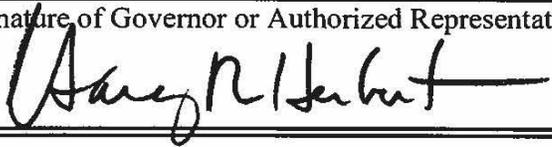
## **Other Assurances and Certifications**

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 sub awards 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

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): Gary R. Herbert	
Signature of Governor or Authorized Representative of the Governor: 	Date: 5/24/10

## ELIGIBILITY REQUIREMENTS

A State must meet the following requirements in order to be eligible to receive funds under this program.

### **Eligibility Requirement (a)**

The State's applications for funding under Phase 1 and Phase 2 of the State Fiscal Stabilization Fund program must be approved by the Department prior to the State being awarded a Race to the Top grant.

*The Department will determine eligibility under this requirement before making a grant award.*

### **Eligibility Requirement (b)**

At the time the State submits its application, there are no legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

*The certification of the Attorney General addresses this requirement. The applicant may provide explanatory information, if necessary. The Department will determine eligibility under this requirement.*

1. There are no barriers at the state level to linking data on student achievement or student growth to teachers and principals for the purpose of teacher and principal evaluation.
2. 2009 legislation (Utah Code, Section 53A-17a-163) [see Appendix 1] provides funding for a pilot program that requires participating charter schools or school districts to include "student learning gains" in determining performance-based compensation that may be awarded to an employee.
3. Additionally, the Educator Evaluation Act, (Utah Code, Section 53A-10-101 et seq.) provides no barriers to linking data on student achievement to teacher compensation, Utah Code, Section 53A-10-106(3)(f) [see Appendix 2] provides that an educator evaluation program adopted at the local level shall include multiple lines of evidence such as "student achievement data."

## 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)<sup>1</sup> 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)

- (a) Increasing student achievement in (at a minimum) reading/language arts and mathematics, as reported by the NAEP and the

---

<sup>1</sup> See Appendix D for more on participating LEA MOUs and for a model MOU.

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):

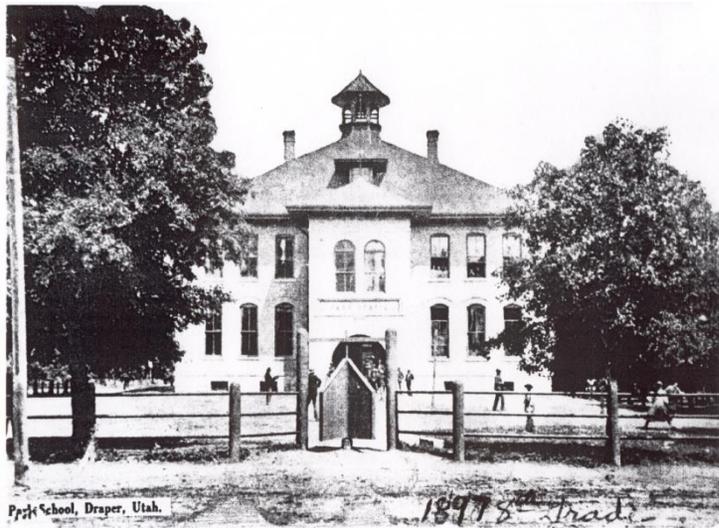
- The completed summary table indicating the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty (see Summary Table for (A)(1)(iii), below).
- Tables and graphs that show the State's goals, overall and by subgroup, requested in the criterion, together with the 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)*

**(A)(1)(i) Comprehensive Reform Agenda**



Utah has a long-standing commitment to education that began before it was granted statehood in 1896. Three months after pioneer settlers arrived in 1847, the first school was organized. By 1851, the Office of Territorial Schools had been established and given the responsibility of identifying a standard curriculum. As the state's population has grown and changed, Utah has systematically addressed the varied needs of its students, often implementing innovations decades in advance of other states. For example, Utah was the first state to equalize education funding by establishing, in 1946, a statewide funding formula. This formula ensured financial equity between our urban and more isolated frontier schools and has helped

prevent the funding imbalances experienced by many large cities as more affluent families began migrating to the suburbs.

Throughout Utah's history, our commitment to education has remained strong. Demographically, we have the highest percentage of students in public schools in the nation, and the highest class size. While the burden on our taxpayers is high due to the high amount of non-taxable federal land, our voters have historically defeated tax limitation proposals and have consistently rated education as the state's most important priority. Utah's public schools boast many successes. In the last census, 90.7% of Utahns age 25 or older had completed high school and 26.9% had earned a bachelor's degree or higher. We are a leader in teaching world languages. We increased graduation requirements in 2006, requiring more language arts, science, and mathematics. We have one of the highest rates of students who take and pass the Advanced Placement (AP) exams. In 1995, Utah began a concurrent enrollment program. In the past year, almost half of the state's juniors and seniors participated, earning college credit while completing high school graduation requirements.

Today, our most pressing challenge is meeting the needs of a burgeoning school-age population that is increasingly diverse with the resources that are available. Utah continues to address students' needs through innovation and efficiency. Utah targets its limited resources on its greatest identified needs. As a result, 82% of Utah's Local Education Agencies (LEAs) offer state-supported, full-time kindergarten programs; 37 LEAs have implemented 55 Family Literacy Centers, which serve 6,494 families. These centers provide parent literacy training to help parents instruct their children and support interactive parent-child literacy activities. Utah's four-year old Student Tutoring Achievement in Reading (STAR) program provides training for reading coaches, reading professionals, and volunteers who intervene with struggling readers. LEAs are expanding Science Technology Engineering and Math (**STEM**) offerings through a program called Utah Science Technology and Research (USTAR).

Our State Constitution assigns the responsibility for general control and supervision of education to an elected State Board of Education (State Board). For the last 40 years, the State Board has engaged in strategic planning. Our current strategic plan is based on data indicating a need to focus attention, resources, and accountability on individual student and teacher performance to ensure all students graduate college or are career ready. The State Board has conducted a series of meetings and roundtables to bring K-16 educators, parents, and business and government leaders to consensus on this strategic reform plan. In June of 2009, the State Board adopted four promises, which define Utah's current strategic efforts:

**First Promise: To ensure that every Utah student gains the literacy and numeracy skills they need for success.**

In today's world, literacy goes beyond being able to read a sentence. It includes writing, speaking, and listening skills. Every 21<sup>st</sup> century career requires twelfth grade or higher reading skills. We believe that there is no other success in our schools that can compensate for failure to teach every child to read. Our students also require strong quantitative skills. They need appropriate coursework in mathematics and career pathway information that will help them make their desired future happen. Students who make non-**STEM** career choices will need to understand and use math at least at the Algebra 2 level. Our K-12 system must include content

articulation, which will lead to a seamless transition to college and careers.

**Second Promise: To ensure that all Utah children receive high-quality instruction in every classroom every day.**

We believe that the most powerful school factor leading to successful student learning is high-quality instruction. Whenever we talk about greater student success, we focus on improving the quality of instruction. Utah is committed to developing and implementing new evaluation and measurement systems for teachers and principals that use student growth, measures of instructional quality, and stakeholder satisfaction to fairly assess teacher and principal effectiveness. High-quality instruction is the most important factor to improve student success, but it is also the least well-measured part of our public education system. Developing and implementing tools to measure and improve high-quality instruction is a centerpiece of our reform plan.

**Third Promise: To make certain that all students are engaged in curriculum that embodies high standards and relevance to the world students will encounter after high school.**

We want students to be ready for college or careers, prepared to succeed at whatever they choose. Whether a student pursues a degree in electrical engineering or becomes an electrician, we must be sure that our curriculum is relevant with appropriate standards of excellence.

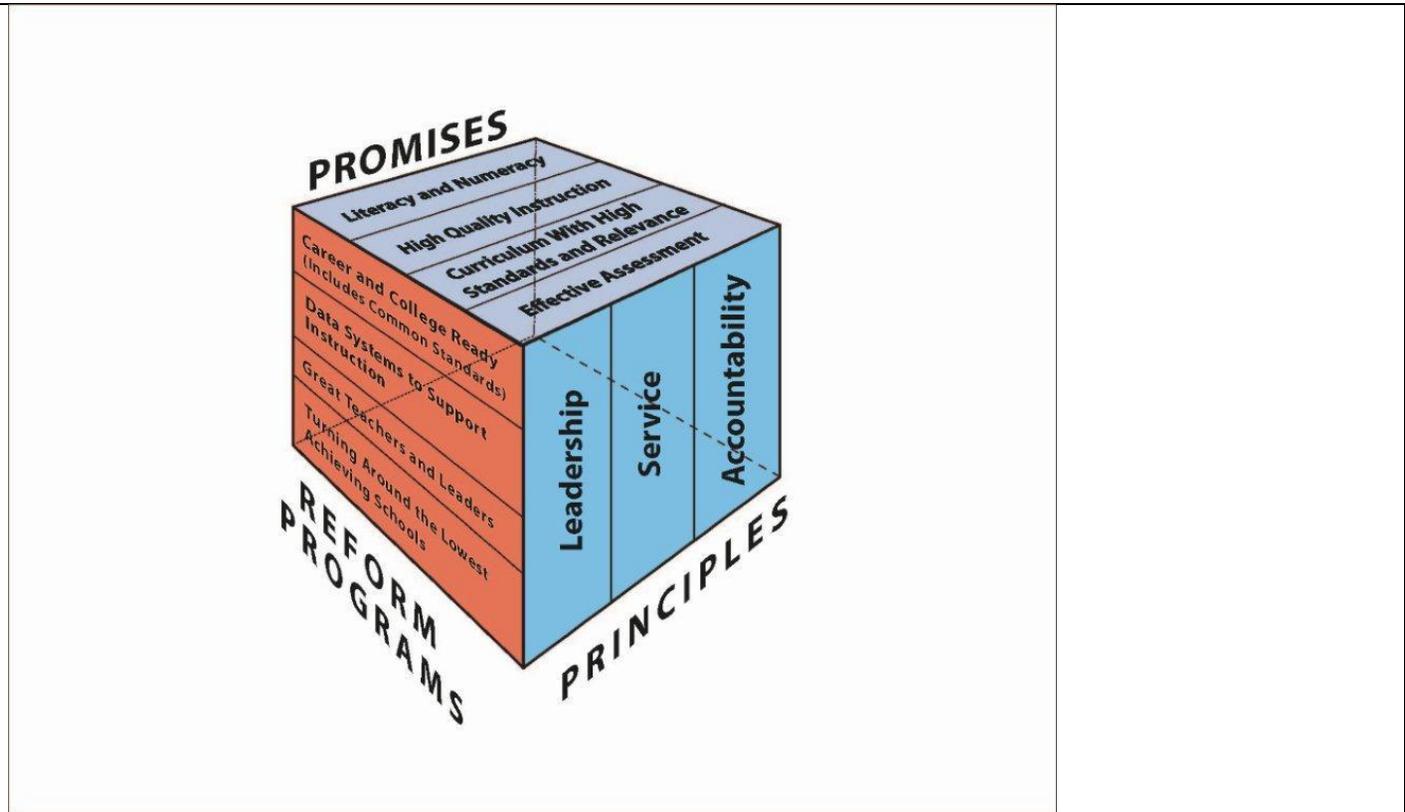
**Fourth Promise: To ensure that high-quality, effective assessments inform both instruction and accountability.**

In recent years, we've concentrated so much on testing for accountability that we seem to have lost sight of the goal of helping

teachers provide the most effective instruction for every child. We all want to know if our schools are making proficiency targets, but we can't forget that testing also needs to effectively inform teachers, parents, and students about growth; identify areas that need improvement; and give frequent formative information that can lead to urgently needed course corrections and remediation.

### **Utah's Model for Comprehensive Reform**

After the announcement of the Race to the Top Initiative, the State Board held a series of meetings to determine how the four Race to the Top (RTTT) reforms aligned with their four promises. From these meetings, the State Board determined that the promises were, in fact, very closely aligned to the reform areas in RTTT. Each reform program and each promise is designed to help all students become college and career ready. Our model for translating Utah's promises and the RTTT reforms into actual outcomes is through leadership, service, and accountability across the state, each LEA, and each school. The following graphic illustrates this concept.



**Figure 1: Utah's Model for Comprehensive Reform**

The 560,000 children who attend our schools, their parents and all Utah citizens are our clients. They have hired us to help ensure that students are prepared to be successful in life. Students must graduate from our high schools ready for life and ready for the advanced schooling and careers that will make that life a happy and productive one. The poet Robert Frost, in his poem “Stopping by Woods on a Snowy Evening” writes, “The woods are lovely, dark, and deep/But I have *promises to keep*.” We have promised the citizens of Utah that their children will be ready for the future. Our reform plan is part of that obligation—it is a guide to keeping our promises.

Our extraordinary history of commitment to education and our innovative responses to new challenges clearly position us to successfully race to the top. Utah’s educational community, led by the State Board has demonstrated the knowledge, experience, and commitment to established frameworks to implement our RTTT goals. We only lack the financial support of RTTT funds to implement reforms within the RTTT timeline. With the needed financial resources, there is no question that Utah will meet its reform goals. Utah has been identified as the state with the “Best Return on Investment in Education” (U.S. Chamber of Commerce), “Best Managed State in the Nation” (Pew Center), and “#1 in Technology Concentration and Dynamism” (Milken Institute).

**Utah: A Leader in Implementing Successful Initiatives in the Four Reform Areas**

Historically, Utah has engaged in many effective innovations, beginning with the development of state core standards in the 1850s. Utah's LEAs have been part of the core curriculum development process and have a long history of success with well-defined sets of standards and aligned assessments. Utah has core curriculum standards and master plans for achievement in the following core areas: language arts, mathematics, science, social studies, fine arts, health/physical education, educational technology, library media, and each Career and Technical Education (CTE) career area. Utah has had an aligned criterion-referenced testing program since the early 1980’s.

The Utah State Office of Education (USOE) builds capacity through leadership, service, and accountability. USOE holds monthly meetings that focus on curriculum and instruction with all of the LEAs in the state and is successfully implementing a number of projects designed to improve student achievement and reduce achievement gaps. USOE provides assistance to LEAs in the form of professional development, curriculum tools, and leadership consultation. USOE tracks and provides data in the areas of literacy, numeracy, graduation rates, teacher quality, and college success. The following examples of USOE initiatives demonstrate the current status of projects implemented in the four reform areas of RTTT:

### **Reform Area One: Adopting Standards and Assessments that Prepare Students to Succeed in the Workplace**

- The K-3 Reading Initiative, which began in 2004, has successfully combined the use of professional development (PD) and school-based reading coaches who use a three-tiered reading approach and state developed STAR program to prevent and remediate the reading difficulties of kindergarten through third grade students. This ongoing initiative is funded through a combination of legislative appropriations and local LEA tax revenue.
- Utah's *Three-Tiered Model of Instruction of Reading Instruction* has been in use for a decade. It is now used throughout the United States. The model helps teachers and principals better respond to the instructional needs of all students.
- To increase access to core learning, USOE has extended our core standards with documents that help teachers meet the needs of students with significant cognitive disorders.
- The Principals Literacy Institute trains 30-50 elementary principals annually in high-quality instructional strategies in reading.
- Family Literacy Centers are strategically located throughout the state to provide early intervention for English Language Learner (ELL) students and their parents. Software and other instructional strategies are used to jumpstart student language acquisition.
- Our Extended-day Kindergarten program, which focuses on placing at-risk students in full-day kindergarten programs, has shown success in significantly improving reading and mathematics outcomes for participating students.
- Our CTE program has resulted in increased graduation rates and focused preparation for college and careers. Over 200,000 Skills Certification Exams are successfully completed annually. CTE standards are aligned with the needs of business, industry, and higher education. Programs in engineering; biotechnology; information technology; and Pro-Start, a professional culinary arts program, have been successfully expanded.
- A parent and teen guide outlining high school to college and career pathways has been distributed to over 100,000 students. Students throughout the state have access to these programs through onsite and/or distance learning.

- Our concurrent enrollment program allows motivated students to graduate with associate degrees and receive higher education scholarships from all higher education institutions.
- **STEM Activities**
  - Our 4-6 Mathematics Initiative has shown that a combination of intense professional development, coaching, and financial incentives for teachers leads to increases in grade 4-6 mathematics achievement.
  - Utah’s secondary USTAR program extends opportunities for students to be involved in **STEM** activities by extending the school year.
  - Utah's Mathematics Engineering and Science Achievement (MESA) program, started in 1990, was developed to increase the number of underserved, ethnic minority and female students who pursue coursework, advanced study, and careers in **STEM**.
  - Utah’s Early College High School program focuses on encouraging students from underrepresented groups to pursue science and engineering associate degrees and receive automatic admission to state colleges and universities.

**Reform Area Two: Building Data Systems that Measure Student Growth and Success and Inform Teachers and Principals about How They Can Improve Instruction**

- Our outstanding, ultra high-tech, statewide longitudinal data system fulfills, in part or completely, all of the seven capabilities and twelve elements that the 2009 ARRA statewide longitudinal data system (SLDS) request for application prescribes. The objectives and outcomes of this Utah Data Alliance (UDA) project can be summarized as the fulfillment of the entire set of SLDS requirements. Some of the required elements, as based on the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES), must be completed, while others need improvements, most notably in the availability of data for decision making.
- While Utah has collected longitudinal data on reading and math since the early 1980’s, Utah’s new Utah Data Alliance

(UDS) projects (to be funded through the recently announced 2009 ARRA SLDS Grant award) will allow Utah to fully track and analyze student performance and growth from elementary through higher education or technical training.

- Utah has exchanged concurrent enrollment data between K-12 and post secondary since 2007.
- The Utah Mentor Teacher Academy has given special education teachers and coaches access to a data system to track ongoing student progress.
- USOE's Utah Test Item Pool System (UTIPS) program provides teachers access to thousands of peer reviewed items aligned with Utah's core curriculum, which may be used for formative math and reading assessments.
- USOE holds an annual Principal Data Institute that provides intensive professional development in data use, data collection, and data interpretation for K-12 data teams. The Data Institute trains principal-led school teams to establish a culture that uses data to inform instruction.

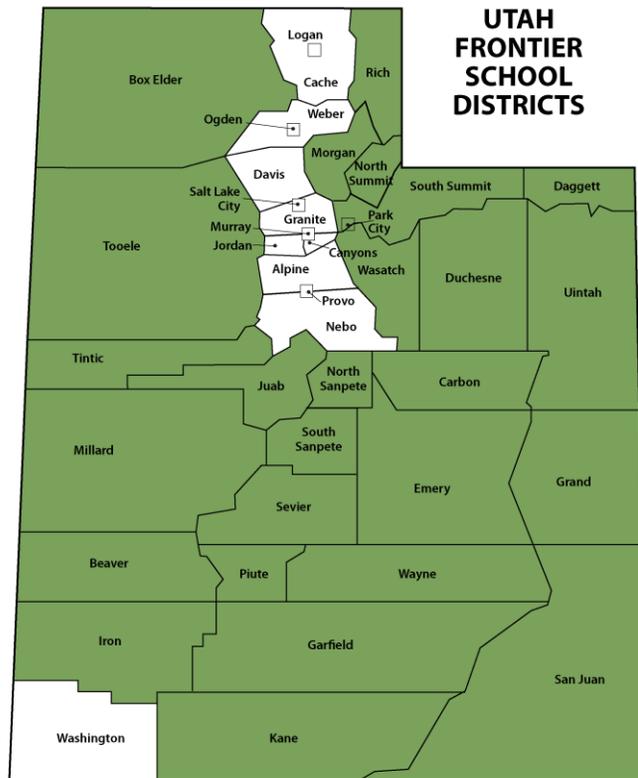
**Reform Area Three: Recruiting, Developing, and Retaining Effective Teachers and Principals, Especially Where They Are Needed Most**

- Utah is a principal member of the Multi-State Consortium for Revisioning the Professional Educator Continuum. The Consortium is working to redefine what today's teachers need to ensure they are prepared, supported, and assessed throughout the span of their career.
- Through signing bonuses and tuition scholarships, our Public Education Job Enhancement Program (PEJEP) has been very successful in recruiting and retaining teachers in hard to fill content areas and assignments.
- Utah's Alternate Route to Licensure (ARL) system gives non-traditional teacher candidates multiple ways to become teachers. Our retention rate for ARL candidates is higher than the national average, and ARL is supported in state law and by USOE sponsored courses and ongoing monitoring.
- Utah's Early Years Enhancement (EYE) Support program focuses on helping pre-service elementary teachers be successful.

- Utah’s Differentiated Compensation Pilot currently involves five LEAs including two charter schools that are experimenting with performance pay plans led by faculties.

#### **Reform Area Four: Turning around Lowest Achieving Schools**

- Utah believes that an essential element of our Race to the Top is a Race to Prevent Failure. With our Title I, Part A funding, USOE, collaborating with WestEd (a research, development, and service agency) has developed a System of Support (SOS) for struggling schools. The system requires schools to identify school leadership teams, use the SOS instructional appraisal process to identify strengths and challenges, and use this information to revise the school's improvement plan. Because our proficiency targets increase over time, all schools, regardless of their AYP (adequate yearly progress) status are encouraged to use SOS. The USOE School Improvement Team monitors progress of struggling schools through data analysis and appraisal rubrics. Because of SOS, of the twenty nine “alert” schools for 2008-2009, only two moved into improvement status for 2009-2010. The fifteen schools in improvement status in 2008-2009 also improved. Fourteen achieved AYP, five exited improvement status altogether, and nine will exit if they make AYP next year.
- All LEAs must engage in an annual review of their own comprehensive reform plan through our technology-driven Utah Consolidated Application (UCA) process.
- For almost a decade, Utah has required school improvement plans from every school in the state. These plans are based on local school data to be developed and implemented by school community councils comprised of educators, parents, and community members.
- In 2002, when the Elementary and Secondary Education Act (ESEA) was reauthorized as the No Child Left Behind (NCLB) Act, Utah identified schools that needed improvement, but most Utah schools were not starting at the extremely low performance levels of high-poverty inner city schools in other parts of the country. With State Education Agency (SEA) leadership, SOS, and local LEA effort, only one Utah school, West Middle School in Uintah School District, has gone



Source: Frontier Education Center, 2003

through a restructuring process. West Middle School is a school located in Uintah County, which is designated as a “frontier” county by the U.S. Department of Agriculture and the U.S Department of Health. Frontier counties are isolated from major service markets and have very low population density. Educators who work in frontier counties often must travel over 90 minutes from the school to receive health care, shop, or find a home. Many of the challenges associated with rural schools are exacerbated in frontier counties by the isolated nature of their locations. Utah has other frontier schools that require educators to live in LEA supplied housing and travel over four hours for basic services. The isolated nature of frontier schools makes the four federal turnaround models extremely difficult to use.

**Figure 2: Utah Frontier School District LEAs**  
**Key: Dark=Frontier**

West Middle School had not achieved AYP for several years. Under the expert direction of the USOE Support Team, the LEA leadership considered closing the school and sending the students to a school in another small town over 30 miles away. The Uintah School Board held a public hearing that was well attended by the Ute Tribal Council and parents of the students attending the school. During the course of the meeting, the parents and the Tribal Council committed to increasing the level of intervention in the case of truant students if a school could remain in their community. The School Board decided to use a turnaround model. The Board tore down the older, existing middle school and built a new K-8 school. The District hired one of the most dynamic principals in the district

to open the new school with a hand-picked staff. An adjacent elementary school was closed. The newly constituted school, Eagle View Elementary School, opened using a K-8 elementary model, which kept students primarily with one teacher for the school year. There is a new curriculum focus on literacy, a strong data driven delivery system, and much greater school to community collaboration. The school made AYP its first year of operation.

- The State Board has the constitutional authority to intervene directly in failing schools and LEAs.

As noted above, Utah has a long history of success. With stakeholder support and the work of LEAs, Utah will use RTTT program funds to increase capacity and pursue dramatic and sustainable change. Our job is to help students be successful. With the help of RTTT funds, Utah will put a measurement system in place that ensures all students receive high-quality instruction from outstanding teachers and leaders. Starting this fall teachers and leaders will begin receiving professional development so students will be taught reading and mathematics using new world-class common core standards. Our data system and assessment systems will be upgraded and used to inform student instruction on a real-time basis. Our teacher leaders will be engaged in a new system of continuous support that includes a fair evaluation system. We will use our expertise and our new funds to help our students pursue college and career goals and achieve a successful future.

### **Ambitious and measurable student outcome goals**

During the past decade, Utah has made steady progress in increasing student proficiency in Mathematics and Reading/Language Arts. Overall, we currently advance one to two percentage points every four years. Our Hispanic/Latino population is closing the achievement gap by increasing their performance at four percentage points per four-year period. Our educational performance is still too low, and gaps still separate White students and students of color. We have made a promise to our students that they will leave our public schools prepared for the future. They won't be prepared if they don't read, write and compute proficiently.

We have developed reasonable but ambitious goals. We have studied and compared our criterion referenced tests (CRTS) and our National Assessment of Educational Progress (NAEP) scores. Table 1 below shows this comparison.

**Table 1: NAEP Comparison with Utah CRTS: 2007 Reading Scores and 2009 Mathematics Scores**

Grade/Content	NAEP			Utah CRTS
	Basic	Proficient & Advanced	Total of Basic, Proficient & Advanced	
Grade 4 Reading	35	34	69	78
Grade 8 Reading	45	30	75	81
Grade 4 Math	43	40	83	75
Grade 8 Math	39	36	75	75

The NAEP and CRT scores range from identical to variations of up to nine percentage points. While this difference in scores is better than in some other states, it means separate NAEP and CRT goals must be made. We anticipate that the new common core standards combined with our work with the Summative Multi-State Resources for Teachers and Education Research Balanced Consortium (SMARTER Balanced Assessment Consortium) will result in reduced discrepancies between the NAEP and the new assessment system. Until the new assessment system is in place, we will proceed with the goals described below. When the new assessments are implemented, we will adjust the CRT goals.

Using *Utah's Comprehensive Reform Plan* and our RTTT funds, Utah will achieve the following goals:

**Student Outcome Goals: Reading/Language Arts**

**Goal 1: Utah will increase its overall student performance in reading/language arts as measured by CRTS from 80.9% to 90% proficiency by the end of the 2014-2015 school year.**

Currently Utah's overall student population improves at a rate of 1.5 to 2.0 percentage points every four years. This is not an acceptable rate of improvement. We propose an improvement rate of 2.5 percentage points annually which will bring us to the 90% goal by spring of 2015.

**Goal 2: Utah will increase its overall student performance in reading/language arts as measured by NAEP from 69% basic or above in fourth grade to 80% and from 75% basic or above in eighth grade to 85% by the end of the 2014-2015 school year.**

**Goal 3: Utah will cut the achievement gap in half for students of color in reading/language arts as measured by the CRTS by the end of the 2014-2015 school year.**

Currently, Utah's Hispanic/Latino and American Indian populations improve at a rate of three to four percentage points every four years. While this rate of advancement is better than the overall population, an unacceptable 25% gap exists between these groups and the White population. We intend to improve at a rate which is four times faster than the current rate.

**Student Outcome Goals: Mathematics**

**Goal 1: Utah will increase its overall student performance in mathematics as measured by CRTS from 68.2% to 80% proficiency by the end of the 2014-2015 school year.**

Currently, Utah's overall student population improves in mathematics at a rate of two percentage points every four years. This is not an acceptable rate of improvement. We propose an improvement rate of two to three percentage points annually which will bring us to

the 80% goal by spring of 2015.

**Goal 2: Utah will increase its overall student performance in mathematics as measured by NAEP from 83% basic or above in fourth grade to 90 % and from 75% basic or above in eighth grade to 85% by the end of the 2014-2015 school year.**

**Goal 3: Utah will decrease the achievement gap by 50% for students of color in mathematics as measured by the CRTS by the end of the 2014-2015 school year.**

Currently, Utah's Hispanic/Latino population is improving in mathematics at a rate of two percentage points every four years. Our American Indian population has not improved, but remains steady at 42.7% proficient. An enormous 30% gap exists between these groups and the White population. The gap is not acceptable. We propose an improvement rate which is four to five times faster. This will result in a narrowing of the gap by 50%.

#### **Student Outcome Goals: Graduation and Increasing College Enrollment**

**Goal 1: Utah will increase its overall graduation rate to 92% and will reduce the gap for students of color by 50%.**

**Goal 2: Utah will increase college enrollment in an institution of higher education to 55%.**

According to our Higher Education counterparts, 17,278, or 50%, of our 34,292 high school graduates (2009) enrolled in one of Utah's public colleges or universities in fall of 2009. This number does not reflect the number of Utah students attending private institutions in the state. We will work with our IHEs to increase the percentage to 55%.

#### **Reform that Keeps Utah's Promises**

*Utah's Comprehensive Reform Plan* is the culmination of a long effort. It is built on the knowledge and work of educators who saw the need for common standards as far back as 1851 and the current strategies and research-based practices of the past ten years. The

goals and projects associated with this application have been aligned to the State Board's promises to our students, the four American Recovery and Reinvestment Act (ARRA) reform areas, our School Improvement Grant (SIG), and our Statewide Longitudinal Data Grant (SLDS). They were derived from a complete review of our state data, an evaluation of our current conditions and efforts, the input from education roundtables held throughout the state, and feedback from our education stakeholders and cross-specialty groups at the USOE level. Special attention has been given to Reform Area Three: Great Teachers and Leaders. Utah believes that high-quality instruction is the **most** important factor to improving student success. It is also the least well measured part of our public education system. Developing and implementing tools to measure and improve the quality of instruction is a centerpiece of our plan. Our reform agenda includes:

**Reform Area One Goal: Implement Common Core Standards and assessments in literacy and numeracy that prepare students for success in college and careers.** By **August 2010**, Utah will adopt and begin implementation of K-12 standards in mathematics and literacy created in conjunction with the Council of Chief State School Officers and NGA consortium. **To complement and enhance the effective implementation of the new standards**, Utah will develop and implement high-quality professional development and prepare instructional materials that will increase the capacity of leaders and teachers to teach using best practices. By **July 2012**, Utah will align engaging and relevant mathematics and English courses between all high schools and Utah public and private institutions of higher education to increase student success in the first year of post secondary instruction and will develop a system to monitor student enrollment in courses preparing students for post secondary education that will provide feedback to students, parents, and schools. By **the start of the 2011-12 school year**, Utah, working with the SMARTER Balanced Assessment Consortium, will begin the piloting of high-quality assessments that are aligned with the standards to determine student academic achievement. Implementing new standards with proven practices will result in more students who read and compute at the higher levels needed to be successful in life. The timely new assessment data we receive will be used to inform instruction and allow for faster intervention for both struggling and gifted students.

**Reform Area Two Goal: Refine Utah’s Data Systems to ensure that student growth and proficiency in literacy and numeracy is measured, data can be used in a timely manner to inform teachers and principals about instruction, and the system includes data that measures instructional quality in the classroom for formative and summative educator evaluations.** By **December 2014**, Utah will fully implement a statewide, high-quality longitudinal data system to measure the academic achievement of students and link their achievement to educator readiness and preparation. Every parent, teacher, leader, and policymaker in the state will have information that will lead to quick corrections and interventions for students. In addition, all participating LEAs will adopt and implement local instructional improvement systems to support the effective use of student data to inform instruction. Through the use of local data management tools and a common state data dashboard, all schools, LEAs and the State will be able to track progress of common goals for students. To increase capacity, by December 2014, all LEA data teams, including at minimum superintendents, curriculum directors, and assessment directors, will participate in professional development using the statewide data and create a plan for ongoing LEA training. Using critical data more efficiently will help us target individual groups of students in a faster, more coordinated, manner. The outcome will be more students that are prepared and ready for college and careers.

**Reform Area Three Goal: Ensure that all Utah children receive high-quality instruction in every classroom every day by revising the professional educator continuum in a manner that recruits, develops, and retains effective teachers and leaders and evaluates their performance in terms of measures of instructional quality, student growth, and stakeholder input.** Students learn from great teachers and leaders. If our aim is to improve student learning, we must raise the quality of instruction. By **December 2014**, the State Office of Education, working with our higher education partners, will implement a new statewide continuum of support for developing practicing teachers and principals. Also by **December 2014**, all of Utah's K-12 teachers will participate in LEA evaluation systems that require the use of high-quality instructional strategies evidenced by appropriate and approved measures of quality instruction (including observations of teaching, student growth data, and stakeholder evaluation). This new evaluation system

will allow all LEAs to have in place a means by which effective and highly-effective teachers and principals are identified by the schools and LEAs in which they work. The new system will be used to support and strengthen good teachers and make great teachers even better. The system will enable all participating LEAs to have a reliable and valid means by which ineffective teachers and principals are identified by the schools and LEAs in which they work and are remediated or terminated. The outcome will be more students prepared and ready for college and careers.

**Reform Area Four Goal: Ensure that all Utah children are proficient in reading and math, receive quality instruction every day, and participate in relevant and engaging coursework by turning around our lowest-achieving schools.**

Utah believes that prevention is the key to ending poor performance by schools. Utah encourages improvement efforts that use collaboration and build positive school and community climate. We will continue to use our SOS and will expand the process to all state schools that need improvement. In addition, by **fall of 2010**, all Title I schools identified as persistently low achieving, that have not responded to SOS efforts to improve student achievement, will immediately begin one of the four school intervention models. Also by **fall 2010**, Utah will have a system in place to identify secondary non-Title I schools that are at risk of becoming persistently lowest achieving and begin school improvement intervention. The outcome from these activities will be more students prepared and ready for college and careers.

#### **Path to Achieving Identified Goals**

*Utah's Comprehensive Reform Plan* [see Appendix 3] is designed to increase Utah's system-wide capacity to successfully address the key elements of needed K-12 reform. Specifically, the plan will help us implement our initiatives with a wider impact and achieve statewide literacy and numeracy, increase effective teaching K-12, assist us in creating school environments that are more conducive to learning, and engage the community in turning around struggling schools. The paths described below follow the outline of projects and activities found in *Utah's Comprehensive Reform Plan*. Each path includes a description for the proposed projects in each of the

four reform areas. Each description is accompanied with the rationale for including the project in the plan. State goals, student outcomes, and supporting rationales align with the projects and key activities. More detailed descriptions of the activities are outlined in *Utah's Comprehensive Reform Plan* included in Appendix 3.

### **Path to Achieving Identified Goals for Reform Area One**

Implementation of the following projects will allow Utah to meet the Reform Area One Goal and our student outcome goals.

#### **Project One: Adoption and Implementation of the New Common Core Standards in Reading/Language Arts and in Mathematics (supports Reform Area One Goal and Competitive Priority 2: STEM)**

Upon adoption of the common core standards, Utah will prepare and provide professional development to support implementation of the new reading/language arts and mathematics common core standards.

**Rationale:** Utah has successfully used rigorous core standards for over a century. The adoption of nationally recognized, relevant common core standards will provide a more stable set of expectations for teachers, students, parents, higher education, and other interested stakeholders. This will result in greater consistency in teacher lesson preparation, concept instruction, and improvement in student outcomes.

#### **Project Two: Using the Common Core Standards to Ensure Literacy for all Utah Children (supports Reform Area One Goal)**

Utah will:

- Develop Web-based lesson plans for reading/language arts areas that ensure alignment across schools/classrooms regardless of variations in materials and which capture the experience and talents of master teachers and the use of best practices;
- Embed reading into the science, social studies, healthy lifestyles, and fine arts cores, and CTE standards;
- Implement recommendations for expansion of the literacy initiative through eighth grade with a focus on adolescent literacy;

and

- Continue to support the work of Family Literacy Centers and use of ELL software to assist students with acquisition of English academic language skills and increase reading/language arts proficiency.

**Rationale:** The adoption of new common core standards gives Utah the opportunity to address all aspects of effective delivery of reading instruction. Using lessons learned from our successful K-3 Literacy Initiative, professional development coaching, and use of Utah's "*Three-Tiered Model of Reading Instruction*" will help us implement the new core. Expanding our literacy initiative, while implementing the new core, will help us increase our capacity to deliver high-quality reading instruction that will increase student achievement in reading/language arts, our high school graduation rate, and college enrollment.

**Project Three: Using the Common Core Standards to Ensure Mathematics Literacy for All Utah Children (supports Reform Area One Goal and Competitive Priority 2: STEM)**

Utah will:

- Develop Web-based lesson plans for mathematics that ensure alignment across schools/classrooms regardless of variations in materials and which capture the experience and talents of master teachers and the use of best practice;
- Create rigorous and relevant math courses that are an alternative to the traditional calculus track, while avoiding the historic problem of "dumbing down"; and
- Prepare and implement recommendations for a state K-6 mathematics initiative and an algebra mathematics initiative.

**Rationale:** The adoption of new common core standards gives Utah an opportunity to address all aspects of effective delivery of mathematics instruction. Using lessons learned from our successful 4-6 Mathematics Initiative, professional development, and coaching will help us implement the new core. Expanding our mathematics initiative, while implementing the new core, will help us increase our capacity to deliver high-quality mathematics instruction, which will increase our high school graduation rate and increase college enrollment.

**Project Four: Ensuring Post secondary Success (supports Reform Area One and Competitive Priority 2: STEM, and Priority 5: Invitational Priority - P-20 Coordination, Vertical and Horizontal)**

Utah will:

- Create annual information for students and parents regarding college and career pathways and aligned coursework beginning at the end of sixth grade and continuing through twelfth grade;
- Revise and add academic pathways to the CTE pathway materials;
- Work with LEAs and higher education to advise and initiate secondary renewal and reform;
- Continue coordination with higher education to ensure that dual and concurrent enrollment courses that lead to an associate degree are offered and develop at least five areas of emphasis for study that include sufficient flexibility to accommodate academic and CTE issues;
- Using lessons learned from Utah's highly effective AP program, work with two high-need LEAs as a pilot to ensure that disadvantaged subgroups have equal access to AP and concurrent enrollment programs;
- Coordinate with higher education to review and ensure that English and mathematics courses are vertically and horizontally aligned and that other current courses required for graduation are aligned to student needs for career and college readiness;
- Review the data and reports from current **STEM** initiatives and propose continued, enhanced, or new initiatives, including CTE initiatives, that increase student participation in the study of **STEM** fields; and
- Work with business, industry, and higher education partners to define needs for a quality workforce and develop instruction to support acquisition of skills to meet those needs.

**Rationale:** Utah has implemented many successful initiatives designed to help secondary students prepare for college and careers. Enhancing these initiatives and using information gathered from the National High School Center reports will help Utah deliver the core in a manner that leads to greater student engagement, higher levels of achievement, and horizontal and vertical coordination

between school levels and higher education.

**Project Five: Improving Early Learning Outcomes (supports Invitational Priority 3: Innovations for Improving Early Learning Outcomes)**

Utah will:

- Review data and reports from Utah's K-3 Reading Initiative and use data to identify and replicate high-performing projects and practices;
- Maintain and expand full-day kindergarten to eligible students and use data to identify and replicate high-performing projects and practices; and
- Support early intervention programs for high-need Pre-Kindergarten (Pre-K) children by reviewing data and reports from the Utah Preparing Students Today for a Rewarding Tomorrow (UPSTART), Early Learning Initiative (a Waterford Institute Project for in-home, computer-based preparation for school success), CTE sponsored preschools, and other state preschool programs.

**Rationale:** The foundation for success in reading and mathematics begins before kindergarten. This is especially true for economically disadvantaged students, English language learners, and students with disabilities. We have learned from our optional extended-day kindergarten initiative, that early intervention at the preschool level is essential to narrowing achievement gaps.

**Project Six: Refinement of Utah Performance Assessment System for Students (U-PASS) Testing (supports Reform Area One Goal)**

Utah will participate in a consortium to:

- Design and implement testing systems and high-quality assessments aligned to the new common core standards that will evaluate both student growth and status;

- Refine assessments for English language learners and students with disabilities;
- Design and implement testing systems that use computer technology; and
- Provide assistance and recommendations for informal, ongoing formative assessment of math and reading in all schools.

Utah will also:

- Continue with the existing testing pilot and expand the current testing pilot program;
- Revise the high school "exit" exam requirements; and
- Create a common, standard kindergarten entry and post assessment.

**Rationale:** Utah has successfully used rigorous core assessments for over forty years. The adoption of nationally recognized, relevant common core standards will require development and adoption of assessments that align with the new standards.

### **Path to Achieving Identified Goals for Reform Area Two**

Implementation of the following projects will allow Utah to meet the Reform Area Two Goal and our student outcome goals.

#### **Project One: Expansion and Adaptation of State Longitudinal Data Systems (SLDS) (supports Reform Area Two Goal)**

This project consists of seven activities. The first five activities summarize SLDS grant outcomes. Utah was one of 20 states awarded a grant in the ARRA/2009 SLDS grant competition. The Utah ARRA/2009 SLDS grant brings several state agencies together to share de-identified data and coordinate analyses and research using those data. Completion of this project will allow Utah to fully implement a statewide, high-quality, longitudinal data system.

**Rationale:** Our outstanding, ultra high-tech, statewide longitudinal data system fulfills, in part or completely, all of the seven capabilities and twelve elements that the 2009 ARRA statewide longitudinal data system (SLDS) request for application prescribes. Utah has a P-20 longitudinal system that meets most of the America COMPETES required elements. With its ARRA/2009 SLDS grant application (#384A1000056), Utah has been awarded funds to enhance its existing longitudinal system and fully meet all the

America COMPETES requirements.

**Project Two: Effective Data Access for Instructional Improvement (supports Reform Area Two Goal)**

Utah will increase the acquisition, adoption, and use of local instructional improvement systems (technology-based tools and other strategies) that provide teachers, principals, administrators, and researchers with meaningful support and actionable data to systemically manage continuous instructional improvement. Stakeholders will have information and resources they need to inform and improve instructional practices, decision-making, professional development activities, and overall effectiveness. The original targeted completion date for this project was 2025. SLDS grant funding will be used to accelerate completion to within five years.

**Rationale:** Utah has a robust longitudinal data system. For data to be used effectively to improve instruction and increase student learning, the appropriate technology must be used provide accessibility to the data.

**Project Three: Effective Data Use (supports Reform Area Two Goal)**

Using lessons learned from Utah’s Principal Data Institute, Utah will provide professional development to LEAs in the use of data to inform instruction, to support professional learning communities, and to drive school improvement strategies, and in the understanding and use of at-risk, dropout, and graduation data. The original targeted completion date for this project was 2025. RTTT funds will be used to accelerate completion to within five years.

**Rationale:** For data to be effectively used to improve instruction and increase student learning, LEA administrators, principals, and teachers must have the skills, knowledge, and dispositions they need to use data effectively.

**Path to Achieving Identified Goals for Reform Area Three**

Implementation of the following projects will allow Utah to meet the Reform Area Three Goal and our student outcome goals.

### **Project One: Using Student Data to Assist in Measuring Instructional Quality**

Utah will:

- Utilize data in our student data warehouse to inform teacher and principal evaluation; and
- Expand the use of our data system to house teacher/principal effectiveness data.

**Rationale:** Utah already has an electronic warehouse of student data and electronic educator files. However, while these robust data systems are currently providing us the framework to directly tie student data to teacher effectiveness data, we haven't utilized the integration of systems to inform educator improvement. Two primary activities have been designed to make better use of student data by informing statewide instructional practices and teacher effectiveness.

### **Project Two: Developing and Implementing Measures of Instructional Quality**

Utah will:

- Examine current research and make recommendations for instructional standards and measures;
- Develop a toolkit of resources to support LEAs in implementing instructional quality standards and measures;
- Pilot the toolkit in frontier and urban/suburban settings; and
- Adapt and pilot the toolkit to apply to local LEA context and existing evaluation standards.

**Rationale:** Students cannot learn without great teachers who deliver high-quality instruction. In order to measure instruction, we must define high-quality instruction and use the definition to develop instructional expectations for educators.

### **Project Three: Revise and Implement Utah Professional Teaching Standards**

Utah will:

- Revise the Utah Professional Teaching Standards to incorporate measures of instructional quality, stages of career development, expectations for student growth, and rubrics for evaluation;

- Disseminate the standards through on-line brochures, seminars, and LEA professional development to ensure fidelity of implementation and LEA alignment between evaluation instruments and standards; and
- Provide exemplars of instructional excellence outlined in the updated Utah Professional Teaching Standards by integrating two on-line tools.

**Rationale:** The Utah Professional Teaching Standards (UPTS) are the foundation for many LEA evaluation systems, university teacher preparation curriculum, and ongoing professional development support, including mentoring of new teachers. Our review of current statewide evaluation practices makes clear that a more current and consistent instructional-based framework and accompanying tools are needed to ensure that standards-based evaluation is connected to teacher effectiveness and student growth. The revised UPTS will serve as the foundation for statewide evaluation, teacher preparation and professional development.

#### **Project Four: Implement Statewide Educator Evaluation System**

Utah will:

- Convene a stakeholder group to develop a statewide educator evaluation framework;
- Create an evaluation framework and toolkit to facilitate measurement of instructional quality; provide technical assistance for LEA adaptation and implementation; and develop and implement a statewide framework for annual teacher evaluation that includes stakeholder input, student growth, and measures of instructional quality;
- Pilot the evaluation framework and toolkit including professional development and technical assistance;
- Provide professional development to all LEAs and technical assistance for implementation where needed; and
- Examine existing LEA evaluation systems for alignment and make recommendations for improvement where needed and provide ongoing technical assistance and monitoring.

**Rationale:** Utah's current evaluation system requires that teachers and principals be evaluated every three years based on performance. This system is used to inform full licensure, retention, tenure, and potential removal from the profession. This project

will add measures of student growth and measures of instructional quality to evaluation measures. It will also change evaluations to annual evaluations, inform professional development, and be used to fairly inform compensation and promotion.

#### **Project Five: Develop and Implement Instructional Leadership Standards**

Utah will:

- Create a state framework for principal evaluation; focused on instructional leadership;
- Hire an expert in principal evaluation to assist with the development of a statewide principal evaluation system based on standards;
- Adopt principal standards into State Board Rule;
- Assist and monitor LEAs progress with implementation of new principal evaluation system;
- Contract with an outside evaluator to ensure fidelity of planning, development, and implementation; and
- Ensure instruments are valid and reliable.

**Rationale:** Utah recognizes that the key to sustaining high-quality instruction in every classroom is the school principal. Many LEAs currently have principal evaluation systems in place based on supervisor observations and stakeholder input. Current State Board Rule does not define requirements for evaluation of principals nor does it provide a set of standards by which principal evaluation systems can be developed. The new framework will include both summative and formative measures and will have a foundation in research-based standards. The principal standards will include the knowledge, skills, and attitudes that are needed to lead effectively to improve instruction. A focus on instructional leadership with the goals of *Promises to Keep* at the forefront will align principal practices with intended student outcomes. Doing so will help ensure that Utah students have access to high-quality instruction in every classroom.

#### **Project Six: Providing Statewide Policy and Resources for Equitable Distribution**

Utah will:

- Program our data system to house **effectiveness** data as part of the educator record, making it easier for LEAs to make hiring and placement decisions;
- Conduct a thorough analysis of staffing patterns by LEAs and provide strategies for improvement. Data set for analysis will include transfer data, freshman teacher class data, exit data, and effectiveness data. Make recommendations to LEAs for improvement based on analysis;
- Conduct a statewide Teacher Working Conditions Survey to determine targeted factors of retention based on working environment;
- Expand the Teachers-Teachers.Com recruitment tool to provide more thorough reporting on recruitment efforts and ensure all LEAs and Institutes of Higher Education (IHEs) are using the tool as their primary application; and
- Work with county commissions and legislators to provide housing incentives and loan forgiveness programs to teach in frontier areas.

**Rationale:** Utah must provide policy, direction, and resources to support LEAs in ensuring effective and qualified teachers in every school. Students, especially in impoverished areas and in hard to staff frontier settings, must have equitable access to great teachers.

### **Project Seven: Utah Continuum of Support for Educator Excellence (supports Reform Area Three Goal)**

#### Part A: Pre-Practitioner Pathway

Utah will:

- Develop and implement teacher preparation program approval standards to augment current approval by National Council for Accreditation of Teacher Education (NCATE) and Teacher Education Accreditation Council (TEAC) and ensure quality in all teacher preparation programs in Utah. Standards will focus on millennial teachers, 21st century learners, robust field experiences, and pedagogy embedded in content. Approval processes will include accountability measures, timelines,

performance expectations;

- Design and implement a pilot resident professional development school model for resident teacher preparation, including co-teaching assignments, internships, and job-embedded coursework;
- Continue the use of the USOE ARL program and expand support for ARL candidates in urban, suburban, and rural/frontier settings; and
- Adopt a statewide performance assessment as an exit requirement from teacher preparation programs.

#### Part B: Novice Practitioner Pathway

Utah will:

- Design and implement a pilot program for a university and LEAs to provide collaborative induction support as a seamless transition to full licensure;
- Provide start-up funds for LEAs to create induction programs that include release time to work with trained mentors, reduced class loads, and reduced non-classroom assignments; and,
- Expand rural/frontier outreach for educators to meet "highly qualified" teacher requirements through on-line coursework and on-line community support.

#### Part C: Developing Practitioner Pathway

Utah will:

- Adopt high-quality professional development standards to ensure that professional learning for all educators results in positive changes in student learning and improvements in instructional quality;
- Implement the National Staff Development Council (NSDC) Standards Assessment Inventory (SAI) to establish baseline information regarding the effectiveness of current statewide professional development efforts and provide on-going monitoring

of professional development improvement;

- Develop and provide resources for LEAs to provide career advancement and leadership opportunities (i.e., learning teams, coaching, peer evaluations); and
- Provide standards and configurations for effective professional learning communities.

#### Part D: Experienced Practitioner Pathway

Utah will:

- Develop a cadre of teacher leaders who are expert in using formative assessment to improve student learning resulting in capacity building for LEAs;
- Develop models of differentiated staffing options (i.e., full-time release: one-third with new teachers, one-third on school projects, one-third working with universities); and
- Provide leadership opportunities for teacher leaders outside of the classroom to enhance their content knowledge and leadership skills.

**Rationale:** Utah is establishing a statewide continuum of support for developing and practicing teachers. This initiative will ensure that Utah educators have opportunities for personal advancement, ongoing professional development, and support throughout the scope of their career. It will also ensure that all Utah students have access to high-quality instruction in every classroom.

#### Part E: Principal Leadership Pathway

Utah will:

- Improve administrator preparation programs through: (a) development of state standards that include focus on instructional leadership and (b) review and revision of entrance requirements into principal evaluation programs;
- Work with LEAs to develop and implement collaborative induction and coaching programs for principals; and

- Provide high-quality professional development, including on-line communities, face-to-face instruction, and regional academies for practicing principals.

**Rationale:** Utah is establishing a statewide continuum of support for developing and practicing teachers. This initiative will ensure that Utah educators will have opportunities for personal advancement, ongoing professional development, and support throughout the scope of their career. It will also ensure that all Utah students have access to high-quality instruction in every classroom.

#### **Path to Achieving Identified Goals for Reform Area Four**

Implementation of the following projects will allow Utah to meet the Reform Area Four Goal and our student outcome goals.

#### **Project One: System of Support for Low-Achieving Schools (supports the Reform Area Four Goal)**

Utah will:

- Identify the lowest-achieving Title I schools and other non-title one schools in need of improvement;
- Work with LEAs to implement the Utah Title I System of Support for identified Title I and other schools in need of improvement;
- Work with LEAs to implement a higher level of mandatory SEA support for identified Title I schools that have not made significant progress;
- Support turning around schools that do not significantly respond to the Utah Title I System of Support by implementing one of the four school intervention models.

**Rationale:** Utah believes that the two critical elements needed to ensure that our schools meet the needs of their students are preventing failure through the use of our System of Support (SOS) model, and the use of an aggressive and cooperative intervention model to improve achievement in low-performing schools. SOS is very effective in preventing Title I schools from reaching the persistently low-performing schools designation. This program turns around Utah Title I schools by focusing resources on research-

based strategies that increase achievement. We will continue our SOS process and expand it to all state schools that need improvement and, by fall of 2010, begin using one of the four school intervention models in our Persistently Lowest-Achieving Title I schools that have not responded to SOS efforts to improve student achievement.

**Project Two: Preventing Low-Achieving Schools (supports the Reform Area Four Goal )**

Utah will identify and select secondary schools that are at risk of becoming persistently low achieving schools and use its SOS to jumpstart improvement.

**Rationale:** SOS has been very effective in preventing Title I schools from reaching the persistently low-performing schools designation. Utah will use the lessons learned and RTTT funding to prevent select non-Title I secondary schools from becoming persistently low-performing schools.

**(A)(1)(ii) Commitment of Participating LEAs to State Plan and Effective Implementation of Four Reform Areas**

**Extensive State Support and Dedicated Leadership**

When Utah decided to submit an RTTT application, a process was developed by State Superintendent Larry Shumway that brought all LEAs and other stakeholders together to frankly review our current conditions; engage in honest, transparent discussion about our needs; and come to consensus regarding what our future efforts should be. In all of these discussions, our need to meet our responsibilities to Utah's children was forefront. We conducted roundtables and informal discussions and shared information with legislators, colleges of education, business leaders, our teacher and principal associations, and Parent Teacher Association (PTA), in addition to LEAs. Due to this collaboration, our LEAs, our stakeholders, and the State Office of Education reached consensus on our comprehensive reform plan. Of our 111 LEAs, 100% of our 41 district LEAs and 95.7% of our 70 charter LEAs have elected to become participating LEAs. They are committed and anxious to receive funding and to implement the plan. The RTTT funds will give

Utah an unprecedented opportunity to widely disseminate successful practices, jumpstart reform, and increase LEA capacity for meeting RTTT student outcome goals. *Utah's Comprehensive Reform Plan*, in Appendix 3, outlines the specific activities each participating LEA has agreed to perform. Utah's Memorandum of Understanding (MOU) reinforces the pledge that each LEA is making. It requires LEAs to participate in all state reform efforts.

With our stable, experienced leadership team, Utah is uniquely positioned to lead the nation. Utah's constitution places the responsibility for education with a non-partisan elected State Board. This board in turn appoints a State Superintendent who holds one of only four offices mandated by the Utah Constitution. Dr. Larry Shumway, our State Superintendent, has the constitutional power to act for the State Board in exerting general control and supervision over our LEAs. Any interventions or directives needed to enforce or implement our plan can take place quickly and easily. Superintendent Shumway has the confidence of our state educators and government leaders. He is a thoughtful, dedicated leader who helped our State Board articulate and define our core promises.

**(A)(1)(iii) Participating LEAs Translate into Broad Statewide Impact and Ability for State to Reach Goals Overall and by Student Subgroup**

Because 97.3% of our LEAs (100% of district LEAs and 95.7% of charter school LEAs) have elected to be participating LEAs, our reform efforts will directly impact nearly every student in the state. This commitment translates into 41 of 41 district LEAs, 67 of 70 charter LEAs, which includes 997 schools, 560,017 K-12 students, and 197,167 students in poverty (99.9% of students in poverty). This high percentage of participation will allow us to reach critical mass in a short period of time, to make the envisioned improvements in our student outcomes, including closing the achievement gap and increasing post secondary transition and retention. Our historical record of responding to new challenges and our commitment to high expectations for all students will help us meet our goals. We will build on our successes and use the momentum from our current outstanding efforts to jumpstart our reforms. Our use of common benchmarks at the SEA, LEA, and schools level will help us respond quickly to solve implementation problems and keep

track of our progress. With or without RTTT funding, Utah is committed to achieving our student outcome and reform goals. We know that this will be difficult, but we believe that we must keep our constitutional promise to our students to see that they have the skills and knowledge they need to be successful in today's world.

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

- See Appendix 4 for an example of Utah's standard Participating LEA MOU.
- See table below for evidence of (A)(1)(ii)(b).
- See table below for evidence of (A)(1)(ii)(c).

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

- See table below for evidence of (A)(1)(iii).
- See bulleted points above the table in section (A)(1)(i). See below for adjusted goals if Utah were not to receive a RTTT award.

**State Goals if Utah Did Not Receive RTTT Program Grant Award:**

Because Utah's RTTT goals were adopted by the State Board as part of its *Promises to Keep Initiative*, the areas of emphasis will remain the same if Utah is not awarded RTTT funding. Without RTTT funds, Utah does not have the capacity to move all four reform areas forward quickly and simultaneously. Although we have a high taxing effort, Utah has the largest percentage of children in the United States per capita, the highest birth rate per capita, and the lowest state taxable property base (21%) due to the high percentage of land within our geographic borders owned by the federal government. In the last decade, our population has grown by 27%. We have become more diverse and have many students with critical needs. The U.S. Census Bureau's 2008 statistics showed that Utah's Hispanic/Latino population had grown 51% since 2000. In some LEAs the growth rate was even greater. In Washington County the

increase was 121%. Although the Legislature has increased funding for education by 48% over the last decade, Utah is still last in per student funding in the nation. The federal contribution to education in Utah is \$650 per student compared to the national average of \$968. The fact that Utah performs as well as it does is a tribute to the dedication of our teachers, parents, and administrators. The same dedication will support our RTTT efforts.

Utah’s intent is to use the RTTT funding to jumpstart and expedite the projects necessary for achieving the RTTT goals. Without these funds, Utah lacks the financial resources to meet the identified RTTT timelines. The target completion of the *Promises to Keep Initiative*, if limited to current funding resources, would be ten years (2020).

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

- See tables below for evidence of (A)(1)(ii) and (A)(1)(iii).

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

<b>Elements of State Reform Plans</b>	<b>Number of LEAs Participating (#)</b>	<b>Percentage of Total Participating LEAs (%)</b>
<b>B. Standards and Assessments</b>		
(B)(3) Supporting the transition to enhanced standards and high-quality assessments	108	100%
<b>C. Data Systems to Support Instruction</b>		
(C)(3) Using data to improve instruction:		
(i) Use of local instructional improvement systems	108	100%
(ii) Professional development on use of data	108	100%
(iii) Availability and accessibility of data to researchers	108	100%
<b>D. Great Teachers and Leaders</b>		
(D)(2) Improving teacher and principal effectiveness based on performance:		
(i) Measure student growth	108	100%

(ii) Design and implement evaluation systems	108	100%
(iii) Conduct annual evaluations	108	100%
(iv)(a) Use evaluations to inform professional development	108	100%
(iv)(b) Use evaluations to inform compensation, promotion and retention	107*	99.1%
(iv)(c) Use evaluations to inform tenure and/or full certification	106*	98.1%
(iv)(d) Use evaluations to inform removal	108	100%
<b>(D)(3) Ensuring equitable distribution of effective teachers and principals:</b>		
(i) High-poverty and/or high-minority schools	99^	91.7%
(ii) Hard-to-staff subjects and specialty areas	105^	97.2%
<b>(D)(5) Providing effective support to teachers and principals:</b>		
(i) Quality professional development	108	100%
(ii) Measure effectiveness of professional development	108	100%
<b>E. Turning Around the Lowest-Achieving Schools</b>		
(E)(2) Turning around the lowest-achieving schools	99#	91.7%

All district LEAs are participating in every area. \*Two of the charter LEAs are experimenting with State Board approved teacher evaluation systems. ^Charter LEAs that did not mark this area do not have high-poverty and/or high minority students and have all subjects covered by qualified teachers. #Charter LEAs that did not mark this area are very high achieving, therefore this item is not applicable.

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

**Signatures acquired from participating LEAs:**

Number of Participating LEAs with all applicable signatures			
	<b>Number of Signatures Obtained (#)</b>	<b>Number of Signatures Applicable (#)</b>	<b>Percentage (%) (Obtained / Applicable)</b>
LEA Superintendent (or equivalent)	<b>108</b>	<b>108</b>	<b>100%</b>
President of Local School Board (or equivalent, if applicable)	<b>101</b>	<b>108</b>	<b>93.5%</b>
Local Teachers' Union Leader (if applicable)	<b>34</b>	<b>39</b>	<b>87.2%</b>

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

	Participating LEAs (#)	Statewide (#)	Percentage of Total Statewide (%) (Participating LEAs / Statewide)
<b>LEAs</b>	<b>108</b>	<b>111</b>	<b>97.3%</b>
<b>Schools</b>	<b>997</b>	<b>1,001</b>	<b>99.6%</b>
<b>K-12 Students</b>	<b>562,072</b>	<b>563,273</b>	<b>99.8%</b>
<b>Students in poverty</b>	<b>197,633</b>	<b>197,907</b>	<b>99.9%</b>

[Optional: Enter text here to clarify or explain any of the data]

**Detailed Table for (A)(1)**

This table provides detailed information on the participation of each participating LEA (as defined in this notice). States should use this table to complete the Summary Tables above. (Note: If the State has a large number of participating LEAs (as defined in this notice), it may move this table to an appendix. States should provide in their narrative a clear reference to the appendix that contains the table.)

Participating LEAs	LEA Demographics			Signatures on MOUs			MOU Terms Uses Standard Terms & Conditions? President of Local Teachers Union (if applicable)	Preliminary Scope of Work – Participation in each applicable Plan Criterion															
	# of Schools	# of K-12 Students	# of K-12 Students in Poverty	LEA Supt. (or equivalent)	President of local school board (if applicable)	President of Local Teachers Union (if applicable)		(B)(3)	(C)(3)(i)	(C)(3)(ii)	(C)(3)(iii)	(D)(2)(i)	(D)(2)(ii)	(D)(2)(iii)	(D)(2)(iv)(a)	(D)(2)(iv)(b)	(D)(2)(iv)(c)	(D)(2)(iv)(d)	(D)(3)(i)	(D)(3)(ii)	(D)(5)(i)	(D)(5)(ii)	(E)(2)
Name of LEA here				Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Yes/ No	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA
Alpine District	74	64,351	16,991	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Beaver District	6	1,600	732	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Box Elder District	27	11,052	4,363	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Cache District	26	14,917	4,340	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Canyons District	50	33,184	7,516	Y	N	N	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Carbon District	11	3,462	1,779	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Daggett District	3	147	30	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Davis District	99	65,452	17,055	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Duchesne District	14	4,436	1,764	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Emery District	10	2,316	1,167	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Garfield District	9	931	447	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Grand District	5	1,526	697	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Granite District	114	68,131	31,226	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Iron District	19	8,365	4,024	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Jordan District	52	48,411	11,791	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Juab District	5	2,244	773	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Kane District	9	1,194	554	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Logan District	11	6,123	3,315	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Millard District	10	2,820	1,460	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Morgan District	4	2,338	383	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Murray District	11	6,515	1,955	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Nebo District	46	28,282	10,609	Y	Y	N	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
North Sanpete District	9	2,319	1,167	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
North Summit District	3	1,003	257	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Ogden District	28	12,578	8,266	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Park City District	9	4,563	797	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Piute District	4	328	212	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Provo District	22	13,241	6,376	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Rich District	4	457	185	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Salt Lake District	43	23,850	14,768	Y	Y	N	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
San Juan District	13	2,953	1,883	Y	N	N	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Sevier District	14	4,528	2,056	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
South Sanpete District	9	3,025	1,425	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
South Summit District	3	1,424	288	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Tintic District	6	233	130	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Tooele District	28	13,180	4,639	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Uintah District	13	6,489	2,765	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Wasatch District	8	4,959	1,609	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Washington District	46	25,202	10,112	Y	Y	N	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Wayne District	4	561	307	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Weber District	48	30,417	9,163	Y	Y	Y	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Academy For Math Engineering & Science (AMES)	1	477	236	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA
American Leadership Academy	1	1,477	438	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA	Y	Y	Y	Y	Y
American Preparatory Academy	2	1,147	470	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Beehive Science & Technology Academy (BSTA)	1	199	16	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Canyon Rim Academy	1	526	76	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Channing Hall	1	661	97	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA	Y	NA	NA	Y	Y	NA	NA
City Academy	1	193	66	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
CS Lewis Academy	1	323	139	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
DaVinci Academy	1	447	166	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Dual Immersion Academy	1	430	221	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Early Light Academy At Daybreak	1	678	80	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
East Hollywood High	1	289	92	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Edith Bowen Laboratory School	1	300	88	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Entheos Academy	1	510	199	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA
Excelsior Academy	1	645	148	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Fast Forward High	1	214	31	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Freedom Academy	1	672	308	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Gateway Preparatory Academy	1	545	307	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
George Washington Academy	1	502	132	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Guadalupe School	1	100	100	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Hawthorn Academy	1	701	178	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y



Academy																									
North Star Academy	1	501	49	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Odyssey Charter School	1	451	86	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Ogden Preparatory Academy	1	630	325	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Open Classroom	1	377	94	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Oquirrh Mountain Charter School	1	600	133	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Paradigm High School	1	529	164	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Pinnacle Canyon Academy	1	487	276	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Providence Hall	1	703	22	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Quest Academy	1	506	119	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Ranches Academy	1	350	57	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Reagan Academy	1	677	271	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA	Y	NA	NA	Y	Y	Y	Y
Renaissance Academy	1	667	107	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Rockwell Charter High School	1	389	129	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Salt Lake Arts Academy	1	271	22	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA	Y	Y	Y	Y	NA
Salt Lake Center For Science Education	1	221	98	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Salt Lake School For The Performing Arts	1	148	25	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Soldier Hollow Charter School	1	207	120	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Spectrum Academy	1	147	73	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Success Academy	1	346	82	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA	Y	Y	Y	NA
Summit Academy	1	1,000	66	Y	N	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Syracuse Arts Academy	1	926	208	Y	N	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Timpanogos Academy	1	483	19	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Tuacahn High School For The Performing Arts	1	254	0	Y	N	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Unitah River High	1	53	39	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Utah County Academy Of Science (UCAS)	1	358	68	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA	Y	Y	Y	NA
Utah Virtual Academy	1	1,297	1	Y	N	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Venture Academy	1	458	150	Y	N	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Vista At Entrada	1	683	3	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Walden School Of Liberal Arts	1	265	161	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	NA
Wasatch Peak Academy	1	374	71	Y	Y	NA	Yes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

**(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) Strong Statewide Capacity to Implement Proposed Plans**

Utah has a historical record of support for education from the early pioneer years to the present. Our current reform efforts are being led by a stable, experienced leadership team with the knowledge, skills, and capacity to deliver the stated reforms. Utah's constitution places the responsibility for education with a non-partisan elected State Board. The State Board in turn appoints a State Superintendent who holds one of only four offices mandated by the Utah constitution. Dr. Larry Shumway, our State Superintendent, has the constitutional power to act for the State Board in exerting general control and supervision over our LEAs. Any interventions or directives needed to enforce or implement our plan can take place quickly and easily. Superintendent Shumway is supported by an outstanding and capable state office of education with a proven record of innovative practices, including common standards since the 1850's; early use of end-of-level, criterion referenced tests; superior data systems; and effective support to prevent struggling schools. Through ongoing collaborative efforts with the Legislature, higher education, business leaders, the teachers associations, and PTA, Utah has the means to leverage public and private resources to implement and continue the reforms outlined in our plan.

The Utah education community has well-established and strong working relationships. The support for working on this application

has been widespread. Letters of support are attached in the Appendix [see Appendix 5]. The education climate in the state is unusually cooperative. There is agreement among stakeholders on education issues and consensus on RTTT efforts. To prepare the application, USOE conducted outreach meetings where community leaders, business leaders, superintendents, principals, teachers, legislators, charter directors, and local school board members were invited to give input into this proposal for comprehensive reform. Meetings were held in five different locations throughout the state (Murray, Cedar City, Ogden, Riverton, and Price). Participants included Governor Gary Herbert, the Governor's Deputy for Education, the Speaker of the Utah House of Representatives, the President of the Utah Senate, the Chairs of the Education Appropriation Committee, the Commissioner of Utah's Higher Education System, deans from Utah's colleges and university, local LEA superintendents, the Chair of the Utah State Charter School Board, Utah Education Association representatives, and all USOE staff. In all, over 300 individuals participated. Utah used a format where cross-role focus groups and facilitators addressed each of the reform areas. The groups were asked to answer three questions related to reform: (1) What conditions need to be in place for reform? (2) What policies or initiatives need to be implemented? and (3) How would you prioritize these priorities or initiatives? A summary of responses is in Appendix 6.



**(A)(2)(i)(a) Providing strong leadership and dedicated teams:**

Superintendent Larry Shumway will oversee the statewide reform teams. Dr. Shumway has held the post of Superintendent of Public Instruction since June 2009. Previous to this position, he served as deputy superintendent and director of Education Licensing. Prior to coming to USOE, Dr. Shumway was superintendent of the Tooele School District and previously served as director of alternative schools and programs in the Davis School District. He earned his doctorate in education at the University of Nevada in Las Vegas and his bachelors and masters degrees at Brigham Young University.

Dr. Shumway's work is supported by the State Board, the state teachers' association, our LEA superintendents, directors and their boards of education, our State Charter School Board, and the state charter association. Utah has a highly active and effective partnership with higher education. The K-16 Alliance brings representatives from public education, the governor's office, the Legislature, and higher education to initiate reforms and resolve challenges.

Utah relies on business partners to articulate and enhance our reform efforts. Through the work of our business roundtable; the chamber of commerce; the Utah Technology Council; and our **STEM** Task Force, a collaborative work group consisting of business, higher education, and state government leaders; Utah has consistent and ongoing highly qualified assistance with all of its educational efforts.

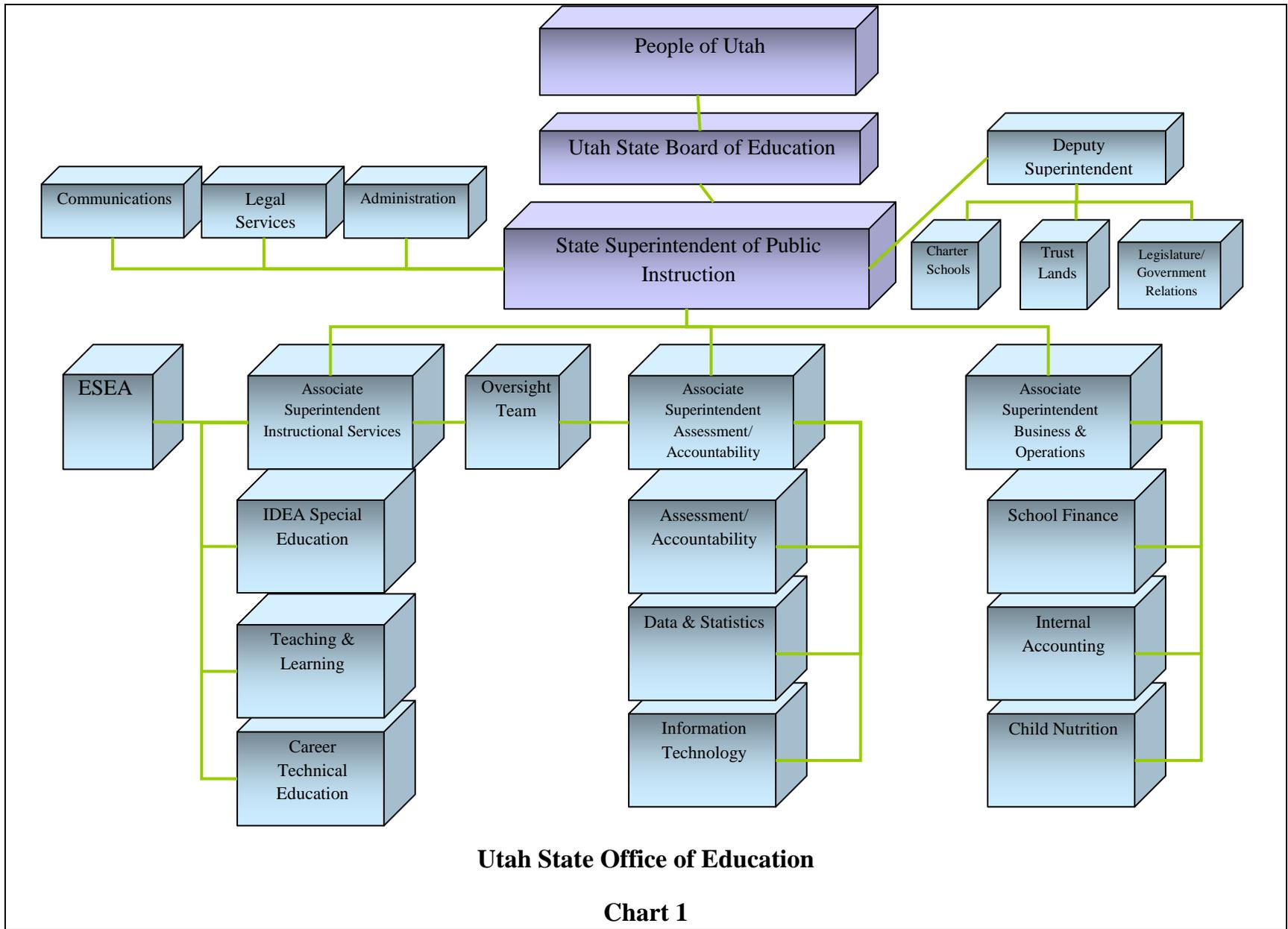
### **Dedicated Teams**

At the USOE level, Utah will use existing leadership and staff to facilitate implementation of our reform plan. A reorganization aligning staff to the four promises has already taken place. If we receive a RTTT grant, additional leadership teams will be created that will enhance our capacity to manage the program and support the efforts of our LEAs to ensure that we meet our reform timelines. The teams described below are the groups that will design, implement, and monitor progress of our reforms:

- Teaching and Learning Team – This newly organized department consists of four groups that will oversee the state's efforts to implement the new common core standards; oversee the reforms related to recruiting, retaining, and identifying great teachers and leaders, and enhancing our literacy, numeracy, and **STEM** initiatives.
- Data, Assessment and Accountability Division Team – This current team consists of the three departments in the Assessment and Accountability Division. This team, in conjunction with the SMARTER Balanced Assessment Consortium, will develop and implement new common core aligned assessments and will lead the work associated with helping our school leaders; teachers, parents, policymakers, and researchers use the collected data to improve student learning and achievement. The

team will also continue to oversee and improve Utah's longitudinal data system and all associated on-line resources.

- School Improvement Team – This existing team will continue to use our state-developed System of Support (SOS) and will intervene in the state's lowest achieving schools.
- Oversight Team – This new team will oversee the implementation of our RTTT Plan. It will provide implementation support and intervention if a participating LEA does not meet its obligations. The Oversight Team will also be responsible for providing effective and efficient processes in budget reporting and monitoring, performance measure tracking and reporting, fund disbursement, and all other issues related to required reports.



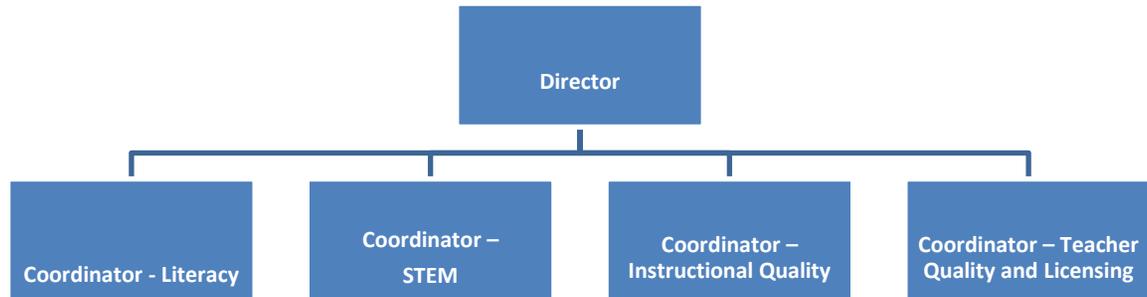
### **Teaching and Learning Team**

The Teaching and Learning Team is responsible for implementing Reform Area One and Reform Area Three plans. This team will be responsible to ensure literacy and numeracy for all students and to ensure the instructional quality of our teachers and leaders. They are responsible for managing the implementation of the common core standards and providing a stable set of best practice expectations for teachers in lesson preparation and instruction. The team will increase LEA capacity to deliver high-quality reading and mathematics instruction by working with higher education colleagues to deliver reading and mathematics courses that lead to greater student engagement, higher levels of achievement, and ensure horizontal and vertical coordination between school levels and higher education. They will develop a new statewide continuum of support for teachers and principals. The team will design and assist LEA implementation of a data-driven evaluation system that measures teacher effectiveness.

### **Teaching and Learning Team Organization**

The Teaching and Learning Team is led by a director and four coordinators. The director will provide oversight and leadership to the Reform Area One and Reform Area Three initiatives. The literacy coordinator will lead efforts to implement new reading/language arts core standards and the professional development of LEA leadership teams responsible for implementing the new core. This coordinator will also oversee direct teacher training, as needed, in frontier and high need LEAs. The **STEM** coordinator will lead efforts to implement new math core standards and the professional development of LEA leadership teams responsible for implementing the new core. This coordinator will also oversee direct teacher training, as needed, in frontier and high need LEAs. The **STEM** coordinator will manage other **STEM** related activities. The instructional quality coordinator will lead implementation of Utah's new teacher evaluation system based on our measures of instructional quality framework. This system will evaluate teacher and leader effectiveness. The teacher quality and licensing coordinator will lead the development of the new continuum of support for teachers and leaders.

## Chart 2: Teaching and Learning Team



- Implementation of new common core
- Literacy
- Early Childhood initiatives

- Implementation of new common core
- Math
- STEM initiatives

- Evaluation of teachers and leaders
- Leadership training

- Expansion of professional development management system
- Traditional licensure
- Alternative Routes to Licensure
- Recruitment and hiring Website

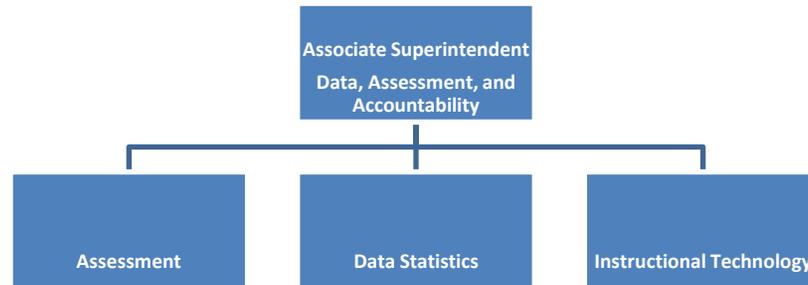
### **Data, Assessment and Accountability Team**

The Data, Assessment and Accountability Team is responsible for implementing part of Reform Area One and Reform Area Two goals. This team will be given the responsibility to build high-quality assessments aligned to the new common core standards. The team is responsible for helping educators and researchers use data to inform instruction and improve student achievement. They are also responsible for state technology systems.

### **Data, Assessment and Accountability Team Organization**

The Data, Assessment and Accountability Team is led by an associate superintendent, two directors and four coordinators. The Assessment and Accountability director will provide oversight and leadership to Reform Area One, Project Six and Reform Area Two, Project Three initiatives. This director will lead efforts to design and implement new common core assessments and new technologies for delivering these assessments. The director will also lead efforts to ensure the effective use of data by teachers, school leaders, higher education, legislators, policymakers, and researchers. A Data and Statistics coordinator will provide oversight and leadership to Reform Area Two, Project Two. This coordinator will develop and implement the data dashboard and provide professional development and assistance for the other USOE teams and LEA leadership teams. The Information Technology director and three coordinators are responsible for implementing the activities associated with technology solutions in Reform Areas One, Two, and Three. They will provide oversight and leadership to design, update, and enhance our K-12 longitudinal data systems, including modifications to our existing systems to add information related to student growth and teacher effectiveness. New technologies will be developed to enhance the new teacher evaluation system. The SIS coordinator will work with the UTIPS Project Manager to integrate the two systems. The UTREx (Utah eTranscript and Record Exchange) coordinator will implement UTREx, a system that allows individual detailed student records to be exchanged electronically among Utah educational institutions. The CACTUS (Comprehensive Administration of Credentials for Teachers in Utah Schools)/Data Warehouse coordinator will lead efforts to use our data system to track teacher effectiveness and student growth.

### Chart 3: Data, Assessment, and Accountability Division Team



- New assessments
- New technology for delivering student assessments
- Professional development in new assessments
- Enhance UTIPS
- Effective use of data
- Maintain data dashboard
- Data coaches
- Professional development in data use
- K-16 SLDS
- Record exchange
- Cactus
- Tech support
- SIS
- Technology

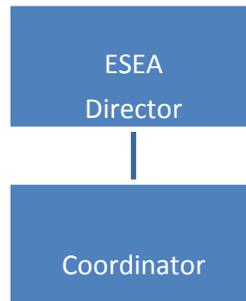
### **School Improvement Team**

The School Improvement Team is responsible for implementing all Reform Area Four projects and all Title I interventions. This team will concentrate on preventing and turning around persistently low-performing schools.

### **School Improvement Team Organization**

The School Improvement Team is led by the director of our Elementary and Secondary Education Act (ESEA) Department. This director will provide oversight and leadership for Reform Area Four initiatives. A school improvement coordinator within the ESEA department will manage Utah's System of Support (SOS). The school improvement coordinator will lead efforts to maintain and enhance our system of support for schools and LEAs; will train and monitor effectiveness of our struggling school consultants; and will identify, assist, and monitor progress of our lowest achieving schools.

**Chart 4: School Improvement Team**



The **Oversight Team** will be described in (A)(2)(i)(b) below.

**(A)(2)(i)(b) Supporting LEAs, Monitoring and Improving Performance**

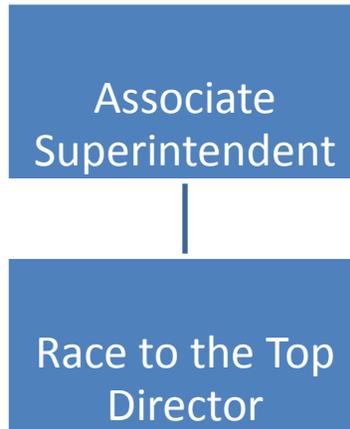
**Oversight Team**

A key element of our reform organization is the Oversight Team. The Oversight Team will direct the work of the other teams and the LEAs. The Oversight Team will use *Utah's Comprehensive Reform Plan*, which includes activities, responsibilities and timelines as the work plan that guides all team efforts. Using data from our data dashboard, reports from our other teams, and onsite visits to our LEAs, the Oversight Team will help LEAs implement promising practices, evaluate LEA effectiveness in implementing reforms, and serve as a facilitator and resource for positive LEA change. The Oversight Team ensures compliance and maintenance of reform efforts while helping LEAs find their own best way to implement reform. Since all participating LEAs have signed an MOU that holds them accountable for our Race to the Top reforms, the Oversight Teams will also intervene if any participating LEA does not meet its obligations.

**Oversight Team Organization**

The Oversight Team will report directly to the associate superintendent over the Instructional Services Division. The team will be led by a director. The Oversight Team will be responsible for updating the State Superintendent and the State Board with quarterly RTTT implementation reports. These reports will ensure Utah stays on track and monitors our performance against our implementation, performance, and student outcome goals.

## Chart 5: Oversight Team



- Implementation
- Goal progress
- LEA support
- Accountability
- Communication

The other RTTT Teams identified above will also play an important role in LEA support. Each team has been assigned projects and roles that will either directly or indirectly assist LEAs. For example, the professional development on the new common core standards and new assessments will build the knowledge, skills, and capacity of LEA leadership teams. Another example of LEA support built into the reform plan involves allocation of RTTT SEA funds to assist LEAs with funding needs for implementation of these reforms that are beyond their LEA RTTT allocations and other local resources.

**(A)(2)(i)(c) Effective and Efficient Operations and Processes for RTTT Grant Implementation**

USOE consistently administers federal grants in accordance with federal and state requirements. The application for any federal grant is reviewed by the Governor's Office of Planning and Budget and the Legislature for consideration of committed infrastructure and purpose alignment with state objectives. The State then awards sub grants in accordance with the grant requirements and makes the funding available to the sub recipients according to funding requirements of the grant. The allocations are prepared by USOE, and written notice of fund availability and the reimbursement request process is provided. Internal accounting processes are in place to track the award; expenditure of grants by LEA, including fiscal period of award; and expenditure. Sub grants are usually awarded for a period of 12 months with a 90-day liquidation period.

USOE adheres to its Federal Cash Management Act contract in the processing of expenditure and draw transactions. As funds are expended by USOE and the sub recipients, the warrants are cut by the Office of the State Treasurer and then USOE draws funds within three days of the warrant issuance. Draws are conducted on average once a week.

Before funds are disbursed, USOE reviews each electronic request for reimbursement under a grant. The review process allows USOE to assure program compliance, budgetary control, and input to the LEAs performance under a grant. USOE processes all grant reimbursement requests and disbursements through its Budget and Accounting System for Education (BASE).

BASE tracks financial grant requirements such as Maintenance of Effort (MOE) and match requirements, grant award periods, expenditure, encumbrance and budget balances. USOE can use BASE to coordinate program monitoring and control expenditure of funds beyond budget periods and avoid reversion of funds at federal fiscal year-end. BASE is also able to roll up individual LEA revenues or expenditures into the parent grant level to provide overall grant totals.

Expenditures are monitored by USOE program directors and subject to review under the State of Utah A-133 audit as required by

Office of Management and Budget (OMB) A-87. The audit is conducted by the Office of the State Auditor and coordinated with USOE. The directors also monitor and track performance measures and review or produce all reports.

The processes described above have been used successfully to manage and monitor all federal and state grants. The same process will be used with all RTTT funds.

**(A)(2)(i)(d) Using RTTT Funds to Accomplish State's Plans and Meet Targets**

The State Board has formally adopted our Comprehensive Reform Plan and has directed that all state funds, programs, and resources be re-purposed to align with the plan. This extraordinary commitment to reform means that our reform efforts will proceed with or without RTTT funds. Since this is the case, the maintenance of our reform efforts is not an issue. All of our efforts during the next five to ten years will be based on *Utah's Comprehensive Reform Plan*. All the directors and specialists at the state level have begun using their time and financial resources to accomplish our goals. Our departments have been reorganized to more efficiently respond to our reform efforts.

Because Utah has limited financial resources, we have become experts at coordinating and leveraging our funds for cutting edge innovation. In spite of limited resources, Utah already invests considerable funding to the four reform areas. Current use of funds in the **Reform Areas:**

- Standards and Assessments
  - Professional development for common core (\$1,070,000 state funds)
  - On-line testing system (\$2,400,000 federal funds )
  - K-3 Reading Initiative (\$15,000,000 state funds)
  - Core academies (\$88,000 state funds, \$75,000 federal funds)

- Utah Science Technology and Research (USTAR) program (\$6,500,000 state funds)
- Extended-day kindergarten program (\$7,500,000)
- ELL Family Literacy Centers and ELL software (\$7,600,000 state funds)
- Utah Preparing Students Today for a Rewarding Tomorrow (UPSTART) program for students in low-income families to have an in-home, technology-based, pre-school literacy experience (\$1,800,000 state funds)
- MESA (Mathematics Engineering and Science Achievement) program to increase the number of underserved, ethnic minority and female students who pursue coursework; advanced study; and careers in mathematics, science, and engineering (\$535,000 state funds)
- Concurrent Enrollment (\$9,600,000 state funds)
- Data Systems to Support Instruction
  - Utah SLDS grant (\$940,000 federal funds)
  - Data Institute (\$32,000 federal funds)
  - Utah Test Item Pool System (UTIPS) (\$104,000 federal funds)
- Great Teachers and Leaders
  - Computer Aided Credentials of Teachers in Utah Schools (CACTUS) system that tracks teacher and leader quality (\$320,000 state funds)
  - Teacher-to-teacher recruitment tool (\$199,000 state funds)
  - State professional development tracking system (\$6,000 state funds)
  - Public Education Job Enhancement Program (PEJEP) program to recruit and train teachers in math, science, and special education (\$2,500,000 state funds)
- Turning Around Lowest Achieving Schools
  - Intervention for Student Success Block grants for LEAs (\$22,000,000 federal funds)

- Highly Impacted Schools grants for schools with high populations of students living in poverty (\$5,000,000 state funds)
- System of Support (SOS) (\$134,000 federal funds)
- School Improvement Grants (SIG) (\$2,000,000 federal funds)

- ARRA

Utah used the funds obtained from the Utah Recovery and Reinvestment Act to (1) spend funds quickly to save and create jobs, (2) improve student achievement, (3) ensure transparency in reporting and accountability, and (4) minimize the funding cliff. Specifically, Utah used ARRA funds to:

- Save teaching positions (\$185,500,000 federal funds)
- Replace child nutrition equipment in schools (\$721,000 federal funds)
- Increase services to students served by the Individuals with Disabilities Education Act (IDEA) (\$109,000,000 federal funds)
- Increase services to students served by Title I (\$49,500,000 federal funds)

In terms of knowledge, skills, and human capacity, Utah is positioned to make relevant and timely improvement if we receive the funding necessary to expand these already successful efforts. Because our reform plan features projects and activities that are designed to accelerate and replicate effective practices state wide, we believe we have the capacity to maintain these efforts after the funding is gone. RTTT funds will jumpstart our reforms, which has a direct impact on how quickly we can deliver the desired student outcomes. The purpose for applying for Race to the Top funds is to reach critical mass for our reform efforts in a timely manner.

**(A)(2)(i)(e) Using State Fiscal, Political, and Human Capital to Continue Successful Reforms**

When Utah makes a commitment, we follow through. Utah has a historical record of taking on challenges and working hard until we have solved them. Our "can-do" attitude comes from the old pioneer ethic of taking undeveloped resources and “making the desert bloom.” Utah’s effort to maintain the reforms implemented with support of an RTTT grant will not end with the RTTT program’s conclusion. For Utah, this is a self-evident truth. This is what Utah has done and continues to do. Utah has a historical record of leveraging its fiscal, human, and political capital to provide a quality education for its children.

*Utah’s Comprehensive Reform Plan* was not developed for the RTTT grant. It was already in place as the framework for strategic reform. The will to proceed with innovative and comprehensive improvement is not dependent upon our receiving Race to the Top funds. If RTTT funds are received, they will become a part Utah’s historic, ongoing reform efforts. After the RTTT program ends, Utah will:

- Continue to promote a commitment to continuous renewal directed toward keeping our promises to Utah’s children;
- Use ongoing state and non-RTTT federal funds to continue needed reforms; and
- Continue to coordinate with other stakeholders to ensure that the impetus for excellence and improvement stays strong. This means we will maintain the stakeholder roundtables, the K-16 Alliance, our work with our teachers association and our PTA, and maintain a positive working relationship with government leaders.

**(A)(2)(ii)(a) and (A)(2)(ii)(b) Statements of Support**

Utah has unusually broad support for its comprehensive reform agenda. To prepare the application, USOE conducted outreach meetings where teachers, principals, superintendents, higher education representatives, business leaders, government leaders and legislators, and community leaders worked together to define the goals for the RTTT proposal. Meetings were held in five different locations in regions throughout the state. The meetings were held in urban and frontier counties. Our participants included the

Governor, the Governor's Deputy for Education, the Speaker of the Utah House of Representatives, the President of the Utah Senate, the Chairs of the Education Appropriation Committee, the Commissioner and Associate Commissioners of Utah's Higher Education System, the deans from Utah's colleges and universities, superintendents and charter school directors, the Chair of the Utah Charter School Board Association, representatives from the Utah Education Association, the Chamber of Commerce, and all members of the USOE staff. In addition, meetings were held with the Board of Directors of the Utah's teachers association, the Utah Society of Superintendents Association, the Utah Assessment Directors Association, all of the curriculum directors from the LEAs in the state, and all of the Title I directors to explain and receive input from the grant. The result of this collaboration is a high degree of consensus about reform, based upon mutual trust and a shared vision for Utah education. The leadership of our state teachers association has been especially supportive and willing to work with other stakeholders to engage in thoughtful reform. Because of this process, Superintendent Shumway received many offers to write letters of support even before they were even requested. The following list is a summary of the stakeholders who submitted support letters. The letters themselves are included in Appendix 5:

- Utah State Board of Education President Debra Roberts
- Utah School Superintendent's Association President Ronald Wolff
- Utah Education Association President Kimberly Campbell
- Utah Association of Secondary School Principals President Todd Quarnberg
- Utah Association of Elementary School Principal Executive Director Luana Searle
- Utah State Governor Gary R. Herbert
- Utah State Governor's Education Deputy Christine Kearl
- Utah Speaker of the House of Representatives David Clark
- Utah State Senate Minority Leader Patricia W. Jones
- Utah State Charter School Board Chair Brian R. Allen

- Utah Association of Public Charter Schools Executive Director Steven Winitzky
- Utah Parent Teacher Association President Ilene Mecham
- Utah Board of Regents Chair Jed H. Pitcher
- Utah School Boards Association President Barbara Corry
- University of Utah College of Education Dean Michael L. Hardman
- Brigham Young University David O. McKay School of Education Dean K. Richard Young
- Utah State University Emma Eccles Jones College of Education and Human Services Dean Carol J. Strong
- Southern Utah University Beverly Taylor Sorenson College of Education and Human Development Dean Prent Klag
- Utah Valley University School of Education Dean Briant J. Farnsworth
- Weber State University Jerry and Vickie Moyes College of Education Dean Jack L. Rasmussen
- Dixie College Department of Education Associate Dean Brenda Sabey
- Utah College of Applied Technology President Robert O. Brems
- Salt Lake Chamber of Commerce President Lane Beattie
- Paiute Indian Tribe of Utah Chairwoman Jeanine Borchardt
- Ute Indian Tribe Education Board President Raymond Murray
- State Board Coalition of Minorities Advisory Committee Robert R. DePoe III
- Utah Technology Council President & Chief Executive Officer Richard R. Nelson.

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

- See the Utah State Budget and Budget Narrative, Appendix 51 from Section VIII of this application for evidence of (A)(2)(i)(d).

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

See Appendix 5 Letters of Support for evidence for (A)(2)(ii).

**(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) Progress Made in Four Reform Areas over the Past Several Years**

**Utah: A Leader in Implementing Successful Initiatives in the Four Reform Areas**

Historically, Utah has engaged in many effective innovations, beginning with the development of state core standards in the 1850s. Utah's LEAs have been part of the core curriculum development process and have a long history of success with well-defined sets of standards and aligned assessments. Utah has core curriculum standards and master plans for achievement in the following core areas: language arts, mathematics, science, social studies, fine arts, health/physical education, educational technology, library media, and each Career and Technical Education (CTE) career area. Utah has had an aligned criterion-referenced testing program since the early 1980's.

The Utah State Office of Education (USOE) builds capacity through leadership, service, and accountability. USOE holds monthly meetings that focus on curriculum and instruction with all of the LEAs in the state and is successfully implementing a number of projects designed to improve student achievement and reduce achievement gaps. USOE provides assistance to LEAs in the form of professional development, curriculum tools, and leadership consultation. USOE tracks and provides data in the areas of literacy, numeracy, graduation rates, teacher quality, and college success. The following examples of USOE initiatives demonstrate the current status of projects implemented in the four reform areas of RTTT:

**Reform Area One: Adopting Standards and Assessments that Prepare Students to Succeed in the Workplace**

- The K-3 Reading Initiative, which began in 2004, has successfully combined the use of professional development (PD) and school-based reading coaches who use a three-tiered reading approach and state developed STAR program to prevent and remediate the reading difficulties of kindergarten through third grade students. This ongoing initiative is funded through a combination of legislative appropriations and local LEA tax revenue.

- Utah's *Three-Tiered Model of Instruction of Reading Instruction* has been in use for a decade. It is now used throughout the United States. The model helps teachers and principals better respond to the instructional needs of all students.
- To increase access to core learning, USOE has extended our core standards with documents that help teachers meet the needs of students with significant cognitive disorders.
- The Principals Literacy Institute trains 30-50 elementary principals annually in high-quality instructional strategies in reading.
- Family Literacy Centers are strategically located throughout the state to provide early intervention for English Language Learner (ELL) students and their parents. Software and other instructional strategies are used to jumpstart student language acquisition.
- Our Extended-day Kindergarten program, which focuses on placing at-risk students in full-day kindergarten programs, has shown success in significantly improving reading and mathematics outcomes for participating students.
- Our CTE program has resulted in increased graduation rates and focused preparation for college and careers. Over 200,000 Skills Certification Exams are successfully completed annually. CTE standards are aligned with the needs of business, industry, and higher education. Programs in engineering; biotechnology; information technology; and Pro-Start, a professional culinary arts program, have been successfully expanded.
- A parent and teen guide outlining high school to college and career pathways has been distributed to over 100,000 students. Students throughout the state have access to these programs through onsite and/or distance learning.
- Our concurrent enrollment program allows motivated students to graduate with associate degrees and receive higher education scholarships from all higher education institutions.
- **STEM Activities**
  - Our 4-6 Mathematics Initiative has shown that a combination of intense professional development, coaching, and financial incentives for teachers leads to increases in grade 4-6 mathematics achievement.

- Utah's secondary USTAR program extends opportunities for students to be involved in **STEM** activities by extending the school year.
- Utah's Mathematics Engineering and Science Achievement (MESA) program, started in 1990, was developed to increase the number of underserved, ethnic minority and female students who pursue coursework, advanced study, and careers in **STEM**.
- Utah's Early College High School program focuses on encouraging students from underrepresented groups to pursue science and engineering associate degrees and receive automatic admission to state colleges and universities.

**Reform Area Two: Building Data Systems that Measure Student Growth and Success and Inform Teachers and Principals about How They Can Improve Instruction**

- Our outstanding, ultra high-tech, statewide longitudinal data system fulfills, in part or completely, all of the seven capabilities and twelve elements that the 2009 ARRA statewide longitudinal data system (SLDS) request for application prescribes. The objectives and outcomes of this Utah Data Alliance (UDA) project can be summarized as the fulfillment of the entire set of SLDS requirements. Some of the required elements, as based on the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES), must be completed, while others need improvements, most notably in the availability of data for decision making.
- While Utah has collected longitudinal data on reading and math since the early 1980's, Utah's new Utah Data Alliance (UDA) projects (to be funded through the recently announced 2009 ARRA SLDS Grant award) will allow Utah to fully track and analyze student performance and growth from elementary through higher education or technical training.
- Utah has exchanged concurrent enrollment data between K-12 and post secondary since 2007.
- The Utah Mentor Teacher Academy has given special education teachers and coaches access to a data system to track ongoing student progress.

- USOE’s Utah Test Item Pool System (UTIPS) program provides teachers access to thousands of peer reviewed items aligned with Utah’s core curriculum, which may be used for formative math and reading assessments.
- USOE holds an annual Principal Data Institute that provides intensive professional development in data use, data collection, and data interpretation for K-12 data teams. The Data Institute trains principal-led school teams to establish a culture that uses data to inform instruction.

**Reform Area Three: Recruiting, Developing, and Retaining Effective Teachers and Principals, Especially Where They Are Needed Most**

- Utah is a principal member of the Multi-State Consortium for Revisioning the Professional Educator Continuum. The Consortium is working to redefine what today's teachers need to ensure they are prepared, supported, and assessed throughout the span of their career.
- Through signing bonuses and tuition scholarships, our Public Education Job Enhancement Program (PEJEP) has been very successful in recruiting and retaining teachers in hard to fill content areas and assignments.
- Utah’s Alternate Route to Licensure (ARL) system gives non-traditional teacher candidates multiple ways to become teachers. Our retention rate for ARL candidates is higher than the national average, and ARL is supported in state law and by USOE sponsored courses and ongoing monitoring.
- Utah’s Early Years Enhancement (EYE) Support program focuses on helping pre-service elementary teachers be successful.
- Utah’s Differentiated Compensation Pilot currently involves five LEAs including two charter schools that are experimenting with performance pay plans led by faculties.

**Reform Area Four: Turning around Lowest Achieving Schools**

Utah believes that an essential element of our Race to the Top is a Race to Prevent Failure. With our Title I, Part A funding, USOE,

collaborating with WestEd, developed a System of Support (SOS) for struggling schools. The system requires schools to identify school leadership teams, use the SOS instructional appraisal process to identify strengths and challenges, and use this information to revise the school's improvement plan. Because our proficiency targets increase overtime, all schools, regardless of their AYP status are encouraged to use SOS. The USOE School Improvement Team monitors progress of struggling schools through data analysis and appraisal rubrics. Because of SOS, of the 29 "alert" schools for 2008-2009, only two moved into improvement status for 2009-2010. The fifteen schools in improvement status in 2008-2009 also improved. Fourteen made AYP, five exited improvement status altogether, and nine will exit if they make AYP next year. Specific examples of school improvement resulting from this process include:

- Enoch Elementary School, a frontier Title I school in Iron County, was identified as an "alert year" school four years ago.

**Demographic Snapshot:**

- **50% economically disadvantaged**
- **23% mobility**
- **16% students with disabilities**

Enoch Elementary received a National Title I Distinguished School Award for Closing the Achievement Gap between Student Groups in 2007 and a National Title I Distinguished School Award for Exceptional Student Performance for Two or More Consecutive Years in 2009. Teachers and paraprofessionals accepted the challenge to acquire special training to provide interventions for all children below benchmark. Teachers and staff extended the school day to provide interventions for students below benchmark and chose to use their prep time for Tier 2 interventions so that students could remain in the classroom for Tier 1 instruction. By 2008-2009, proficiency rates had increased to 91% in language arts and 94% in mathematics. Enoch's faculty recognizes that Title I students often do not enjoy the advantages of many other students. Because of this, they are working to provide accelerated programs for their Title I

students. This year, Lenora Roundy was named as Utah's Elementary Principal of the Year for her leadership efforts.

- Lewiston Elementary School, a Title I school in Cache County, was one of the lowest performing schools in the district a few years ago.

**Demographic Snapshot:**

- **48% economically disadvantaged**
- **10% English language learners (ELLs)**
- **Nearly 10% Students with disabilities**

To address the needs of its students, Lewiston Elementary implemented systematic and explicit research-based instruction in both math and language arts using a 3-tiered Model of instruction. Teachers work collaboratively in professional learning communities (PLCs) to analyze data, review and plan curriculum, and coordinate services between general education, English language development, and special education staff. Individual teachers meet regularly with their principal, Adam Baker, to discuss student progress. An additional 30 minutes of instruction has been provided for all kindergarten students. Extended learning time was made available to students in grades 1-5 as part of a 21<sup>st</sup> Century Community Learning Center program and the Youth Connections program from the Utah Department of Workforce Services. Students are provided with opportunities for before and after school reading and math tutoring, summer school, and enrichment activities and have also benefited from many volunteer hours donated by PTA, Volunteers in Service to America (VISTA), and AmeriCorps volunteers. Even though the school's attendance area is spread out over 121 square miles, parent support and attendance at activities is high. In 2009, Lewiston Elementary received a National Title I Distinguished School Award in the category of Exceptional Student Performance for Two or More Consecutive Years.

- Monroe Elementary is an urban-suburban school in the Salt Lake County.

**Demographic Snapshot:**

- **84% economically disadvantaged**
- **68% English language learners**
- **36% mobility**
- **21 different languages**

Although Monroe Elementary School serves one of the most at-risk areas of the state, it has achieved AYP for seven of the past nine years, significantly closing the achievement gap between subgroups. Monroe Elementary received the National Title I Recognition for Closing the Achievement Gap in 2009. All teachers have attended professional development on research-based strategies to provide explicit, systematic instruction in both math and literacy; 84% of teachers have English as a Second Language (ESL) Endorsements and have participated in Respecting Ethnic and Cultural Heritage (REACH) and Sheltered Instruction Observation Protocol (SIOP) training; and 94% of Monroe teachers provide after school tutoring, which serves 38% of the children. Teachers collaborate in Professional Learning Communities (PLCs) to analyze data, identify students who need interventions, and plan differentiated instruction. A three-hour literacy block is provided on a daily basis and students received ninety minutes of math instruction each day. A push-in instructional delivery model has been implemented to maximize small-group support provided by Special Education, reading specialists, and Title I and ESL paraprofessionals. Tutorial reading and math programs are provided during the school day and after school for students who need instructional support in addition to regular classroom instruction. A high-quality summer school session is also provided for English Language Learners and students who are most at risk. A rich program of art integration has been supported through a Beverly Taylor Sorensen Elementary Arts Learning program grant. Students have opportunities to participate in music, visual arts, theater, cultural dance, and quilting, along with intramural sports, parent/child aerobics, and stop-action film. Multiple funding streams are leveraged to support after school and summer programs, including: Youth Connections through Utah's Department of Work Force Services, highly-impacted school funding, Learning and Nurturing Development (LAND) Trust, and Title

I funds. Business partners include SelectHealth and Intermountain Health Care who provide tutors, mentors, musical instruments, coats, shoes, physical education equipment, flu shots, supplies, and a faculty fitness program. Classes for parents in computer skills and English are also available after school. Monroe is participating in the Family Literacy program. A variety of cultural fairs, health fairs, reading and math nights, and parenting classes help create a learning environment that embraces students, parents, teachers, and the community at large.

- Midway Elementary School, a frontier school in Wasatch County, was identified for improvement two years ago. Their ELL students did not meet the required proficiency percentage in language arts, and their students with disabilities did not meet proficiency requirements in mathematics.

**Demographic Snapshot:**

- **36% of students qualify for Title I assistance**
- **23% English language learners**
- **17% students with disabilities**

Midway Elementary describes their reaction to being put on the “dreaded ‘Failing Schools’ list” as “disappointment, frustration, and passionate re-dedication.” Two years later, they have exited improvement status in the shortest time possible. Last year, Midway tested well above the benchmarks in all categories, but especially in the two categories for which they were placed in improvement. To make this progress, Midway Elementary took a multi-pronged approach. Since the majority of students who did not reach proficiency were ELL students with Spanish as their native language, Midway looked at ways to significantly help this population. One of the neighborhoods the school serves houses many families that are first generation Americans where very little English is spoken in the home. In addition to the challenges of language, these students have to make a 45-minute bus ride to get them to and from school each day. Midway Elementary’s first move to strengthen its ELL students was to place Elvira Aquin, a Spanish-speaking teacher on the bus riding with the students to and from school, and turn that travel time into tutoring time. She has taken this a step

further and has enlisted the older students on the bus to help read with and teach the younger students. They have created an atmosphere of success and academic excellence. Family literacy is one of Midway Elementary School's top priorities. Mrs. Aquin makes home visits to ELL families while teaching the parents, who do not speak English, how to help their children succeed in school. Other teachers have provided a summer school experience in that same neighborhood, allowing students to continue to learn throughout the summer. Midway's teachers also use the PLC model, collaborating weekly and concentrating all of their energy on student learning, instead of "what we are teaching," to help sharpen their focus on their students. Though Midway Elementary has exited improvement, the faculty continues to shore up its 3-tiered intervention program to keep track of students and catch those who are struggling before they have the chance to fall behind.

- Jordan and Granite School Districts, urban-suburban school LEAs in Salt Lake County, were early adopters of SOS. Both districts' Title I directors are USOE-trained SOS consultants. They both use the SOS appraisal process and accompanying tools with all Title I schools. Last year, all five of Jordan School District's Title I schools made AYP. Granite's Title I schools included a National Title I Distinguished School Award for Closing the Achievement Gap, kept all but one Alert Years school out of improvement, and improved achievement in two Title I schools in improvement so that they would exit improvement if the schools make AYP this year.

Schools in both LEAs implemented the following strategies: PLCs, tiered intervention, three hour literacy and ninety minute mathematics instructional blocks, school-wide SIOP training, ESL endorsement courses, and after school and summer school programs for targeted academically at-risk students.

In both LEAs, training in the appraisal and plan development process has been integrated into district-wide school improvement plan training so that leadership teams from all schools could participate and benefit from this effective needs assessment and improvement

planning process. The decision to expand the training to all schools was based upon the success demonstrated by the Title I schools. Both of these LEAs are currently in the process of implementing district support that is designed to support all schools' efforts to increase student achievement while providing additional targeted expertise and support to its lowest achieving schools.

- All LEA's must engage in an annual review of their own comprehensive reform plan through our technology-driven Utah Consolidated Application (UCA) process.
- In 2002, when ESEA last reauthorized, Utah identified schools that needed improvement, but most Utah schools were not starting at the extremely low performance levels of high-poverty inner city schools in other states. With SEA leadership, SOS, and local LEA effort, one Utah school, West Middle School in Uintah School District, has gone through a restructuring process. West Middle School is a school located in Uintah County, designated as a "frontier" county by the U.S. Department of Agriculture and the U.S Department of Health. Frontier counties are isolated from major service markets and have a very low population density. Educators who work in a frontier county school must travel over 90 minutes from the school to receive health care, to shop, or find a home. Many of the challenges associated with rural schools are exacerbated in frontier schools by the isolated nature of their location. Utah has frontier schools that require educators to live in LEA supplied housing and travel over four hours for basic services. The isolated nature of frontier schools makes the four federal turnaround models extremely difficult to use. West Middle School had not achieved AYP for several years. Under the expert direction of the USOE Support Team, the LEA leadership considered closing the school and sending the students to a school in another small town over 30 miles away. The Uintah School Board held a public hearing that was well attended by the Ute Tribal Council and parents of the students attending the school. During the course of the meeting, there was a commitment by the parents and the Tribal Council that they would increase the level of intervention in the case of truant students if a school could remain in their community. The School Board decided to use a turnaround model. The Board tore down the older, existing middle school and built a new K-8 school. The LEA hired one of the most dynamic principals in the district to open the new school with a hand-

picked staff. An adjacent elementary school was also closed. The newly constituted school, Eagle View Elementary, opened using a K-8 elementary model, which kept students primarily with one teacher for the school year. There is a new curriculum focus on literacy, a strong data driven delivery system, and much greater school-to-community collaboration. The school made AYP its first year of operation.

- The State Board has the constitutional authority to intervene directly in failing schools and LEAs.

As noted above, Utah has a long history of success. With stakeholder support and the work of our LEAs, Utah will use the RTTT program to increase capacity and pursue dramatic and sustainable change. Our job is to help students be successful. By 2012, Utah will have measurement systems in place that ensures all students receive high-quality instruction from outstanding teachers and leaders. Starting this fall, teachers and leaders will begin receiving professional development so students will be taught reading and mathematics using new world-class common core standards. Our data system and assessment systems will be upgraded and used to inform student instruction on a real time basis. Our teacher leaders will be engaged in a new system of continuous support that includes a fair evaluation system. We will use our expertise and our new funds to help our students pursue their own college and career goals and achieve a successful future.

**(A)(3)(ii) Improved Student Outcomes Overall and Student Subgroups Since 2003**

**(A)(3)(ii)(a) Increasing student achievement in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA**

During the past decade Utah has made steady progress in increasing student proficiency in mathematics and reading/language arts. Overall, we currently advance one to two percentage points every four years. Our Hispanic/Latino population is closing the achievement gap by increasing their performance at four percentage points per four-year period. Our educational performance is still too low, and gaps still separate White students and students of color. We have made a promise to our students that they will leave our

public schools prepared for the future. They won't be prepared if they don't read, write, and compute proficiently.

We have developed reasonable but ambitious goals for improvement. To do so we have studied and compared our criterion referenced tests (CRTS) and our NAEP scores. Table 2 below shows this comparison.

**Table 2: NAEP Comparison with Utah CRTS: 2007 Reading Scores and 2009 Mathematics Scores**

Grade/Content	NAEP			Utah CRTS
	Basic	Proficient & Advanced	Total of Basic, Proficient & Advanced	
Grade 4 Reading	35	34	69	78
Grade 8 Reading	45	30	75	81
Grade 4 Math	43	40	83	75
Grade 8 Math	39	36	75	75

The NAEP and CRT scores range from identical to variations of up to nine percentage points. While this difference in scores is better than in some other states, it means separate NAEP and CRT goals must be made. We anticipate that the new common state standards, combined with our work with the Summative Multi-State Resources for Teachers and Education Research Consortium (SMARTER) Balanced Consortium will result in reduced discrepancies between the NAEP and future CRTS. Until these new CRTS are developed, we will proceed with the goals described below. When the new assessments are made, we will adjust the CRT goals.

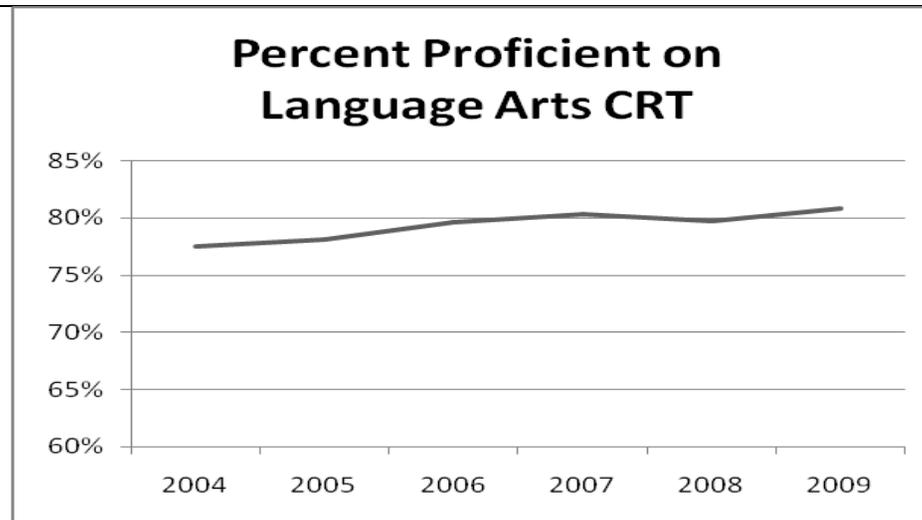
Our CRT scores since 2003 are shown in Table 3 below.

**Table 3 – CRT Percent Proficient 2003-2009**

	Percent Proficient on Criterion-Referenced Tests (CRT)													
	English Language Arts (ELA)							Mathematics						
	2003	2004	2005	2006	2007	2008	2009	2003	2004	2005	2006	2007	2008	2009
All Students	78.4	77.5	78.1	79.6	80.4	79.8	80.9	72.4	69.6	72.5	74.4	73.9	74.5	68.2
Asian	80.0	79.6	81.4	83.4	84.5	83.9	84.8	76.3	75.7	79.4	80.0	81.2	81.2	74.1
African American	63.2	59.7	60.3	62.5	64.5	62.0	65.5	52.7	47.7	51.2	53.1	51.2	52.9	46.1
White	82.3	82.0	82.7	84.0	84.8	84.5	85.2	75.3	73.9	76.6	78.8	78.5	79.4	73.6
Hispanic/ Latino	54.6	51.7	53.0	56.9	58.8	57.8	61.3	51.1	46.8	51.0	52.9	52.7	53.1	45.3
American Indian	53.4	54.3	54.1	56.3	58.2	55.7	59.8	48.0	45.5	51.7	52.4	51.2	51.7	42.7
Pacific Islander	64.8	63.3	64.7	68.1	70.1	70.2	72.2	58.6	55.8	60.4	62.8	62.5	64.9	55.8
Low Income	65.8	63.9	65.3	67.5	68.6	66.6	69.2	61.9	57.7	61.4	63.6	63.0	62.7	55.6
SWD	39.9	38.1	40.4	42.8	43.9	45.9	48.1	41.1	37.0	40.9	44.8	44.0	47.5	41.9
ELL	53.3	49.4	51.1	54.7	55.4	50.4	53.1	51.8	47.3	51.3	52.6	51.6	48.4	41.8

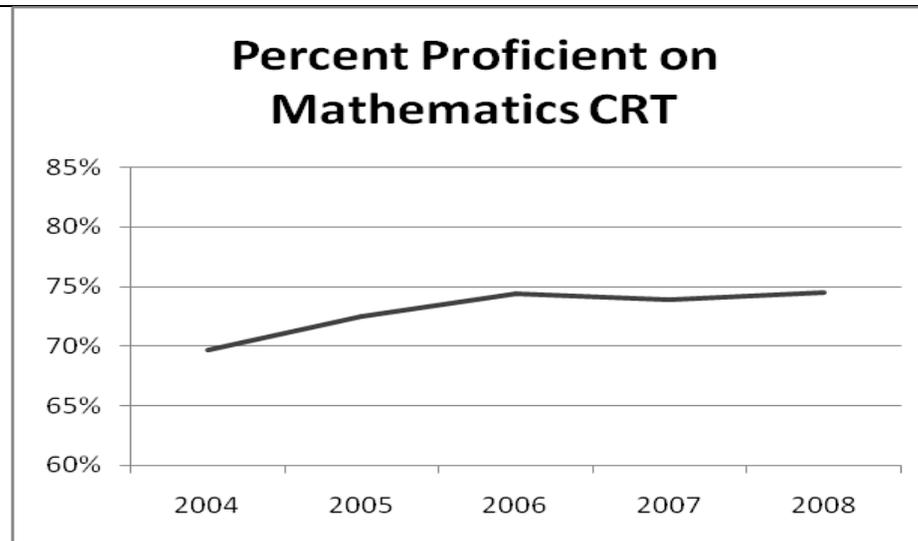
CRT is Utah’s ESEA assessment. Represents all grades included in AYP.

**Table 4**



In language arts, our overall student achievement increased from 78.4% proficient to 80.9% proficient. Our successes in the language arts area have been positively impacted by our K-3 Reading Initiative, our Optional Extended-day Kindergarten program, the use of Utah’s *“Three-Tiered Model of Reading Instruction”* and our Family Literacy Centers.

**Table 5**



In mathematics, our students showed growth from 2003 to 2008. In 2009, the State significantly changed the mathematics standards and corresponding assessments establishing a new baseline. Though we have no reason to believe that student skill in mathematics declined in real terms, the change in assessments resulted in a decline in test scores. In terms of growth from 2003 to 2008, our overall student outcomes improved from 72.4% proficiency in 2003 to 74.5% proficiency in 2008. Our increases in mathematics are related to our 4-6 Mathematics Initiative, our USTAR program, and our UTIPS data program. Another factor in our improved CRT scores is Utah's successful Title I program. Utah recognizes the improvement of student outcomes both overall and by subgroup for Title I schools through two state level awards.

Table 6 – 2009 NAEP Data for Grade 4 and 8

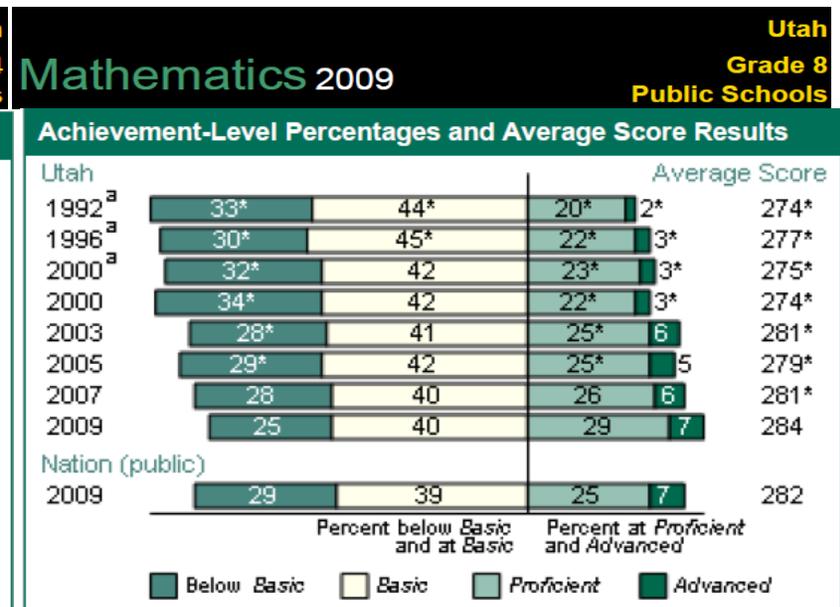
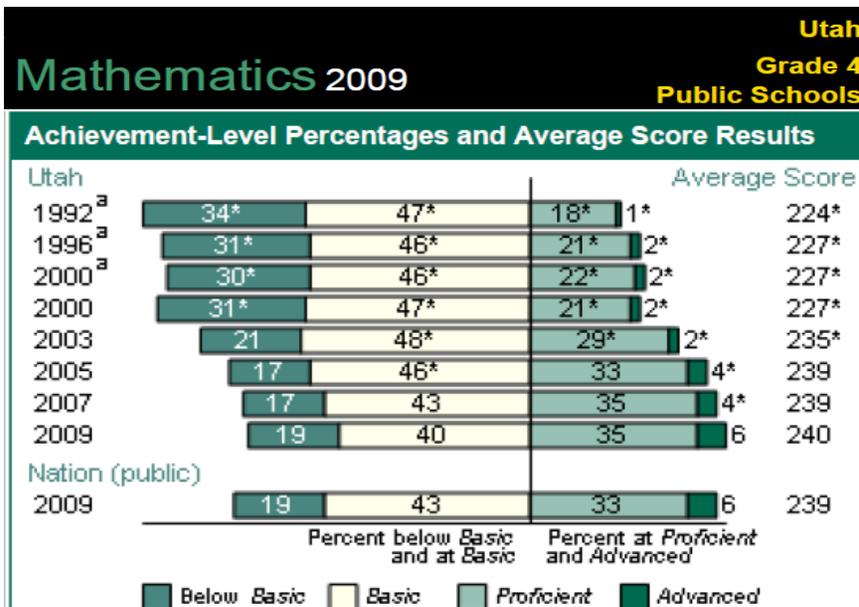


Table 7 – 2003-2007 NAEP Data for Grade 4 and 8

**2007 NAEP Reading  
UTAH Grade 4**

Percentage of Students At Basic or Above	Utah				Nation				Utah vs. Nation 2005		Utah vs. Nation 2007	
	2003	2005	2007	2003-07 Direction	2003	2005	2007	2003-07 Direction	05	2005 sig*	07	2007 sig*
Overall	66%	68%	69%	Up 3	62%	63%	66%	Up 4	5%	*Ut	3%	*Ut
Males	62%	63%	64%	Up 2	58%	59%	62%	Up 4	4%		2%	
Females	70%	73%	73%	Up 3	65%	66%	69%	Up 4	7%	*Ut	4%	*Ut
White	71%	73%	74%	Up 3	74%	75%	77%	Up 3	-2%		-3%	*Nat
Black	-	-	-	-	39%	41%	46%	Up 7				
Latino	36%	41%	45%	Up 9	43%	44%	49%	Up 6	-3%		-4%	
Low Income (Yes)	51%	53%	55%	Up 4	45%	46%	50%	Up 5	7%	*Ut	5%	*Ut
Low Income (No)	74%	76%	76%	Up 2	76%	77%	79%	Up 3	-1%		-3%	
Student with Disabilities (Yes)	24%	37%	29%	Up 5	29%	33%	36%	Up 7	4%		-7%	*Nat
Student with Disabilities (No)	71%	71%	72%	Level <sup>1</sup>	65%	66%	69%	Up 4	5%	*Ut	3%	*Ut
English Lang. Learners (Yes)	31%	33%	42%	Up 11	28%	27%	30%	Up 2	6%		12%	*Ut
English Lang. Learner (No)	70%	71%	72%	Up 2	65%	66%	69%	Up 4	5%	*Ut	3%	

**2007 NAEP Reading  
UTAH Grade 8**

Percentage of Students At Basic or Above	Utah				Nation				Utah vs. Nation 2005		Utah vs. Nation 2007	
	2003	2005	2007	2003-07 Direction	2003	2005	2007	2003-07 Direction	05	2005 Sig*	07	2007 Sig*
Overall	76%	73%	75%	Level <sup>1</sup>	72%	71%	73%	Level	2%	*Ut	2%	*Ut
Males	72%	67%	71%	Level	67%	66%	68%	Level	1%		3%	
Females	81%	79%	79%	Down 2	77%	76%	77%	Level	3%	*Ut	2%	
White	80%	76%	79%	Level	82%	81%	83%	Level	-5%	*Nat	-4%	*Nat
Black	-	-	-	-	53%	51%	54%	Level				
Latino	51%	52%	53%	Up 2	54%	55%	57%	Up 3	-3%	*Nat	-4%	
Low Income (Yes)	62%	64%	64%	Up 2	56%	57%	58%	Up 2	7%	*Ut	6%	*Ut
Low Income (No)	82%	78%	80%	Down 2	82%	81%	83%	Level	-3%	*Nat	-3%	
Student with Disabilities (Yes)	24%	24%	25%	Level	32%	33%	34%	Up 2	-9%	*Nat	-9%	*Nat
Student with Disabilities (No)	81%	77%	78%	Down 3	77%	75%	76%	Level	2%	*Ut	2%	
English Lang. Learners (Yes)	43%	40%	42%	Level	29%	29%	29%	Level	11%	*Ut	13%	*Ut
English Lang. Learner (No)	79%	75%	78%	Level	75%	73%	75%	Level	2%		3%	*Ut

**2007 NAEP Math  
UTAH Grade 4**

Percentage of Students At Basic or Above	Utah				Nation				Utah vs. Nation 2005		Utah vs. Nation 2007	
	2003	2005	2007	2003-07 Direction	2003	2005	2007	2003-07 Direction	2005	2005 sig*	2007	2007 sig*
Overall	79%	83%	83%	Up 4	76%	80%	81%	Up 5	3%	*Ut	1%	
Males	80%	84%	84%	Up 4	77%	80%	82%	Up 5	4%	*Ut	2%	
Females	78%	82%	82%	Up 4	75%	79%	81%	Up 6	3%	*Ut	1%	
White	84%	87%	88%	Up 4	87%	89%	91%	Up 4	-2%	*Nat	-3%	*Nat
African American	-	-	-	-	54%	60%	64%	Up 10				
Latino	53%	60%	58%	Up 5	62%	67%	69%	Up 7	-7%	*Nat	-12%	*Nat
Low Income (Yes)	67%	72%	71%	Up 4	62%	67%	70%	Up 8	5%	*Ut	1%	
Low Income (No)	85%	89%	90%	Up 5	88%	90%	91%	Up 3	-1%		-2%	
Student with Disability (Yes)	50%	59%	59%	Up 9	50%	56%	56%	Up 6	3%		3%	*Ut
Student with Disability (No)	82%	86%	86%	Up 4	79%	83%	84%	Up 5	3%	*Ut	2%	
English Language Learner (Yes)	51%	58%	59%	Up 8	49%	54%	56%	Up 7	4%		3%	
English Language Learner (No)	82%	86%	86%	Up 4	79%	82%	84%	Up 5	4%	*Ut	2%	

\* Represents a statistically significant (p<.05) difference between Utah and the nation.

**2007 NAEP Mathematics  
UTAH Grade 8**

Percentage of Students At Basic or Above	Utah				Nation				Utah vs. Nation 05		Utah vs. Nation 07	
	2003	2005	2007	2003-07 Direction	2003	2005	2007	2003-07 Direction	2005	2005 sig*	2007	2007 sig*
Overall	72%	71%	72%	Level <sup>1</sup>	67%	68%	70%	Up 3	3%	*Ut	2%	
Males	72%	71%	73%	Level	67%	68%	71%	Up 4	3%	*Ut	2%	
Females	72%	71%	71%	Level	66%	67%	70%	Up 4	4%	*Ut	1%	
White	77%	76%	78%	Level	79%	79%	82%	Up 3	-3%	*Nat	-4%	*Nat
Black	-	-	-	-	39%	41%	47%	Up 8	-	-	-	-
Latino	35%	45%	44%	Up 9	47%	51%	54%	Up 7	-6%	*Nat	-10%	*Nat
Low Income (Yes)	56%	58%	58%	Up 2	47%	51%	55%	Up 8	7%	*Ut	3%	
Low Income (No)	78%	77%	78%	Level	78%	79%	81%	Up 3	-2%		-3%	*Nat
Student with Disabilities (Yes)	27%	23%	21%	Down 6	29%	31%	33%	Up 4	-8%	*Nat	-12%	*Nat
Student with Disabilities (No)	76%	76%	76%	Level	71%	72%	74%	Up 3	4%	*Ut	2%	*Ut
English Lang. Learners (Yes)	33%	37%	41%	Up 8	26%	29%	31%	Up 5	8%		10%	*Ut
English Lang. Learner (No)	74%	74%	75%	Level	69%	70%	73%	Up 4	4%	*Ut	2%	

<sup>1</sup>Level indicates the same percentage of students reaching that level or a change of only 1.

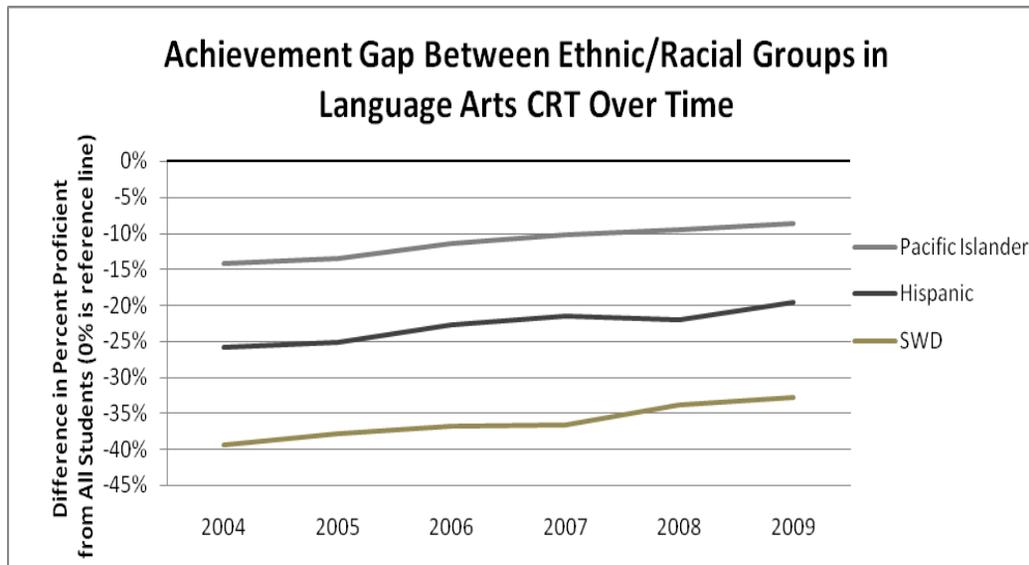
\* Represents a statistically significant (p<.05) difference between Utah and the nation.

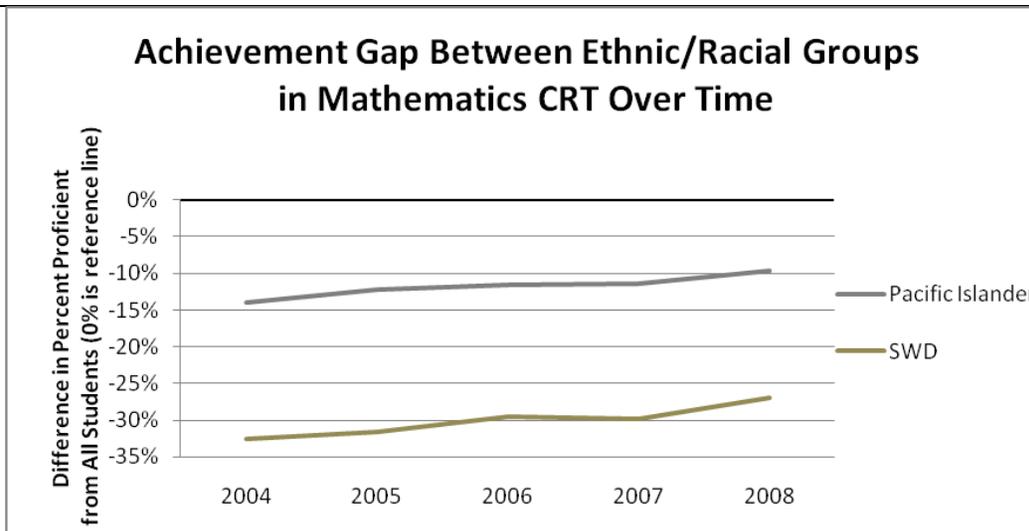
Utah's overall NAEP reading scores are significantly higher than the nation and have shown a steady increase since 2003. The

mathematics scores are also better than the nation and show consistent upward trends.

**(A)(3)(ii)(b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics (NAEP and on the assessment required under the ESEA**

**Table 8 – Achievement Gap between Ethnic/Racial Groups Over Time**





Utah is gradually decreasing the gap between subgroups in reading/language arts and mathematics on both the NAEP and our CRTS. Our targeted subgroups showed increases on the state **Language Arts CRT**. Our Hispanic/Latino subgroup increased their achievement from 54.6% proficient to 61.3%. Our Native Hawaiian and other Pacific Islander subgroup increased from 65.8% to 69.2% proficient. Our economically disadvantaged students experienced an increase from 65.8% proficient to 69.2%. Students with disabilities increased proficiency from 39.9% to 48.1%. During the same period, our ELL group declined very slightly from 53.3% proficiency in language arts in 2003 to 53.1% in 2009. We attribute this decline to a growing population of ELL students and a change in ELL definition in 2008. The U.S. Census Bureau, in 2008, announced that Utah's Hispanic/Latino population had grown 51% since 2000. Our successes in the language arts area have been impacted by our K-3 Reading Initiative, our Optional Extended-day Kindergarten program, the use of Utah's *Three-Tiered Model of Reading Instruction*, and our Family Literacy Centers.

Our targeted subgroups also showed increases on the state **Mathematics CRT**. Our Hispanic/Latino students improved from 51.1% proficiency to 53.1% proficiency. Our American Indian students increased their proficiency from 48.0% to 51.7%. Our Native

Hawaiian and other Pacific Islander students grew from 58.6% proficiency to 64.9% proficiency. Our economically disadvantaged subgroup improved from 61.9% proficiency to 62.0%. Students with disabilities improved from 41.1% to 47.5% proficiency. Our ELL students experienced a decline from 51.8% to 48.4% proficiency. We again attribute this decline to the growth of this population over the last decade. Our increases in mathematics are related to our 4-6 Mathematics Initiative, our USTAR program, and our UTIPS on-line formative assessment program. Another factor in our improved CRT scores is Utah's successful Title I program. Utah recognizes the improvement of student outcomes both overall and by subgroup for Title I schools through two state level awards.

The trends for subgroups on **NAEP** are as follows: in fourth grade there is a consistent upward trend and our eighth grade trends are level. The mathematics trends in fourth grade are up and in eighth grade are level, with the exception of our students with disabilities, which has a slightly decreased trend.

The slow steady increase in subgroup performance, in the face of our limited resources and large class loads, is a testament to the work ethic of our teachers and LEA leaders. Unlike other states with per pupil spending at the national averages, Utah, the lowest funded state, simply has fewer dollars to reallocate to target on special needs. We anticipate that as our newer interventions become more standard practice throughout LEAs, we will see more significant increases in language arts and math proficiency. Unfortunately, without the ability for these interventions to reach critical mass in our LEAs, which can only happen with the kind of significant increase in short term resources that funding from RTTT can provide, the most Utah and the U.S. Department of Education can expect is small but steady improvement over time. Despite our improvement efforts, educational performance remains too low, and the large gaps separating White students and students of color are unacceptable. We will use our RTTT funds to dramatically increase the speed of our improvement efforts.

**(A)(3)(ii)(c) Increasing high school graduation rates.**

USOE uses a Statewide Student Identifier (SSID) to accurately track each student. The class of 2007 was the first high school class to

be tracked in this manner. Utah's overall graduation rate has remained constant at 88%. The single year dropout rates have improved slightly each year from 2007 to 2009. Utah's graduation rate for White students is 91%. Utah's challenge is to increase the graduation rates of our Hispanic/Latino population and our smaller but significantly at-risk population of American Indian students. As our population diversifies and grows, we are seeing downward trends in graduation rates among American Indian, Hispanic/Latino, and limited English proficient students. Utah is not content with an overall 88% graduation rate and is committed to reducing the gap between White and other subgroups while moving the whole state toward a 100% graduation rate. RTTT funds will enable Utah to address these gaps and continue efforts to raise the graduate rate for all subgroups by providing the necessary capacity to implement several initiatives outlined in *Utah's Comprehensive Reform Plan* [see Appendix 3].

**Table 9: Cohort Graduation Rates**

	Whole State	Asian	African American	American Indian	White	Hispanic/Latino	Pacific Islander	Limited English Proficient	Disadvantaged	Students with Disabilities
<b>Cohort Graduation Rate</b>										
<b>2009</b>	88%	90%	77%	73%	91%	70%	86%	68%	77%	80%
<b>2008</b>	88%	89%	73%	72%	91%	69%	86%	65%	78%	80%
<b>2007</b>	88%	91%	77%	75%	90%	72%	86%	75%	77%	77%
<b>Cohort Dropout Rate</b>										
<b>2009</b>	12%	10%	23%	27%	9%	30%	14%	32%	23%	20%
<b>2008</b>	12%	11%	27%	28%	9%	31%	14%	35%	22%	20%
<b>2007</b>	12%	9%	23%	25%	10%	28%	14%	25%	23%	23%

<b>Number of Students in Cohort</b>											
<b>2009</b>	34,292	689	437	551	28,146	3,822	525	2,158	7,409	2,720	
<b>2008</b>	33,447	637	384	500	27,959	3,403	482	1,750	6,792	2,789	
<b>2007</b>	31,268	571	288	502	26,629	2,795	398	2,082	5,369	2,346	
<b>Number of Graduates</b>											
<b>2009</b>	30,081	619	336	403	25,507	2,661	453	1,465	5,728	2,188	
<b>2008</b>	29,359	565	282	360	25,315	2,350	416	1,143	5,272	2,234	
<b>2007</b>	27,588	520	221	374	24,059	1,999	342	1,564	4,155	1,814	
<b>Number of Dropouts</b>											
<b>2009</b>	4,211	70	101	148	2,639	1,161	72	693	1,681	532	
<b>2008</b>	4,088	72	102	140	2,644	1,053	66	607	1,520	555	
<b>2007</b>	3,680	51	67	128	2,570	796	56	518	1,214	532	

Note: The cohort graduation rate is the percentage of students from a three-year cohort who receive a diploma from a Utah public school prior to September 30 of their graduation year. The graduation rate formula is simply the number of graduates in the cohort divided by the number of graduates plus dropouts in the cohort. Students who transferred out of the public education system are excluded from the computation. Cohort graduation rates and dropout rates always total 100%. For example, if the graduation rate is 88%, the dropout rate is 12%.

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

- See graphs and analysis throughout (A)(3)(ii) for summarized results from 2003 to 2009. See Appendix 7 for raw data for ESEA.

**(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

- 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.<sup>2</sup>

*In the text box below, the State shall describe its current status in meeting the criterion. The narrative or attachments shall also*

---

<sup>2</sup>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.

*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):

- 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 and careers.
- The number of States participating in the standards consortium and the list of these States.

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

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*

### **(B)(1) Overview**

Since 1851, Utah has been committed to the use of high-quality statewide standards. We embrace the idea of working with other states to develop internationally benchmarked, college and career ready standards. We are fully committed to adopting and implementing the new standards.

### **(B)(1)(i) State's participation in a consortium of States**

In April 2009, Utah's Governor and State Superintendent of Public Instruction signed a memorandum of agreement, which committed Utah to the Council of Chief State School Officers and National Governors Association development and adoption of

common core standards in English/language arts and mathematics. The standards will be aligned with college and work expectations, be research based, include rigorous content and skills, and will be internationally benchmarked. At the present time, 48 states, 2 territories, and the District of Columbia are committed to developing this common core. The college and career readiness standards were released in September 2009. The draft of the K-12 core standards was released in January 2010. The final draft is due out in June. An advisory group, including experts from Achieve, Inc., American College Testing program (ACT), the College Board, the National Association of State School Boards of Education, and the State Higher Education Executive Officers, is providing advice and guidance on this initiative. Utah has submitted several suggestions for improvement and upgrading of the standards.

**(B)(1)(ii) Plan and Commitment for Adopting Commitment to and progress toward adopting a common set of K-12 standards**

Utah is committed to adopting the common K-12 standards by August 2, 2010, or later date in 2010 if the standards are not yet complete. Utah has a history of successful adoption and implementation of common standards. We will use our effective, time-tested approach to implementation. The approach will follow the timeline below:

**Table 10: Timeline of Activities**

<b>Time</b>	<b>SEA Activities</b>	<b>LEA Activities</b>
May 2010	Review and map common core against current standards	
June 2010	<ol style="list-style-type: none"> <li>1. Present common core and standards map to State Board; recommend adoption of the common core standards as a framework for Utah’s core curriculum</li> <li>2. State Board adopts common core</li> <li>3. Present common core and standards map to LEAs</li> <li>4. Present of implementation tasks and timelines to LEAs</li> </ol>	Attend and participate in presentations of common core as provided by SEA
July – October 2010	Revise core curriculum to reflect the new common core standards	Participate in revision of core curriculum
October 2010	Present new common core curriculum and standards to LEA leadership teams and other stakeholders for public comment	Participate in presentation meetings
November 2010	Solicit public comment	Submit comments
December 2010	<ol style="list-style-type: none"> <li>1. Report to State Board on progress of common core standard initiatives</li> <li>2. Obtain permission for next steps</li> </ol>	
January – February 2011	Prepare professional development on the common core for LEA administrators, teacher representatives, and frontier LEA teachers	
March 2011 –	Provide language arts common core curriculum professional	Participate in training and

June 2012	development. This will include awareness training, implementation training, use of best practices training, and will give the SMARTER Balanced Assessment Consortium time to prepare appropriate assessments. Please note that the IHE deans have also agreed to use the common core with their pre-service teachers.	implement common core language arts curriculum
August 2012 – June 2013	Provide mathematics common core curriculum professional development. This will include awareness training, implementation training, use of best practices training, and will give the SMARTER Balanced Assessment Consortium time to prepare appropriate assessments. Please note that the IHE deans have also agreed to use the common core with their pre-service teachers.	Participate in training and implement common core mathematics curriculum

*Utah’s Comprehensive Reform Plan* in Appendix 3 provides additional details about our plan to help the LEAs implement the new standards. We believe the new common core standards will provide a more stable set of expectations for teachers, students, parents, higher education, and interested stakeholders. The result will be greater consistency in concept instruction and improvement in student outcomes. Dr. Sydnee Dickson, USOE director of Teaching and Learning, will oversee this effort.

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

- See Appendix 8 for the Memorandum of Agreement, executed by the State, showing that it is part of a standards consortium.
- See Appendix 9 for a copy of the draft standards. The draft of the K-12 core standards was released in January 2010. The final draft is due out the first week of June.
- See Appendix 10 for documentation that the standards will be internationally benchmarked and will help to ensure students

are prepared for college and careers.

- See Appendix 11 for a list of states participating. There are 48 states, 2 territories, and the District of Columbia participating.

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

Utah Code, Section 53A-1-401(1), [see Appendix 12] directs the State Board to establish rules and minimum standards for the public schools consistent with the law. The Utah State Board of Education, in accordance with this section, adopts a statewide core curriculum. Under Utah State Board of Education Rule R277-700, [see Appendix 13] the Utah State Board of Education reviews curriculum standards regularly, at least every five years. The Utah State Board of Education establishes minimum credits and credit requirements attached to the standards, which form the basis for high school graduation requirements. Local school boards and charter school governing boards (LEAs) may add additional graduation requirements. Several LEAs also offer differentiated diplomas demonstrating outstanding academic achievement, exceptional citizenship, and exceptional community service. The Utah State Board of Education has voted and agreed to adopt the common core standards.

**(B)(2) Developing and implementing common, high-quality assessments (10 points)**

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—

- (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.

*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)(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*

**(B)(2)(i) and (B)(2)(ii) Work Toward Jointly Developing and Implementing Common Assessments with a significant number of states.**

Utah is a lead state in the SMARTER (Summative Multi-State Resources for Teachers and Education Research) Balanced Consortium. Our associate superintendent for the Assessment and Accountability Division, Dr. Judy Park, is the co-chairman of this group. The following information details the work of the Consortium:

### **THE SMARTER BALANCED ASSESSMENT CONSORTIUM**

The "SMARTER Balanced Assessment Consortium" was formed from a merger of three consortia that emerged in January 2010 in response to the Race to the Top competition: the Balanced Assessment, Multiple Options for Student Assessment and Instruction Consortium (MOSAIC), and SMARTER Consortia, comprising a total of 32 states.

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-

based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning and be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, researchers, and policymakers.

The Consortium recognizes the need for a system of formative and summative assessments, organized around common core standards that support high-quality learning and the demands of accountability, while balancing concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

### **Priorities for Assessment**

As described below, the Consortium members have agreed to a set of principles that are consistent with those used by educational systems of high-achieving nations and states. These include the following:

1. Assessments are grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction, and teacher development. Teachers and other instructional experts are involved in the process of developing formative and summative assessments grounded in the learning standards. These guide professional learning about curriculum, teaching, and assessment. Instructional supports are provided to enable thoughtful teaching. Thus, everything that comes to schools is well-aligned and pulling in the same direction.
2. Assessments include evidence of actual student performance on challenging tasks that evaluate standards of 21<sup>st</sup> Century learning. The assessments evaluate a broad array of skills and competencies and inform progress toward, and acquisition of, readiness for higher education and multiple work domains. They emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers are integrally involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment and unpacking of the common core standards and the identification of the standards in the local curriculum. The Consortium will involve teachers in formative and summative assessment development and support moderation of scoring processes to ensure consistency and to enable teachers to deeply understand the standards and to develop stronger curriculum, instruction, and classroom assessment. Assessment-literate teachers 1) who have gotten "inside" the common core standards, 2) who have taught to the standards, 3) who have learned how to appropriately measure the standards, and 4) who have learned strategies to intervene if students have not measured the standards, will be teachers whose students are learning. Teachers' roles include the construction and review of items/tasks, the definition of scoring guides, selection of student work exemplars, and scoring.
4. Technology is designed to support assessment and learning systems. Technology is used to enhance these assessments by: delivering the assessments; enabling adaptive technologies to better measure student abilities and evaluate growth; supporting on-line simulation tasks that test higher-order abilities, allowing students to search for information or manipulate variables, and tracking information about the students' problem-solving processes; and, in some cases, scoring the results or delivering the responses to trained scorers/teachers to access from an electronic platform. Such a platform can support training and calibration of scorers and moderation of scores, as well as the efficient aggregation of results in ways that support reporting and research about the responses.
5. Assessments are structured to continuously improve teaching and learning. Assessment *as, of, and/or* learning is designed to develop understanding of what learning standards are, what high-quality work looks like, and what is needed for student learning. It is also designed to foster instruction that supports transferable knowledge and skills. These outcomes are enabled by several features of the assessment system:
  - The use of school-based, curriculum-embedded assessments provides teachers with models of good curriculum and assessment practice, enhances curriculum equity within and across schools, and allows teachers to see and evaluate

student learning in ways that can feed back into instructional and curriculum decisions.

- Close examination of student work and moderated teacher scoring are sources of ongoing professional development that improve teaching.
- Developing both on-demand and curriculum-embedded assessments around learning progressions allows teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

### **Goals for the Assessment System**

The SMARTER Balanced Assessment Consortium intends to build a system of assessment based upon the common core standards in English language arts and mathematics with the intent that all students across this consortium of states will know their progress toward college and career readiness. These states believe that the connection between the student, the teacher, the curriculum and instruction, and assessment is the foundation for success for the common core standards and that working together collaboratively to accomplish these tasks is critical.

The Consortium is committed to the development of a system that is state led and will provide:

- Common summative tests in English language arts and mathematics that assess student progress and mastery of core concepts and critical transferable skills using a range of formats: selected-response, constructed-response items, and performance tasks designed together to assess the full range of standards;
- Formative assessment tools and supports that are shaped around curriculum guidance, which includes learning progression, and that link evidence of student competencies to the summative system;
- Focused professional development around curriculum and lesson development, as well as scoring and examination of student work; and
- Reporting systems that provide first-hand evidence of student performances, as well as aggregated scores by dimensions of

learning, student characteristics, classrooms, schools, and LEAs.

### Principles

This system and its development will incorporate:

- A variety of item types to measure the full range of common core standards, including those that address higher-order cognitive skills and abilities;
- A plan to scale up over time to incorporate curriculum-embedded performance assessments, and complex computer based simulations;
- On-line adaptive solutions for summative and interim assessments to provide assessments that meet the needs of all students;
- Support for structured transitions from paper/pencil to on-line adaptive assessments with a back-up paper version available for those states that need it when the assessment initially scales up;
- A systematic solution to informed decision-making that includes formative strategies, benchmark/interim assessments, and summative assessments;
- High-quality curriculum and instructional supports for teachers;
- Inclusion of teachers in design, development, and implementation of the system;
- Adherence to professional standards for assessment;
- Principles of universal design in the design and development process for all students; and
- Optional components that states can use based on their needs.

### Design Agreements

The Consortium will develop a common summative assessment that will provide comparable results across all of the participating states. This comparability will be achieved by applying psychometrically sound scaling and equating procedures to items and a

modest number of performance tasks of limited scope (e.g. no more than a few days to complete) that will be used in common across consortium states. Consortium states will use commonly determined performance standards that are internationally benchmarked.

In addition, some states will work on pushing the edge of the envelope with respect to more ambitious performance assessments, which may be used in common by one or more sub-consortia of states. In the same way, others will undertake more ambitious work with respect to computer adaptive testing and simulations. This design allows the Consortium to create, at one time, a new summative assessment used by a large number of states within the five-year horizon of the federal grant and to create even more leading-edge assessment components for use by a sub-consortia of states that decide to offer augmented assessments. Common use of these augmented assessments across subsets of states will result in comparable results for those components across those states without disrupting the existence of a leaner, common summative assessment across all the states in the Consortium.

Current understandings about the nature of the assessment items, tasks, and strategies are noted below:

***Objective machine-scored items***

- Movement toward more analytic types of selected-response and constructed-response items that are easily scored, including computer simulations.

***Open-ended constructed response***

*Artificial intelligence (AI) scored items.*

- Work to establish efficient means of developing items and reliable scoring processes for complex responses scored by computer.
- Build and maintain the confidence teachers have in the system by incorporating a systematic read-behind by teachers.

### ***Human scored constructed response***

- Develop training and moderated scoring processes for teacher scoring of items that cannot be scored by AI and for additional scoring of AI items.
- Create a strategic mix of teacher and machine scoring should be created to take advantage of efficiencies and reduce burden, while also ensuring teacher participation and learning.

### ***Curriculum-embedded performance assessments***

- The common summative assessment would incorporate performance events of modest scope (1-5 days) to evaluate the standards more fully.
- Some states will form a workgroup to go further with rich performance tasks that can make advances in performance assessments on behalf of the Consortium.
- These more ambitious performance assessments could be included for individual state accountability systems (and for comparisons across a subset of states, if desired) until more states have capacity for implementation.

### ***Advanced Computer based simulations***

- Some states will form a workgroup to make advances in computer-based simulations on behalf of the Consortium
- These simulations could be included in individual state accountability systems until more states have capacity for implementation.

### **Evidence for (B)(2) Consortium Participation**

- As of April 29, 2010, the SMARTER Balanced Assessment Consortium consisted of 32 states. The states are listed in the chart below. Dr. Judy Park, Utah's associate superintendent of Assessment and Accountability, and Tony Alper, Oregon's director of

Assessment and Accountability, are the co-chairs for the Consortium’s steering committee. Susan Gendron, former Commissioner of the Maine Department of Education and current Board Member of the Council of Chief State School Officers, serves as the policy coordinator; Dr. Linda Darling-Hammond, Professor of Education at Stanford University, is the content advisor; and WestEd will serve as the program manager.

**Table 11: States Participating in the SMARTER Consortium**

(as of 4/29/10)

State	Date State Joined Consortium	Member/Governing State
Connecticut	April 13	Member
Delaware	April 14	Member
Georgia	April 28	Member
Hawaii	April 15	Member
Idaho	April 15	Governing
Illinois	April 15	Member
Iowa	April 14	Member
Kansas	April 15	Governing
Kentucky	April 15	Member
Maine	April 14	Governing

Michigan	April 16	Governing
Minnesota	April 27	Governing
Missouri	April 14	Governing
Montana	April 14	Member
Nebraska	April 13	Member
Nevada	April 19	Member
New Hampshire	April 19	Member
New Jersey	April 15	Member
New Mexico	April 13	Member
North Carolina	April 15	Governing
North Dakota	April 15	Member
Ohio	April 20	Member
Oregon	April 15	Governing
Pennsylvania	April 27	Member
South Carolina	April 20	Member
South Dakota	April 15	Member
Utah	April 14	Governing
Vermont	April 15	Governing

Washington	April 14	Governing
West Virginia	April 13	Governing
Wisconsin	April 14	Governing
Wyoming	April 14	Member
<b>Total</b>		<b>Member 32 Governing 13</b>

- See Appendix 14 for the SMARTER MOU and Appendix 15 for SMARTER Balanced Assessment Consortium Governance Structure

**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*

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

Utah has a long history of success with implementing well-defined sets of standards and aligned assessments, beginning with establishment of state core standards in 1851. As a result, Utah has well-established processes for updating and implementing new common core standards and aligned assessments. These established processes are incorporated into Utah's RTTT Application Plan. Implementation of the following projects will allow Utah to meet the Reform Area One Goal and support the transition to the new common core standards and accompanying high-quality assessments. A detailed chart describing these activities (listed as Projects Two and Three under Reform Area One) is included in *Utah's Comprehensive Reform Plan* in Appendix 3.

**Reform Area One Goal: Implement Common Core Standards and assessments in literacy and numeracy that prepare students for success in college and careers.** By **August 2010**, Utah will adopt and begin implementation of K-12 standards in mathematics and literacy created in conjunction with the Council of Chief State School Officers/NGA consortium. **To complement and enhance the effective implementation of the new standards**, Utah will develop and implement high-quality professional development and prepare instructional materials that will increase the capacity of leaders and teachers to teach using best practices. By **July 2012**, Utah will align engaging and relevant mathematics and English courses between all high schools and Utah public and private institutions of higher education to increase student success in the first year of post secondary instruction and will develop a system to monitor student enrollment in courses preparing students for post secondary education that will provide feedback to students, parents, and schools. By **the start of the 2011-12 school year**, Utah, working with the SMARTER Balanced Assessment Consortium, will begin the piloting of high-quality assessments that are aligned with the standards to determine student academic achievement. Implementing new standards along with the use of proven practices will result in more students who can read and compute at the higher levels needed to be successful in life. The timely new assessment data we receive will be used to inform instruction and allow for faster intervention for both struggling and gifted students.

**Student Outcomes:** Implementing new standards along with the use of proven practices will result in more students who can read and compute at the higher levels needed to be successful in life. The timely new assessment data we receive will be used to inform instruction and allow for faster intervention for both struggling and gifted students.

**Project One: Adoption and Implementation of the New Common Core Standards in Reading/Language and Mathematics**

**Rationale:** Utah has successfully used rigorous core standards for over 150 years. The adoption of nationally recognized, relevant common core standards will provide a more stable set of expectations for teachers, students, higher education, and other interested stakeholders. This will result in greater consistency in teacher lesson preparation, concept instruction, and improvement in student outcomes.

**Project Summary, Responsible Parties, Activities, and Timelines:** Upon adoption of the new common core standards, USOE will prepare and deliver new core standards professional development for educators, supervisors, and administrators at state and regional levels, with a focus on integration of academic core standards used across the curriculum, and support LEA’s efforts in implementing the new common core standards into daily instruction. Dr. Sydnee Dickson, USOE Teaching and Learning Department director, will have responsibility for managing this project. The project consists of two (2) activities. Because Utah recently adopted new language/arts and mathematics standards and the next revision does not fall within the RTTT timeline, some RTTT funds are needed to complete this project.

**Activity Table for Project One**

<p><b>Activity 1: Professional development (PD) to support implementation of the new reading/language arts common core standards.</b></p>	<p><b>2010/11:</b> PD for administrators and teacher representatives from all LEAs through a trainer-of-trainers model. LEAs share training with local stakeholders.</p>
	<p><b>2011/12:</b> Follow-up PD. LEAs share training with local stakeholders. On-site PD support as needed for frontier/small LEAs.</p>
	<p><b>2012/14:</b> Targeted PD to LEAs with identified needs. LEAs provide targeted PD to schools with identified needs.</p>

<b>Activity 2: PD to support implementation of the new mathematics common core standards.</b>	<b>2011/12:</b> PD for administrators and teacher representatives from all LEAs through a trainer-of-trainers model. LEAs share training with local stakeholders.
	<b>2012/13:</b> Continued PD for administrators and teacher representatives. LEA provided PD for local administrators and teachers. On-site professional development support as needed for frontier/small LEAs.
	<b>2013/14:</b> Targeted PD for LEAs with identified needs. LEAs target PD to schools with identified needs.

**Project Two: Using the Common Core Standards to Improve Reading Instruction**

**Rationale:** The adoption of new common core standards gives Utah the opportunity to address all aspects of effective delivery of reading instruction. Using lessons learned from our successful K-3 Literacy Initiative, professional development, coaching, and use of Utah's “*Three-Tiered Model of Reading Instruction*” will help us implement the new core. Expanding our literacy initiative, while implementing the new core, will help us increase our capacity to deliver high-quality reading instruction that will increase student achievement in reading/language arts, increase our high school graduation rate, and increase college enrollment.

**Project Summary, Responsible Parties, Activities, and Timelines:** The project consists of four (4) activities. USOE staff will (1) begin development of Web-based lesson plans for reading/language arts areas that ensure alignment across schools/classrooms regardless of variations in materials and which capture the experience and talents of master teachers and the use of best practices; (2) embed a reading strand into the science, social studies, healthy lifestyles, and fine arts cores, and CTE standards; (3) implement recommendations for the expansion of the literacy initiative through eighth grade with a focus on adolescent literacy; and (4) continue to support the work of the Family Literacy Centers and the use of ELL software to assist students with acquisition of English academic language skills and increase reading/language arts proficiency. Dr. Reed Spencer, USOE Teaching and Learning Department literacy coordinator, will oversee development. Because Utah recently adopted new language arts standards and the next revision does not fall within the RTTT timeline, RTTT funds are needed to complete this project.

### Activity Table for Project Two

<b>Activity 1: Develop Web-based lesson plans for reading/language arts areas.</b>	<b>2010/12:</b> Create a repository site for supporting instructional materials (e.g., lesson plans, instructional materials, "best practices" video clips) and provide PD regarding the repository through established LEA Curriculum Directors Meetings. LEAs share repository concept with LEA stakeholders and contribute materials for posting on repository.
	<b>2012/13:</b> Continue repository development. LEAs begin using repository.
	<b>2013/14:</b> Complete repository by July 1, 2014.
<b>Activity 2: Embed a reading strand into the science, social studies, healthy lifestyles, and fine arts core and CTE standards.</b>	<b>2010/11:</b> Form content-specific working groups consisting of USOE and key LEA staff to develop literacy strands for each content area. Groups develop a framework for the literacy strand for their content-area literacy and populate the framework for each grade and course in their content area.
	<b>2011/12:</b> Provide the populated framework to all identified content teachers and high-quality PD on the literacy strands for representatives from all LEAs. Gather input on the literacy strands through a Web-based format. Working groups reconvene in spring 2012 to refine the strands.
	<b>2012/13:</b> Full implementation of the literacy strand. PD support provided to frontier/small LEAs as needed.
	<b>2013/14:</b> Implementation sustained. Support to targeted principals and coaches to strengthen implementation. Support provided to frontier/small LEAs as needed. Support should give all LEAs the capacity to achieve full implementation by the end of the 2013-2014 school year.
<b>Activity 3: Implement recommendations for the expansion of the literacy initiative through eighth grade with a focus on adolescent literacy.</b>	<b>2010/11:</b> Establish Adolescent Literacy Working Committee, consisting of USOE and key LEA staff. Committee develops core-aligned adolescent literacy standards which include a focus on standards for teaching struggling readers.
	<b>2011/12:</b> Distribute and pilot standards. Develop and promote courses for striving readers in all secondary settings. Develop PD on the standards and best practices for teaching them. LEAs participate in the development process.

		<b>2012/13:</b> Provide PD on the standards and best practices for teaching them to LEA teacher representatives. LEAs provide teacher representatives to participate in the PD.
		<b>2013/14:</b> Sustain implementation through targeted, needs-based PD. LEAs begin local PD and implementation with USOE support for frontier/small LEAs as needed. LEAs offer courses for striving readers.
	<b>Activity 4: Continue to support the work of the Family Literacy Centers and the use of ELL software to assist students with acquisition of English academic language skills and increase reading/language arts proficiency.</b>	<b>2010/11:</b> Provide sharing and networking opportunities to help Family Literacy Center personnel use the most effective practices. Construct and implement data-gathering protocols to measure the effectiveness of the program. LEAs share Family Literacy Center efforts and select future Family Literacy Center sites.
		<b>2011/12:</b> Continued sharing and networking opportunities. Initial program implementation at additional sites.
		<b>2012/14:</b> Assist LEAs as needed to support ongoing implementation.

**Project Three: Using the Common Core Standards to Ensure Mathematics Literacy for All Utah Children**

**Rationale:** The adoption of new common core standards gives Utah the opportunity to address all aspects of effective delivery of mathematics instruction. Using lessons learned from our successful 4-6 Mathematics Initiative, professional development, and coaching will help us implement the new core. Expanding our mathematics initiative, while implementing the new core, will help us increase our capacity to deliver high-quality mathematics instruction that will increase student achievement in mathematics, increase our high school graduation rate, and increase college enrollment.

**Project Summary, Responsible Parties, Activities, and Timelines:** USOE will begin development of Web-based lesson plans for mathematics that ensure alignment across schools/classrooms regardless of variations in materials The technology-based plans will capture the experience and talents of master teachers using best instructional practices. USOE will also create new rigorous and relevant math courses that are an alternative to the traditional calculus track, while avoiding the historic problem of "dumbing down." The project also includes plans for a state K-6 mathematics initiative and an algebra mathematics initiative. David Smith, USOE Teaching and Learning Department coordinator for **STEM** will have responsibility for managing this project. This project

consists of three (3) activities. Because Utah recently adopted new mathematics standards and the next revision does not fall within the RTTT timeline, RTTT funds are needed to complete this project.

**Activity Table for Project Three**

<b>Activity 1: Begin development of Web-based lesson plans for mathematics.</b>	<b>2011/12:</b> Create a repository for supporting instructional materials. Provide PD regarding the repository through established LEA Curriculum Directors Meetings. LEAs share repository concept with LEA stakeholders.
	<b>2012/13:</b> Continue repository development.
	<b>2013/14:</b> Continued development and posting of materials to the repository. LEAs begin using the repository.
<b>Activity 2: Create rigorous and relevant math courses that are alternatives.</b>	<b>2010/11:</b> With input from LEAs, industry, and higher education partners, design rigorous and relevant courses that can be taken for credit during the senior year of high school.
	<b>2011/13:</b> Prepare and deliver PD in the content and pedagogy of the new courses for LEA teacher representatives. Support implementation of the new courses, including distance learning opportunities for frontier/small LEAs. LEAs offer new courses.
	<b>2013/14:</b> Provide ongoing PD support to LEAs as needed to support sustainability.
<b>Activity 3: Prepare and implement recommendations for a state K-6 mathematics initiative and an algebra mathematics initiative.</b>	<b>2010/11:</b> Form a mathematics strategic planning task force that includes key LEA staff to develop a K-6 mathematics initiative and an algebra initiative.
	<b>2011/12:</b> Form a development group that includes key LEA staff to design appropriate PD and resources for initiative implementation.
	<b>2012/14:</b> PD for LEA teacher and principal representatives. LEAs implement and participate in evaluation of initiatives.

**Project Four: Ensuring Post secondary Success**

**Rationale:** Utah has implemented successful initiatives designed to help secondary students prepare for college and careers.

Enhancing these initiatives and using lessons learned from the National High School Center reports will help Utah deliver the core

in a manner that leads to greater student engagement, higher levels of achievement, and horizontal and vertical coordination between school levels and higher education.

**Project Summary, Responsible Parties, Activities, and Timelines:** Upon adoption of the new common core standards, USOE will create annual student and parent information regarding career and college pathways and aligned coursework beginning at the end of sixth grade and continuing through twelfth grade; revise and add academic pathways to the career pathway materials; work with LEAs and higher education to advise and initiate secondary renewal and reform; continue coordination with higher education to ensure that dual and concurrent enrollment courses that may lead to an associate degree are offered, and develop at least five areas of emphasis for Associate Degrees that include sufficient flexibility to accommodate academic and CTE issues; using lessons learned from Utah's highly effective AP program, work with two high need LEAs as a pilot to ensure that disadvantaged subgroups have equal access to AP and concurrent enrollment programs; coordinate with higher education to review and ensure that English and mathematics courses are vertically and horizontally aligned and that other current courses required for graduation are aligned to student needs for career and college readiness; review the data and reports from current **STEM** initiatives and propose continued, enhanced, or new initiatives, including CTE initiatives, that increase student participation in the study of **STEM** fields; and work with business, industry, and higher education partners to define needs for a quality workforce and develop instruction to support acquisition of skills to meet those needs. Effective coordination and implementation of this project requires full-time staff. RTTT funding is required to support this project because USOE lacks adequate staff and resources to develop and implement this initiative. Mary Shumway, USOE's Career and Technical Education Department director, and Moya Kessig, USOE's Teaching and Learning Department early college specialist, will have shared responsibility for managing this project. This project consists of eight (8) activities. The activities have been designed to be sustainable with existing state and LEA funds after the initial implementation is completed.

### Activity Table for Project Four

<b>Activity 1:</b> <b>Provide annual information for students and parents regarding career and college pathways and aligned coursework.</b>	<b>2010/11:</b> Form a broad-based committee to develop a career pathway initiative that includes a parent and student Web site, annual guides, and post secondary pathway tracking and commitment materials.
	<b>2011/12:</b> Establish PD for guidance counselors to increase their knowledge of pathways and enhance their ability to communicate information to families, post to parent and student Web site, distribute guides, and assist LEAs in using the pathway commitment materials. LEAs participate in PD, link to the USOE Web site, distribute the guides, and assist parents and students in using the pathway commitment materials.
	<b>2012/14:</b> Maintain initiative and update the guides as needed. LEAs continue implementation.
<b>Activity 2:</b> <b>Revise and add academic pathways to the career pathway materials.</b>	<b>2010/11:</b> Form committees to begin analysis of academic pathways and determine format with LEA participation.
	<b>2011/12:</b> Continue development of pathway project.
	<b>2012/13:</b> LEAs implement the project.
	<b>2013/14:</b> Provide Web access to pathways for all students and parents. LEAs provide ongoing support to parents and students.
<b>Activity 3:</b> <b>Work with LEAs and higher education to advise and initiate secondary renewal and reform.</b>	<b>2010/11:</b> Work with struggling secondary schools and others identified by LEAs. Identify and disseminate information about effective high schools, transition issues, and college readiness.
	<b>2011/14:</b> Provide ongoing support to LEAs.
<b>Activity 4:</b> <b>Continue coordination with higher education for dual and concurrent enrollment courses.</b>	<b>2010/11:</b> Work with higher education partners to maintain and enhance the concurrent enrollment program. Establish working agreements on AD offerings for high school students in five areas of emphasis.
<b>Activity 5:</b> <b>Work with two high need LEAs to ensure that disadvantaged subgroups have quality access to AP and concurrent enrollment programs.</b>	<b>2010/11:</b> Analyze data from the two high need LEAs. With the assistance of College Board, create a plan to address access issues for disadvantaged subgroups in the high need LEAs. The two LEAs participate in development of USOE's plan to address AP and concurrent enrollment access issues.
	<b>2011/12:</b> Provide implementation support for the two LEAs. The

	two LEAs implement the plan.
	<b>2012/14:</b> Monitor implementation progress and evaluate success. The two LEAs make adjustments as necessary.
<b>Activity 6: Coordinate with higher education to review and ensure that English and mathematics are vertically and horizontally aligned and that other current courses required for graduation are aligned to student needs for career and college readiness.</b>	<b>2010/11:</b> Work with business representatives and higher education to determine needed courses and align current courses for career and college readiness.
	<b>2011/12:</b> Provide new course implementation support, including distance learning opportunities for frontier/small LEAs. LEAs offer new courses.
	<b>2012/14:</b> Provide ongoing implementation support.
<b>Activity 7: Review the data and reports from current STEM initiatives and propose continued, enhanced, or new initiatives, including CTE initiatives, that increase student participation in the study of STEM fields.</b>	<b>2010/11:</b> Analyze data regarding current STEM readiness and participation.
	<b>2011/12:</b> Review the data and reports from current STEM initiatives. Determine a model for enhanced and new initiatives to increase student participation in the study of STEM fields.
	<b>2012/14:</b> Pilot and support enhanced and new initiatives.
<b>Activity 8: Work with business, industry, and higher education partners to define needs for a quality workforce and develop instruction to support acquisition of skills to meet those needs.</b>	<b>2010/11:</b> Conduct a statewide study of workforce preparation, with LEA support, to ascertain the skills required for students to be successful in the workforce.
	<b>2011/12:</b> Analyze data and work with business and industry to develop a 6-year plan. LEAs utilize statewide data in developing local plans.
	<b>2012/14:</b> Provide PD and collaborate with business and industry to implement plan at the state, region, and local levels with workforce and higher education partners. LEAs implement local plans.

**Project Five: Improving Early Learning Outcomes**

**Rationale:** The foundation for success in reading and mathematics begins before kindergarten. This is especially true for economically disadvantaged students, English language learners, and students with disabilities. We have learned from our optional extended-day kindergarten initiative that early intervention at the preschool level is essential to narrowing achievement gaps.

**Project Summary, Responsible Parties, Activities and Timelines:** USOE staff will review the data and reports from Utah's K-3 Reading Initiative and use data to identify and replicate high-performing projects and practices; maintain and expand full-day kindergarten to eligible students; and support early intervention programs for high-need Pre-K children by reviewing the data and reports from State preschool programs, CTE-sponsored preschools, and the Utah Preparing Students Today for a Rewarding Tomorrow (UPSTART) Early Learning Initiative (a Waterford Institute Project for in-home, computer-based preparation for school success). Dr. Reed Spencer, USOE Teaching and Learning Department coordinator, will have responsibility for managing this project. RTTT funding is needed to jumpstart the use of common data-gathering protocols. This project consists of four (4) activities.

**Activity Table for Project Five**

<b>Activity 1: Use data and reports from the Utah K-3 Reading Initiative to identify and replicate high performing projects and practices.</b>	<b>2010/11:</b> Identify common data-gathering protocols for both student achievement and program practices. LEAs participate in the development of protocols.
	<b>2011/12:</b> Implement common data-gathering protocols for both student achievement and program practices. Provide guidance and support for principals and coaches for monitoring and driving best practices into every classroom.
	<b>2012/14:</b> Continue previous year's activities. LEAs initiate local efforts.
<b>Activity 2: Maintain full-day kindergarten for eligible students using State funds and use data to replicate high performing projects and practices.</b>	<b>2010/11:</b> Identify data-gathering protocols for both student achievement and effective practices. LEAs participate in the development of protocols.
	<b>2011/13:</b> Implement protocols. Provide ongoing PD in effectiveness with sharing and networking opportunities for teachers.
	<b>2013/14:</b> Provide ongoing support for implementation of extended and full-day kindergarten programs.
<b>Activity 3: Support early intervention programs for high need Pre-K children. Use data and reports from</b>	<b>2010/11:</b> Form a Pre-K Advisory Committee reflective of all stakeholders to make recommendations statewide. Provide ongoing monitoring and possible expansion of UPSTART and provide common PD and assessment protocols for CTE-based and private

<p><b>the UPSTART, CTE sponsored preschools, and other state preschool programs. Make recommendations for changes or for adoption of successful practices.</b></p>	<p>providers with LEAs support.</p>
	<p><b>2011/12:</b> Implement committee recommendations. Select or develop common assessment procedures, provide ongoing monitoring and possible expansion of UPSTART, and provide PD focused on interventions and instruction for high-risk populations of Pre-K children.</p>
	<p><b>2012/14:</b> Monitor and possibly expand UPSTART. Develop a Web site containing guidance for school readiness preparation and support for all Pre-K providers.</p>
<p><b>Activity 4: Develop and distribute Pre-K academic standards.</b></p>	<p><b>2010/11:</b> Using the Pre-K Advisory Committee, develop standards/guidelines to assist all service providers to Pre-K children to strengthen their instruction in school readiness skills.</p>
	<p><b>2011/12:</b> Distribute and pilot the standards/guidelines and provide PD.</p>
	<p><b>2012/13:</b> Fully implement standards/guidelines.</p>
	<p><b>2013/14:</b> Maintain and promote the use of standards/guidelines.</p>

**Project Six: Refinement of Utah Performance Assessment System for Students (U-PASS) Testing**

**Rationale:** Utah has successfully used rigorous core assessments for over forty years. The adoption of nationally recognized, relevant common core standards will require staggered development and adoption of assessments that align with the new standards. Our long-standing experience with test development has shown us that the development of reliable and valid test items takes time and requires piloting of test items in actual exams. Our plan will develop, pilot, and implement the new assessments in a reasonable, well-integrated, and coherent manner.

**Project Summary, Responsible Parties, Activities, and Timelines:** USOE will design and implement testing systems and high-quality assessments that are aligned to the new common core standards and that will evaluate both student growth and status. USOE will also refine assessments for English Language Learners (ELLs) and students with disabilities; design and implement testing systems that use computer technology; continue the current testing pilot and expand the pilot; revise the high school "exit" exam requirements; provide assistance and recommendations for informal, ongoing formative assessment of math and reading in all schools; and create a common, standard kindergarten entry and post assessment. John Jesse, USOE director for Assessment and

Accountability, will have responsibility for managing this project. RTTT funds are needed for expansion of formative assessments, creation of a kindergarten assessment, and to jumpstart technology acquisition for LEAs in need. This project consists of seven (7) activities.

**Activity Table for Project Six**

<b>Activity 1: Design and implement testing systems and high-quality assessments that are aligned to the new common core standards that will evaluate both student growth and status.</b>	<b>2010/15:</b> Participate in common assessment Consortium work for language arts and mathematics.
	<b>2011/12:</b> Pilot reading/language arts assessments in LEAs.
	<b>2012/13:</b> Pilot mathematics assessments in LEAs.
	<b>2012/13:</b> Implement language arts assessments in LEAs.
	<b>2013/14:</b> Implement mathematics assessments.
<b>Activity 2: Design and implement testing systems that use computer technology (dependent upon receiving Common Assessment Consortium Grant).</b>	<b>2010/15:</b> Participate in Common Assessments Consortium work for language arts and mathematics to develop a framework and plan for specific software requirements. Develop and pilot computer-based assessments.
	<b>2012/15:</b> Fully implement computer-based common core language arts and mathematics assessments.
<b>Activity 3: Continue and expand current pilot to allow four urban districts, six frontier districts, and ten charter schools to participate.</b>	<b>2010/14:</b> Increase implementation in pilot LEAs. Continue to evaluate the success of the testing pilots.
<b>Activity 4: Revise the high school "exit" exam requirements. Consider using a combination of CRTS, Explore, Plan, and the ACT for all students.</b>	<b>2011/12:</b> Design and implement new "exit" exam requirements.
	<b>2011/12:</b> Implement improved "exit" exam requirements.
<b>Activity 5: Participate in the formative and interim assessment consortium while expanding informal, ongoing formative assessment of mathematics and reading in all schools.</b>	<b>2011/12:</b> Update the current Utah formative assessment tool (UTIPS) to allow for interim assessments, an increased item bank aligned to the common core standards, and data linked to the State's SIS system.
	<b>2011/12:</b> Begin UTIPS professional development for all LEAs.
	<b>2012/14:</b> Expand the item bank and accompanying PD.

<b>Activity 6: Create a common, standard kindergarten assessment to be used at both the entry of kindergarten and as a post test.</b>	<b>2010/11:</b> Pilot assessment. LEAs review the assessment.				
	<b>2011/12:</b> Conduct statistical procedures (i.e. item analyses, etc.) to refine and improve effectiveness.				
	<b>2012/13:</b> Fully implement assessment.				
<b>Activity 7: Refine assessment systems for ELLs and students with disabilities.</b>	<b>2010/11:</b> Explore options and implement improved ELL assessment system. Develop an approved assessment system for students with disabilities. Provide new assessment PD for LEAs.				
	<b>2011/14:</b> Implement ELL assessment system. Implement improved assessment system for students with disabilities. Provide new assessment PD.				
	<b>2012/14:</b> Analyze data to improve assessments and student performance.				
<b>Performance Measures</b> Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.					
	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
Adoption of the new common core standards	Summer 2010				
100% of language arts common core standards professional development completed in 100% LEAs	NA			X	
100% of mathematics common core standards professional development completed in 100% LEAs	NA				X
100% of language arts common core standards assessment developed	NA			X	
100% of mathematics common core standards assessment developed	NA				X

Language arts common core assessment implemented in 100% LEAs	NA			X	
Mathematics common core assessment implemented in 100% LEAs	NA				X

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

**State Reform Conditions Criteria**

**(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*

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

Our outstanding, ultra high, tech statewide longitudinal data system fulfills, in part or completely, all of the seven capabilities and twelve elements that the 2009 ARRA statewide longitudinal data system (SLDS) request for application prescribes. Utah has a P-20 longitudinal system that meets most of the America COMPETES required elements. With its ARRA/2009 SLDS grant application (#384A1000056), Utah has been awarded funds to enhance its existing longitudinal system and fully meet all the America COMPETES requirements. Our system currently has the following America COMPETES seven capabilities and twelve data

elements:

- (1) Student progress is examined over time from pre-school to post secondary;
- (2) The exchange of data among agencies is facilitated and enabled;
- (3) Student data is linked with teachers;
- (4) Teachers are matched with certifications and teacher preparation programs;
- (5) Data can be easily generated for continuous improvement and decision making;
- (6) Data quality/integrity checks and validations are ensured; and
- (7) The system facilitates the ability of the state to meet the reporting requirements under ARRA.

The 12 elements Utah has in place are:

- (1) The unique student identifier;
- (2) Student level enrollment information;
- (3) Demographic and program participation information;
- (4) Student level exit, transfer, dropout, or continuation to post secondary institution information;
- (5) The ability to communicate with post secondary data systems;
- (6) State data audit systems which assess data quality, validity, and reliability;
- (7) Yearly individual student test records;
- (8) Information on students not tested by grade and subject;
- (9) Teacher identifier with ability to match teachers to students;
- (10) Student level transcript information, which includes courses completed and grades earned;
- (11) Student level college readiness test scores;
- (12) Data on student transitions to secondary through post secondary, including information on remedial course work and

additional data necessary to address preparation/alignment for student success in post secondary education.

Documentation for each of Utah's America COMPETES Act elements can be found in Appendix 16.

USOE, with the other members of the Utah Data Alliance (UDA), which consists of USOE, the UCAT (Utah Career Applied Technology), the Division of Workforce Services, the Utah Education Network, and the Utah Education Policy Center applied for and was awarded an ARRA 2009 Statewide Longitudinal Data Systems (SLDS) Grant, which will help us fine tune the entire set of longitudinal data requirements, most notably with regard to the availability of data for decision making among state agencies.

The Utah Education Network will build and manage the data share system to handle the data while the other agencies provide and consume information from the data. The SLDS funds will take an already functioning system to the next level of service. Utah will be able to generate reports and other student and teacher data faster, so decisions regarding instruction and interventions can be accomplished in a timely manner. Principals will use handheld devices or netbooks to gather teacher evaluation data and monitor student dropout information. These enhancements will make Utah's already well-developed data management system a model for other states.

**Evidence for (C)(1):**

- See Appendix 16 for documentation of each of Utah's America COMPETES Act elements.

**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.<sup>3</sup>

*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) Accessing and using State data**

If teachers, principals, policymakers, and researchers are to make informed decisions about instruction, they must have access to real-time, quality data. Utah is fortunate in that it has a **P-20 longitudinal data system**, which includes all of the America COMPETES required elements. Utah’s RTTT Application Plan for accessing and using state data will expand and adapt our State Longitudinal Data system (SLDS) to enhance existing capabilities, which includes increased data accessibility for educational stakeholders, including researchers. In addition, several key data items will be tracked at the school, LEA, and SEA levels through our data dashboard. Development of the data dashboard began in the fall of 2009 under the direction and vision of Superintendent Larry Shumway. The data dashboard is a way to monitor LEA accountability. The dashboard’s data points correspond to our ***Promises to Keep*** goals and will include data points about literacy proficiency, numeracy proficiency, and career and college readiness. In a plane, the instrument panel is a critical navigational tool. If the pilot doesn’t pay attention to his compass and travels just one degree off course, he can very quickly end up hundreds of miles from his destination. The instrument panel is what lets him know when he needs to make an immediate course correction. Like a plane’s instrument panel, Utah’s data dashboard will help the SEA, LEAs, and schools make the necessary course corrections to keep our students on course for career and college readiness.

<sup>3</sup> Successful applicants that receive Race to the Top grant awards will need to comply with the Family Educational Rights and Privacy Act (FERPA), including 34 CFR Part 99, as well as State and local requirements regarding privacy.

Implementation of the following projects will allow Utah to accomplish the **Reform Area Two Goal: Refine Utah’s Data System to ensure that student growth and proficiency in literacy and numeracy is measured, data can be used to in a timely manner to inform teachers and principals about instruction, and the system includes data that measures instructional quality in the classroom for formative and summative educator evaluations.** A detailed chart describing these activities is included in *Utah’s Comprehensive Reform Plan* in Appendix 3.

**Project One: Expansion and Adaptation of State Longitudinal Data Systems (SLDS)**

**Rationale:** Our outstanding, ultra high-tech Statewide Longitudinal Data System fulfills, in part or completely, all of the seven capabilities and twelve elements that the 2009 ARRA SLDS request for application prescribes. Utah has a P-20 longitudinal system that meets most of the America COMPETES required elements. With its ARRA/2009 SLDS grant application (#384A1000056), Utah has been awarded funds to enhance its existing longitudinal system and fully meet all the America COMPETES requirements.

**Project Summary, Responsible Parties, Activities, and Timelines:** This project consists of seven (7) activities. The first five activities summarize SLDS grant outcomes. The Utah ARRA/2009 SLDS grant brings several state agencies together to share de-identified data and coordinate analyses and research using those data. Completion of this project will allow us to fully implement an enhanced SLDS. Activities 6 and 7 were not tasks included in the SLDS grant; therefore, RTTT funds are needed to conduct these activities. John Brandt, USOE Information Technology director will have responsibility for managing this project. In addition to the awarded SLDS funds, RTTT funds will also be needed to complete this project.

### Activity Table for Project One

<b>Activity 1:</b> <b>USOE will work with our partner agencies to share their de-identified data, and then to coordinate analyses and research using those data. This work will allow all partner agencies to answer policy, program, and practices questions, which include, but are not limited to, questions asked by ARRA, SLDS, RTTT, Institute of Educational Sciences, and State Fiscal Stabilization Fund assurances.</b>	<b>2011/11:</b> Build necessary data infrastructure to conduct data analysis and research.
	<b>2012/13:</b> Populate data share and begin analysis and research.
	<b>2013/14:</b> Continue to expand data sharing and individual and collaborative data analysis and research.
<b>Activity 2:</b> <b>USOE and LEAs improve vertical SSID/SIS integration through automated assignment of statewide student identifiers to supplement and replace current batch system.</b>	<b>2011/12:</b> Modify systems to accommodate new automated processes.
	<b>2012/13:</b> Test and begin using system.
	<b>2013/14:</b> Continue to use and perfect system.
<b>Activity 3:</b> <b>USOE will add disciplinary data to the Utah eTranscript and Records Exchange (UTREx) System.</b>	<b>2010/21:</b> USOE will hire a contractor and lead UTREx and SIS modifications.
	<b>2012/13:</b> LEAs begin reporting. USOE begins using data in ED Facts, etc.
	<b>2013/1:</b> Ongoing use.
<b>Activity 4:</b> <b>USOE will expand Pre-K data collection. Incorporates data into USOE data warehouse.</b>	<b>2011/12:</b> Hire contractor and lead system modifications.
	<b>2012/13:</b> LEAs begin reporting. USOE begins using data.
	<b>2013/14:</b> LEAs continue reporting. USOE analyzes data.
<b>Activity 5:</b> <b>USOE supports collection and analysis of non-cognitive data.</b>	<b>2011/12:</b> USOE, with the University of Utah, hires a contractor and lead UTREx modifications.
	<b>2012/13:</b> LEAs begin reporting data. USOE shares data with U. of U. researchers.
	<b>2012/13:</b> Data analysis is expanded to post secondary and Workforce Services.

	<b>2013/14:</b> Ongoing reporting and analysis.
<b>Activity 6:</b> <b>USOE introduces new data elements to allow connections between measures of quality instruction, teacher practice, strategies, teacher performance, and student achievement.</b>	<b>2011/12:</b> Hire contractors and lead UTREx and SIS modifications.
	<b>2012/13:</b> Test LEA data collections and analyze data.
	<b>2013/14:</b> Ongoing reporting and data use.
<b>Activity 7:</b> <b>USOE integrates Utah SIS2000+ system’s grade book with Utah’s Test Item Pool (UTIPS) formative assessment delivery system via state and common core standards.</b>	<b>2011/12:</b> Hire contractors and lead the integration of the two state-owned systems.
	<b>2012/13:</b> Test system with the help of LEAs.
	<b>201/14:</b> LEAs fully use system and offer suggestions for enhancements.

**Project Two: Effective Data Access for Instructional Improvement**

**Rationale:** Utah has a robust longitudinal data system. For data to be effectively used to improve instruction and increase student learning, the appropriate technology must be used to collect and house the data as well as provide easier accessibility to the data for all educational stakeholders, including parents, teachers, administrators, and researchers.

**Project Summary, Responsible Parties, Activities, and Timelines:** USOE will increase the acquisition, adoption, and use of local instructional improvement systems (technology-based tools and other strategies) that provide teachers, principals, researchers, and administrators with meaningful support and actionable data to systemically manage continuous instructional improvement. Additionally, USOE will develop and implement a state data dashboard. Local data management tools and the state data dashboard will provide stakeholders with the information and resources they need to inform and improve their instructional practices, decisions-making, professional development activities, and overall effectiveness. The original targeted completion date for this project was 2025. RTTT funding will be used to accelerate completion within five years. Jennifer Lambert, Data and Statistics coordinator, will have responsibility for managing this project. This project consists of four (4) activities.

### Activity Table for Project Two

<b>Activity 1:</b> <b>USOE will increase the acquisition, adoption, and use of local instructional improvement systems.</b>	<b>2010/11:</b> Explore and determine most appropriate data management system for implementation in each LEA.
	<b>2011/12:</b> Assist LEAs in implementing a data management system.
	<b>2012/14:</b> Provide LEAs with data management system support during ongoing implementation.
<b>Activity 2:</b> <b>USOE will ensure the state data dashboard tool integrates data from multiple sources for effective decision making.</b>	<b>2010/11:</b> Collaborate with data management tool vendor, LEA Student Information Systems (SIS), and the State Data Warehouse (SDW) to develop the utility that allows data from multiple sources to be integrated.
	<b>2011/14:</b> Implement full capability that allows for integration of multiple data elements.
<b>Activity 3:</b> <b>USOE will ensure local data management tools allow for data collection that is unique to the LEA to be included in the data set available to stakeholders.</b>	<b>2010/11:</b> Collaborate with data management tool vendor, LEA SIS, and the SDW to develop the utility that allows data from LEAs to be integrated.
	<b>2011/14:</b> Implement full capability that allows for integration of multiple data elements.
<b>Activity 4:</b> <b>USOE will ensure data from the SLDS 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 data support decision-makers in the continuous improvement of efforts in such areas as policy, instruction, operations, management, resource allocation, and overall effectiveness.</b>	<b>2010/2011:</b> Begin use of data dashboard.
	<b>2010/2014:</b> Use data dashboard to track progress toward reform goals.
	<b>2010/14:</b> Expand SEA and LEA partnerships with local universities and increase data analysis available on LEA and SEA Web sites. Conduct an outreach program to inform researchers and policymakers of the data available to them.

<b>Performance Measures</b> Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	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
Completion of longitudinal data system	NA		X		
Testing of longitudinal data system	NA		X		
100% implementation of completed longitudinal data system in 100% LEAs	NA			X	

**(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*

**(C)(3) Using data to improve instruction**

With our longitudinal data system and the data it produces, Utah is uniquely poised to use critical information about students to inform instructional decisions. When the adjustments to our SLDS system are complete, teachers, principals, directors, superintendents, policymakers, and researchers will have a wealth of information. Translating that information into coherent action will require professional development and coaching in effective data use. This professional development, provided by the SEA, will give stakeholders the skills they need to increase student learning by improving instruction, providing appropriate intervention, and ensuring more effective decision making. Data on Utah’s students, teachers, and schools is located in a central data warehouse. Any report available to any educator or policymaker is also available to any researcher as long as they follow the regulations outlined in the Family Educational Rights and Privacy Act (FERPA).

**Project: Effective Data Use**

**Rationale:** For data to be effectively used to improve instruction and increase student learning, LEA administrators, principals, and teachers must have the skills, knowledge, and dispositions they need to use data effectively.

**Project Summary, Responsible Parties, Activities, and Timelines:** Using lessons learned from Utah’s Data Institute, USOE will provide professional development to LEAs in the use of data to inform instruction, professional learning communities and school improvement strategies, and in the understanding and use of at-risk, dropout, and graduation data. The original targeted completion date for this project was 2025. RTTT funding will be used to accelerate completion within five years. John Jesse, Assessment and Accountability director will have responsibility for managing this project. This project consists of three (3) activities.

### Activity Table for Project

<b>Activity 1:</b> <b>Provide professional development to LEA level data teams in the use of data to inform instruction. LEA teams will include, at minimum superintendents, curriculum directors, and assessment directors.</b>	<b>2010/11:</b> Implement multi-session Principal Data Institute at the LEA level for 50% of LEAs. Develop electronic data training modules. LEAs participate in training.
	<b>2011/12:</b> Implement Principal Data Institute for 50% of LEAs. Provide 2 <sup>nd</sup> year Institute support for the original 50%. Expand electronic data training modules and provide continued support. LEAs participate in training.
	<b>2012/13:</b> Provide 3 <sup>rd</sup> year Institute support for original 50% and 2 <sup>nd</sup> year support for the second 50%. Provide ongoing support for the electronic data training modules.
	<b>2013/14:</b> Provide 3 <sup>rd</sup> year Institute support for the second 50%. Provide ongoing support for the electronic data training modules.
<b>Activity 2:</b> <b>Develop and provide support for LEAs and struggling schools in the use of professional learning communities and school improvement strategies.</b>	<b>2010/11:</b> Develop specific strategies for individualized Data Consultation through the Data Mentor program.
	<b>2011/14:</b> Expand Data Mentor program and implementation of individualized Data Consultation strategies.
<b>Activity 3:</b> <b>Develop and provide professional development for understanding and using at-risk, dropout, and graduation data.</b>	<b>2010/11:</b> Conduct summit on at-risk, dropout, and graduation data. LEAs evaluate at-risk, dropout, and graduation data and develop plans to improve data and services to students.
	<b>2011/12:</b> Provide PD and technical assistance to LEAs regarding data and best practices. LEAs develop plan for improving programs for at-risk, dropout, and graduation using data.
	<b>2012/14:</b> Provide ongoing PD and technical assistance. LEAs implement plans for improving programs for at-risk, dropout, and graduation using data.

<b>Performance Measures</b> Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	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
Completion of Principal Data Institute professional development for 100% of LEAs	NA				X
Completion of at-risk intervention and dropout prevention and use of data professional development for 100% of LEAs					X

**(D) Great Teachers and Leaders (138 total points)**

**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*

#### **(D) Great Teachers and Leaders Overview**

We believe the most powerful school factor leading to successful student learning is high-quality instruction. Whenever we talk about greater student success, we focus on improving the quality of instruction delivered by our teachers and led by our principals. Quality instruction is delivered by high-quality teachers. Recruiting and nurturing high-quality teachers who use effective instructional principles that lead to student learning is a Utah priority. Utah is a principal member of the Multi-State Consortium for Revisioning the Professional Educator Continuum. Utah and the Consortium are working to define successful models of programs designed to produce great teachers and leaders.

Utah is committed to developing and implementing new evaluation systems for teachers and principals that use student growth, measures of instructional quality, and stakeholder satisfaction to fairly assess teacher and principal effectiveness. High-quality instruction is the **most** important factor to improve student success, and is also the least well measured part of our public education system. Developing and implementing tools to measure and improve high-quality instruction is a centerpiece of our reform plan.

**Reform Area Three Goal: Ensure that all Utah children receive high-quality instruction in every classroom every day by revising the professional educator continuum in a manner that recruits, develops and retains effective teachers and leaders and evaluates their performance in terms of measures of instructional quality, student growth, and stakeholder input.**

Students learn from great teachers and leaders. If our aim is to improve student learning, we must raise the quality of instruction. By **December 2014**, the State Office of Education, working with our higher education partners, will implement a new statewide continuum of support for revisioning how teachers and principals are developed and supported throughout their career. Also by **December 2014**, all of Utah's K-12 teachers will fully participate in LEA evaluation systems that require the use of high-quality instructional strategies evidenced by appropriate and approved measures of quality instruction (including observations of teaching, student growth data, and stakeholder evaluation). This new evaluation system will allow all participating LEAs to have in place a means by which effective and highly effective teachers and principals are identified by the schools and LEAs in which they work. The system will enable all participating LEAs to have a reliable and valid means by which ineffective teachers and principals are identified by the schools and LEAs in which they work and are remediated or terminated. The outcome will be more students prepared and ready for college and careers.

**Student Outcome: Children who receive high-quality instruction in every classroom every day from effective teachers will be prepared and ready for college and careers.**

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

High-quality instruction is the foundation of our State Board *Promises to Keep* mission and vision. This pillar of reform is embedded in developing, recruiting, and retaining a highly effective teacher and principal workforce. Utah **teachers and principals** have multiple opportunities to earn licensure through our successful alternative routes, as well as enrolling in revised and

updated traditional university preparation programs, to ensure that all Utah students are served by effective teachers and leaders. Teachers and principals have access to ten traditionally based preparation programs and ten alternative licensure programs.

**(D)(1)(i) Provisions that allow alternative routes to certification for teachers and principals**

Utah has been committed to alternative licensure pathways formally since 2004. Utah State Code 53A-1-402(1)(a) [see Appendix 17] gives the State Board authority to establish rules for the ARL program. The State Board subsequently developed the policies and procedures that govern the current program. These provisions can be found in State Board Rule 277-503-3 [see Appendix 18]. State Board Rule, R277-503-4, [see Appendix 19] specifically provides program parameters for alternative routes to licensure. Revisions to the rules have been made periodically to provide additional licensure pathways, strengthen the screening processes, and provide ongoing support for candidates. Current programs are being reviewed and revised to provide more on-line opportunities for coursework and collegial support. This is especially important for our candidates in frontier communities who don't have access to face-to-face programs.

In addition to providing many different options for alternative and traditional teacher training, the Legislature and State Board made provisions two years ago for paraeducators working in instructional settings to receive funding to finish their education leading to teacher licensure. The State Board also provided a way for teachers who have left the profession and let their license expire to return to teaching without meeting traditional licensing requirements. Utah code outlines provisions and regulations for *Paraeducator to Teacher* scholarships in Utah Code, Section 53A-60-802 [see Appendix 20]. The rules and procedures for the *Return to Licensure* program can be found in State Board Rule 277-502-6 [see Appendix 21].

Alternative route to licensure programs have also been established for **principals and administrators** in Utah Code, Section 53A-6-110 [see Appendix 22]. A local school board may request, and the State Board may grant, a temporary license permitting persons

with outstanding professional qualifications to serve as a public school administrators. These individuals, working as principals, assistant principals, associate principals, vice principals, assistant superintendents, administrative assistants, directors, specialists, or other LEA positions, may receive “a letter of authorization permitting a person with outstanding professional qualifications to serve in any position that requires a person to hold an administrative/supervisory license or certificate.” Board Rule R277-505-5 [see Appendix 23] also makes exemptions to requirements for administrative licenses for charter directors and superintendents.

Teacher and principal candidates in the state of Utah have the opportunity to select from a variety of pathways to formally enter the field of teaching and administration. These multiple pathways are provided via collaboration among USOE, LEAs, private providers and Institutes of Higher Education (IHEs). The State Board approves and monitors the programs to ensure that the Utah Professional Teaching Standards [see Appendix 24] and Interstate School Leaders Licensure Consortium (ISLLC) standards are the foundation of all preparation programs.

**(D)(1)(ii) Alternative routes to certification in use in Utah**

Utah public schools employ nearly 32,000 licensed educators. Approximately 3,250 new teachers were hired in the 2008-2009 school year. Seventy-four percent of these new teachers were prepared in traditional or alternative university teacher preparation programs, while fourteen percent were hired from a USOE sponsored alternative based program. The remaining percentages of new hires for 2008-2009 were experienced teachers who transferred from another LEA setting. Our ten university based teacher preparation programs produce approximately 2,400 teachers each year and approximately 80% of their program completers are hired in Utah LEAs. Our most prolific alternative preparation program provided over 450 teachers, representing 14% of the new teacher hires in 2008-2009. Approximately 25 new administrators were prepared through alternative routes for the same school year as compared to 450 administrators who were prepared by traditional face-to-face or on-line preparation programs.

Teacher and principal candidates in Utah may select from a variety of pathways to teacher and administrator licensing. These pathways are provided collaboratively by USOE, LEAs, private providers, and Institutes of Higher Education (IHEs). The State Board approves and monitors the programs to ensure that the Utah Professional Teaching Standards [see Appendix 24] and Interstate School Leaders Licensure Consortium (ISLLC) Standards are the foundation of all preparation programs. The ten alternative teacher and principal licensure programs in Utah include the USOE ARL program, American Board for Certification of Teacher Excellence (ABCTE), Troops to Teachers, university based alternative pathways, and LEA sponsored cohorts as described below.

**Alternative Route to Licensure (ARL)** is a Utah State Office of Education (USOE) based teacher and principal preparation program for individuals who currently hold a bachelors degree or higher. The Office of Educator Quality and Licensing administers the program. Participants are hired to teach in an accredited Utah school on a temporary license for up to three years while they are fulfilling licensure requirements. A Professional Growth Plan outlines these requirements, which include taking and passing State Board approved coursework and tests, working with a trained mentor, and demonstrating effectiveness using the employing LEA’s evaluation system. Key to this program is the screening process which includes a background check, application completion, and transcript review. This screening process has been a critical factor in high retention rates for candidates who complete the ARL program. Sixty-five percent of ARL teachers who started their teaching career in the last three years are still teaching. This is significantly higher than the national and Utah averages for teacher retention in the first three years. Program specifics can be found in Appendix 25. As evidenced below in Table 12, the USOE ARL program continues to grow.

**Table 12: Four year comparison of ARL program participants**

	2005	2006	2007	2008
<b>Applications processed</b>	249	527	663	989
<b>Applicants hired by LEAs</b>	94	229	313	452
<b>Participants completing ARL program</b>	85	108	160	151

*Each year represents calendar year of January – December*

**American Board for Certification of Teacher Excellence (ABCTE)** and **Troops to Teachers** are two programs associated with the USOE ARL program. ABCTE was State Board approved several years ago in the area of math to help fill math teacher shortages and provide a competency route to licensure. The State Board has since approved additional content areas. ABCTE applicants are screened in the same manner as other ARL candidates but can choose the on-line competency based route rather than engage in pedagogy and content courses. The ABCTE exams take the place of the content Praxis exams for highly qualified status. Average ABCTE pass rates are higher in Utah (Utah 88% on elementary exam in 2008, U. S. 73%) than in the rest of the ABCTE states. ABCTE believes this is a result of our screening process and ongoing support and monitoring of candidates. Our ARL program included 27 participants in the ABCTE competency based route during the 2008-2009. The Troops to Teachers program is also connected to our ARL program in order to provide ongoing support for candidates. Currently, there are eight Troops to Teachers participants in the ARL program.

**University based alternative pathways** include master's level programs for non-education majors, cooperatives with local LEAs, and on-line or hybrid programs. Dixie State College (DSC) has developed a collaborative model with rapidly growing Washington County School District to provide needed coursework and on-site mentoring for ARL participants. Applicants are screened through USOE while being monitored and mentored by DSC and Washington County School District staff at the local site. USOE also partners with Utah State University to provide a program called the Alternative Teacher Pathway (ATP) designed for current K-12 teachers who want to certify in special education. This master's level program has supported current teachers in making the transition into high-need special education classrooms. Most Utah preparation institutions provide graduate or fifth-year programs for non-education majors, enabling them to become licensed upon completion of appropriate pedagogy coursework and passage of required content exams. **A preparation program does not need to be affiliated with an institute of higher education (IHE) to provide ARL classes in Utah.** A provider that operates independently from an IHE is allowed based on review and approval by USOE.

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

Utah has an award winning (2008 Digital Education Achievement Award) **electronic teacher credentialing and record keeping system** that provides an on-line method for all licensing procedures [see Appendix 26] and collects records of all demographic and credential information on Utah educators. The Computer Aided Credentials of Teachers in Utah Schools (CACTUS) system enables USOE to monitor, evaluate, and identify hiring patterns, qualifications of teachers, experience history, and many other licensing factors. The annual report providing information on issues of preparation, recruitment, and retention of Utah's teachers [see Teacher Report in Appendix 25] is presented to the Legislature and the State Board.

One of the most widely utilized licensing reports is the annual Criticality Index [see Criticality Index in Appendix 27]. This index is developed based on data obtained from the CACTUS system and individual LEAs to determine teacher shortage areas. This data is analyzed and shared with preparation institutions and LEAs. While Utah does not have a significant overall teacher shortage, we continue to struggle to fill positions in special education, math, and science with qualified teachers. It is a challenge for our frontier LEAs to find teachers who are qualified to teach multiple subjects. The Criticality Index does not track principal shortages; however, this data is housed in CACTUS and used to inform recruitment and retention efforts.

Several initiatives have been developed to help fill the shortage areas identified in the Criticality Index. The Public Education Job Enhancement Program (PEJEP) which is outlined in Utah Code 53A-1a-601 [Appendix 28] is funded yearly by the Legislature. PEJEP provides scholarships for advanced degrees, endorsements, license programs and signing bonuses for new hires in the content areas of math, science, and special education. USOE staff provides technical support for the educators enrolled in the program. An annual accountability report on PEJEP is prepared and presented to the Legislature [see Accountability Report in Appendix 29].

University partnerships with LEAs are working to fill the shortages by providing specific alternative programs in the areas of math, special education, and science. Utah State University provides the Alternative Teaching Pathway for Special Education to both practicing teachers and non-traditional students. The University of Utah ARL project provides support for non-traditional students into fields of math and science education and provides additional incentives for women and students of color. Several preparation institutions have teaching majors which include special education certification along with an elementary licensure program. Additional initiatives have included salary supplements for math and science teachers, funded masters programs for special education licensure, full-time coaching support for new math teachers, co-ops with colleges of science and mathematics, and **STEM** projects that are ongoing to recruit math and science majors into teaching.

Utah is not currently experiencing a shortage of school principals or administrators. There are approximately 1,250 school-based administrators serving in Utah schools and another 600 educators with active administrative credentials who are not presently serving in school administrator positions. Our IHEs prepare approximately 150 administrators per year. However, LEA and SEA leaders are concerned about national trends in principal shortages. In order to address these concerns, the principal preparation programs will be reviewed beginning 2010-2011 to ensure that coursework and supervision includes an emphasis on instructional leadership, using data to inform instructional decisions, and supporting teachers in high-quality instruction. The monitoring will be conducted by USOE using a team of experts from higher and public education. Additionally, formal roles are being developed for teacher leaders, in part to attract more high effective teachers into the role of administration. The implementation of a teacher leader license will be implemented by 2011 as well.

**Evidence for (D)(1)(i):** Utah Code, Section 53A-1-401(1)(a), [see Appendix 12] and State Board Administrative Rule, R277-503, Licensing Routes, [see Appendix 19] includes the following provisions for alternative routes to certification:

- Utah Code, Section 53A-1-401(1)(a)[see Appendix 12].
- State Board Administrative Rule, R277-503, Licensing Routes, [see Appendix 19].
- R277-503-4B [see Appendix 19]
- Utah Code, Section 53A-60-802 [see Appendix 20]

**Evidence for (D)(1)(ii):**

See tables in (D)(1)(ii) for a list of ARL programs in Utah, the elements of each program, the number of teachers and principals that have completed each program in 2008-2009, and the number of teachers and principals certified statewide in 2008-2009.

**Reform Plan Criteria**

**(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)
  - 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*

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

The creation and sustainability of a strong Utah economy depends on the state’s ability to educate and employ citizens at a level that is competitive nationally and internationally. Quality instruction is the primary influence on student achievement and therefore must be given considerable attention through policy and practice. Our Reform Area Three Goal, “**Ensure that all Utah children receive high-quality instruction in every classroom every day by revising the professional educator continuum in a manner that recruits, develops, and retains effective teachers and leaders and evaluates their performance in terms of measures of instructional quality, student growth, and stakeholder input**” informs our work in terms of teacher and principal effectiveness. Students cannot learn without great teachers and learners. If our aim is to improve student learning, we must measure and raise the performance of our educators.

The State Board supports comprehensive human capital planning to strategically invest in teachers and principals to improve student outcomes. Our plan to improve instructional quality focuses on (1) selectively recruiting prospective teachers and principals to the profession, (2) improving preparation of prospective teachers and principals, (3) and working to retain the most effective teachers and principals. These recruitment, preparation, and retention efforts will be supported by **a strong evaluation** and system of support.

**(D)(2)(i) Measuring student growth for individual students**

**Foundations for Success:**

Utah has the capacity to measure growth for each individual student and to connect this information to specific teachers. Utah's robust data system is comprised of two major components. USOE maintains a student data warehouse that provides all teachers with **criterion referenced data** and **summative data** from content end-of-year exams and enables each LEA to submit substantial local normative data to provide teachers and leaders with **benchmark achievement data**. Utah's award-winning CACTUS system houses all credential information and teacher assignment data, enabling both LEAs and SEAs to make appropriate teacher assignments, track patterns of equitable distribution, and determine where professional development support is needed to ensure teachers are highly qualified for the subjects they teach. These two systems—**student academic performance and teacher credentialing information**—combine to tie student data to individual teachers.

Each student, teacher, and administrator in Utah is tracked using a **unique personal identification number** that stays with an individual for life. The unique statewide student identifier is a single, non-duplicated number that is assigned to and remains with a student throughout his or her P-20 career. Assignment of a unique statewide student identifier to every student in the P-20 system provides a way to follow students as they move from grade to grade from school to school within the state. It follows the student into Utah's post secondary system. This enables USOE to track students' academic data even if they move throughout the state, or

leave the state and then return. Utah has procedures in place to prevent two different students from receiving the same ID or to prevent the same student from getting a different identifier when she/he changes LEAs. This number is not linked to a student's Social Security number and can be used to link student-level records across all of the state's student-level databases. Ongoing plans and timelines for improving the system were discussed in detail in Section (B)(3) of this application.

Implementation of the following project will allow Utah to use and enhance its current data tools to better measure student growth and teacher effectiveness.

**Project: Using Student Data to Assist in Measuring Instructional Quality**

**Rationale:** Utah is fortunate to already have CACTUS and student data warehouses in place. While these robust data systems are currently providing us the ability to directly tie student data to teacher effectiveness data, we haven't utilized the integration of systems to inform educator improvement.

**Project Summary, Responsible Parties, Activities and Timelines:** This project consists of two (2) activities. They are designed to make better use of student data by informing statewide instructional practices by: (1) utilizing data in the student warehouse to inform teacher and principal evaluation, and (2) expanding the use of CACTUS to house teacher/principal effectiveness data. Travis Rawlings, USOE coordinator of licensing, Teaching and Learning Department, will have responsibility for managing this project.

**Activity Table for Project**

<b>Activity One</b> <b>Utilize data in student warehouse to inform teacher and principal evaluation.</b>	<b>2010-2011:</b> Produce a new educator report using student growth as an effectiveness factor.
	<b>2011-14:</b> Use Data Quality Control Plan to ensure accuracy of data. Monitor LEA data combined with growth for teacher effectiveness designation.

<b>Activity Two</b> <b>Expand use of CACTUS to house teacher/principal effectiveness data.</b>	<b>2010-2011:</b> Produce a new CACTUS evaluation tab on each active educator showing current and historical effectiveness level.
	<b>2011-2012:</b> Continue providing new tab.
	<b>2012-2013:</b> Continue providing new tab.
	<b>2013-2014:</b> Continue providing new tab.

**(D)(2)(ii) Developing rigorous, transparent, fair evaluation systems for teachers and principals that (a) differentiate effectiveness and (b) are designed with teacher and principal involvement**

**Foundations for Success:** Utah is committed to developing and implementing new evaluation systems for teachers and principals that use student growth, measures of instructional quality, and stakeholder information to fairly assess teacher and principal effectiveness. High-quality instruction is the most important factor to improve student success. It is also, perhaps, the least well measured part of our public education system. The State Board’s *Promises to Keep* document [Appendix 30] outlines instructional quality as one of the four pillars of reform. As a commitment to this goal, the State Board began looking at both educator evaluation and accompanying differentiated pay in the fall of 2008. During the past couple of years, various stakeholder groups under the direction of the State Board have been examining educator evaluation and performance pay and have spent the past year laying the foundation for these instructional quality initiatives.

**Projects for Improvement:**

The State Board believes that providing high-quality instruction in all Utah classrooms is a vital thread that should be woven into all preparation, recruitment, induction, and retention activities. Fundamental to our reform efforts in Reform Area Three is (1) developing and implementing the standards and measures of instructional quality, (2) revising our highly utilized Utah Professional Teaching Standards to include the standards and measures of instructional quality, and (3) implementing a statewide comprehensive educator evaluation system to support our mission of ensuring that all Utah students are consistently engaged in high-quality instruction. These efforts cannot be accomplished without engaging all stakeholders in the development and implementation phases. Teachers and principals must be prepared with instructional quality in mind. LEAs must insist on recruiting the most effective

teachers to provide this instruction, and retention efforts must include rewarding those teachers and principals who can demonstrate instructional effectiveness.

**Project One: Developing and Implementing Measures of Instructional Quality**

**Rationale:** Utah believes that one of the greatest factors to successful student learning is through great instruction in our schools.

Whenever we talk about student success, we must also address the quality of instruction. High-quality instruction is the **most** important factor to improve student success. It is also, the least well measured part of our public education system. Developing and implementing tools to define and improve high-quality instruction is a centerpiece of our reform plan. Dr. Sydnee Dickson, USOE director of the Teaching and Learning Department, will have responsibility for managing this project. The project consists of four (4) activities.

**Activity Table for Project One**

<p><b>Activity One: Examine current research and make recommendations for instructional standards and measures.</b></p>	<p><b>2010-2011:</b> With stakeholder representation, examine current research and make recommendations for instructional standards and measures. Present to the State Board for adoption. Share findings with LEAs.</p>
<p><b>Activity Two: Develop toolkit of resources (i.e., video examples, coaching models, observation protocols) to support LEAs in implementing instructional quality standards and measures.</b></p>	<p><b>2011-2012:</b> Develop a toolkit of resources (i.e., video examples, coaching models, observation protocols).</p>
<p><b>Activity Three: Pilot toolkit in frontier and urban/suburban settings.</b></p>	<p><b>2012-2013:</b> Select LEAs to pilot toolkit. Pilot the toolkit. Evaluate the pilot and make changes as needed. <b>2013-2014:</b> Use the toolkit in all LEAs. Assist LEAs in using the toolkit.</p>

**Activity Four:  
Adapt and pilot toolkit to local context and existing  
evaluation systems.**

**2013-2014:** Adapt and pilot toolkit to local context and existing evaluation systems.

### **Project Two: Revise and Implement Utah Professional Teaching Standards**

**Rationale:** The current Utah Professional Teaching Standards (UPTS) were developed by a broad-base group of stakeholders based on the work of Charlotte Danielson and the Interstate New Teacher Assessment and Support Consortium (INTASC) Standards [see Appendix 31]. The UPTS are the foundation for many LEA evaluation systems, university teacher preparation curriculum, and ongoing professional development support, including mentoring of new teachers. After conducting an analysis of current statewide evaluation practices, it is clear that a more current and consistent instructional based framework and accompanying tools are needed to ensure that standards-based evaluation is connected to teacher effectiveness and student growth. The revised UPTS will continue to serve as the foundation for statewide evaluation, teacher preparation, and professional development.

Teachers also need to see exemplars of quality instruction in a job-embedded manner. Currently, this entails leaving the classroom to a substitute in order to view a colleague's classroom. Digital video with accompanying resources and on-line learning communities will be provided for all Utah educators to ensure that standards can be implemented with a common understanding of expectations. The current UPTS have served us well but need to be updated to align with the forthcoming revised INTASC teacher standards and the State Board focus on instructional quality.

Linda Alder, USOE coordinator of instructional quality, will have responsibility for the project. The following three (3) activities will enable us to develop and utilize a more fully aligned and updated set of standards that will continue to promote instructional excellence for the benefit of all Utah students.

### Activity Table for Project Two

<b>Activity One:</b> <b>Revise Utah Professional Teaching Standards to incorporate measures of instructional quality, stages of career development, expectations for student growth, and rubrics for evaluation.</b>	<b>2010-2011:</b> Assemble standards workgroup from stakeholders. Revise standards and accompanying tools. Provide training for and facilitated conversations with IHEs and LEAs on new standards in preparation for alignment of educator preparation programs, induction models, and educator evaluation.
	<b>2011-2012:</b> Pilot standards with a sample of varied LEAs.
<b>Activity Two:</b> <b>Disseminate standards through on-line brochures, seminars and LEA professional development to ensure fidelity of implementation and LEA alignment between evaluation instruments and standards.</b>	<b>2011-2012:</b> Prepare information, seminars and PD. Begin dissemination of materials, seminars, and PD.
	<b>2012-2013:</b> Conduct analysis of LEA educator evaluation systems to ensure alignment with new standards. Provide technical assistance and monitor implementation of updated standards at IHE and LEA levels.
<b>Activity Three:</b> <b>Provide exemplars of instructional excellence outlined in updated Utah Professional Teaching Standards by integrating two on-line tools.</b>	<b>2010-2011:</b> Update on-line tools with new standards.
	<b>2011-2014:</b> Determine effectiveness determined through frequency of usage data, on-line survey tool, and improvement in teacher effectiveness data.

### Project Three: Implement Statewide Educator Evaluation System

**Rationale:** Utah is using a comprehensive approach to educator evaluation. The Utah Professional Teacher Standards (UPTS) are the foundation of educator evaluation systems that start at the pre-service level and follow the educator through to evaluation and development at the LEA level [see UPTS in Appendix 24]. All LEAs in Utah have adopted these standards, and they are implemented in a variety of forms for educator evaluation. During the 2007-2008 school year, a representative group of P-12 LEA-based educators and teacher education faculty met together to study teacher evaluation. The group, known as the Educator Quality Workgroup, conducted a literature review on research-based evaluation practices, examined a variety of evaluation systems used in

Utah LEAs, and made policy recommendations to provoke statewide attention to educator evaluation. The group determined its first priority was to work with key legislators and update Utah Statute to **reflect research-based evaluation components** and **include student achievement** as a key measure. In 2009, the Legislature passed a bill, HB264S [see Appendix 32], that included these elements.

As a result of HB264S, a process is being established with specific standards for formative and summative evaluation, including the **establishment of yearly formative assessments** for educators in all LEAs. At this time, Utah is focused on **creating a statewide approach to educator evaluation** that will include a **framework for evaluation** based on both formative and summative approaches, the use of student growth data, and access to professional development and other resources for improvement of practices. Metrics have been recommended by the State Board for both evaluation and compensation as focusing **40% on student growth, 40% on instructional effectiveness, and 20% on stakeholder satisfaction**. The framework will provide more detail and support for how to measure and report these components.

Most urban/suburban LEAs have valid comprehensive evaluations systems in place; however, student achievement may or may not be a part of teacher assessments, and many LEAs do not include a formative component. Those LEAs have agreed to use RTTT funds to modify their existing systems to meet the new state framework. Other suburban LEAs and frontier LEAs have requested a statewide system that makes transferring teacher employment information easier, as well as providing common data sets from which to establish professional development and other improvement efforts. As a part of the RTTT program, these LEAs will adopt the framework and a state developed system. The new evaluation system will be enhanced by revamping our systems of support for educators. The goals described below were designed and developed with involvement from the Utah Teachers Association (UTA), Utah Education Association (UEA), Utah Association of Elementary School Principals (UAESP), Utah Association of Secondary School Principals (UASSP), and other involved stakeholders who participated in planning discussions with the support of USOE.

The systems were presented to focus groups throughout the state during the planning stage to ensure widespread support. The intention of the State Board is to have a **comprehensive statewide evaluation system institutionalized by 2014.**

Dr. Sydnee Dickson, USOE director of the Teaching and Learning Department, will be responsible for managing this project. The project consists of six (6) activities.

**Activity Table for Project Three**

<p><b>Activity One:</b>  <b>Convene a stakeholder group to develop a statewide educator evaluation framework.</b></p>	<p><b>2010-2011:</b> Reassemble and update the Educator Quality Workgroup. Begin the work of creating a statewide evaluation framework. Examine updated UPTS and instructional standards to frame the work of evaluation. Ensure that the statewide evaluation framework includes instructional effectiveness, student growth, and stakeholder satisfaction. Ensure that the framework is aligned with Utah State Code on educator evaluation.</p>
<p><b>Activity Two:</b>  <b>Create evaluation framework and toolkit.</b></p>	<p><b>2011-2012:</b> Engage in laser-like focus on best instructional practices; work with experts in the field to develop a toolkit based on research. Hire an expert in educator evaluation and measures of instructional quality to act as program coordinator. Create a model quality instruction evaluation tool for LEAs to support their work in instructional improvement and teacher evaluation. The tool will be technology ready and be used for multiple short observation and information gathering activities.</p>
<p><b>Activity Three:</b>  <b>Pilot evaluation framework and toolkit including professional development and technical assistance. Evaluate pilot.</b></p>	<p><b>2012-2013:</b> Provide technical assistance to pilot LEAs as they use the new measures of quality instruction tools. Provide support through materials and professional development for LEAs working on implementation. Assist LEAs in purchasing netbooks or handhelds for collection of data on instructional measures.</p>

<b>Activity Four:</b> <b>Provide monitoring and technical assistance to LEAs.</b>	<b>2012-2013:</b> Transition work of Educator Quality Workgroup to Teacher Effectiveness Committee to provide monitoring and technical assistance to LEAs.
<b>Activity Five:</b> <b>Provide professional development to all LEAs and technical assistance for implementation where needed.</b>	<b>2011-2012:</b> Provide support through materials and professional development for LEAs working on implementation of new framework into LEA system.
	<b>2012-2013:</b> Provide support through materials and professional development for LEAs working on implementation of new framework into LEA system. Assist LEA's in purchasing netbooks or handhelds for collection of data on instructional measures.
<b>Activity Six:</b> <b>Examine existing LEA evaluation systems for alignment and make recommendations for improvement where needed and provide ongoing technical assistance and monitoring.</b>	<b>2012-2013:</b> Monitor LEAs to ensure compliance with new framework and tenets of updated State Board Rule.
	<b>2013-2014:</b> Continue to monitor LEAs to ensure compliance with new framework and tenets of updated State Board Rule. Provide support through materials and professional development for LEAs working on implementation. Monitor effectiveness through analysis of improved practices and student achievement data.

**Project Four: Develop and Implement Instructional Leadership Standards and Principal Evaluation System**

**Rationale:** Utah recognizes that the key to sustaining high-quality instruction in every classroom is the school principal. Many LEAs currently have principal evaluation systems in place based on supervisor observations and stakeholder input. However, current State Board Rule does not define requirements for all LEA evaluation of principals nor does it provide a set of standards by which principal evaluation systems can be developed. The new framework will include both summative and formative measures and will have a foundation in research-based standards. The principal standards will include the knowledge, skills, and attitudes that are needed to lead effectively to improve instruction. A focus on instructional leadership with the goals of *Promises to Keep* at the forefront will align principal practices with intended student outcomes. Doing so will help ensure that Utah students have access to high-quality instruction in every classroom.

Dr. Sydnee Dickson, USOE director of the Teaching and Learning Department, will be responsible for managing this project. The project consists of five (5) activities.

**Activity Table for Project Four**

<b>Activity One:</b> <b>Create a state framework for principal evaluation focused on instructional leadership.</b>	<b>2011-2012:</b> Commission existing Utah Consortium of Education Leadership (UCEL) group to examine research and best practices on principal evaluation systems that focus on instructional leadership. Gather consensus recommendations from UCEL and vet to LEA, SEA, IHE, UEA, UASSA, and PTSA leadership for consideration.
	<b>2012-2013:</b> Write standards from research base and recommendations.
<b>Activity Two:</b> <b>Hire an expert in Principal evaluation to assist with the development of a statewide principal evaluation system based on standards.</b>	<b>2011-2012:</b> Use Request For Proposal (RFP) process to contract with an expert to facilitate development of statewide principal evaluation system based on standards.
	<b>2012-2013:</b> Work with expert and stakeholder team to develop the system and align current principal evaluation systems with new standards.
	<b>2013-2014:</b> Continue work to align current principal evaluation systems with new standards.
<b>Activity Three:</b> <b>Adopt principal standards into State Board Rule.</b>	<b>2012-2013:</b> Ensure that standards and tenets of evaluation are listed in State Board Rule.
<b>Activity Four:</b> <b>Assist and monitor LEAs progress with implementation of new principal evaluation system.</b>	<b>2012-2013:</b> Provide professional development for LEAs to implement new evaluation system or align old system to new standards.
	<b>2013-2014:</b> Provide ongoing monitoring and technical assistance. Ensure new evaluation system components and standards are embedded in all LEA principal evaluation programs.

<b>Activity Five: Contract with outside evaluator to ensure fidelity of planning, development, and implementation; ensure instruments are valid and reliable.</b>	<b>2012-2013:</b> Complete RFP to contract with outside evaluator. Monitor evaluation.
	<b>2013-2014:</b> Monitor evaluation.

**(D)(2)(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**

Currently, provisional educators are required by state statute and State Board Rule to be evaluated annually using formative and summative data. Non-provisional teachers must be evaluated every three years at a minimum but may be evaluated annually for advancement to the next level or if a previous evaluation of performance did not show appropriate performance. Many LEAs use formative evaluation measures annually for veteran or non-provisional teachers but this is not currently a statewide practice. Evaluation information is used for purposes of professional growth, employment decisions, and licensure. Current Utah statute outlines provisions for summative evaluation and corrective discipline. With the development and implementation of the new statewide framework for teacher evaluation, **evaluations will become annual** for all educators.

State statute outlines student achievement, classroom observations, and stakeholder input as a few of the multiple measures required in LEA evaluation systems. State Board Rule will clearly spell out the requirements for all LEAs as part of the statewide evaluation framework. The State Board has recommended that teacher performance should be rated on the following three elements: (a) instructional quality, 40% (b) student achievement, 40%, and (c) stakeholder input, 20%. Key to collecting and analyzing teacher effectiveness data will be the standardization of **student growth measures** and instructional quality measures.

Data on student growth is provided to schools and teachers annually based on state assessments in mathematics and language arts. This information will be refined as a part of our assessment and data activities described earlier in this application. To enable accurate student growth data to be collected over time, each student in Utah schools is issued a unique student

identification number, different than a government-issued Social Security number, that is recognized by every LEA data system in the state. In this way, students can be tracked over multiple years and multiple schools. If a student leaves Utah and returns, the same number is assigned back to the student upon his/her return to ensure continuity of data collection. This data is easily accessed from our student data warehouse and can be used to provide timely and constructive feedback for teachers' and principals' evaluations. Data can be aggregated by school and used for principal evaluation. Data disaggregated by teacher can be used for teacher evaluation. Teacher effectiveness data will be housed in our CACTUS teacher data system enabling LEAs to make sound professional development and employment decisions.

**(D)(2)(iv) Use these evaluations, at a minimum, to inform decisions regarding –**

**(D)(2)(iv) (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development**

The information provided by the evaluations of teachers and principals described in (D)(iii) will be used to provide responsive professional development that includes mentoring and induction support for teachers and principals in years 1-3 of their professional career, and ongoing professional development throughout their career.

**Induction support for teachers:** The Entry Years Enhancement (EYE) [see Appendix 33] is a structured support program for Level 1 or provisional educators. All Level 1 (provisional) educators are required to participate during years 1-3 of their career as they fulfill the requirements to achieve a Level 2 (professional) license. EYE provides novice teachers with school, LEA, and state support for a three-year period, including the support of a trained mentor. Additional requirements include six successful (effective) evaluations (minimum of two evaluations per year for three years), completion of a portfolio, and passing the Principles of Learning and Teaching exam. The goal of the EYE program is to ensure that Level 1 educators develop successful teaching skills and strategies as described in the Utah Professional Teacher Standards (UPTS) with assistance from experienced colleagues.

**Induction support for principals:** Provisional principals will work with an experienced principal for the first three years of their tenure. During that time, they will participate in mentoring relationships and engage in learning communities with other novice and experienced principals. Learning communities may be face-to-face or virtual, with access to virtual communities provided by USOE.

**Coaching:** Teachers and principals who are identified through formative or summative assessments as struggling in one or more areas will work with a highly trained instructional coach (or leadership coach for principals) to create a professional growth plan based on standard specific targets for improvement. Coaches will come from a trained and monitored cadre of coaches who have proven effective in retooling, remediating, or redirecting ineffective educators. All teachers and principals will have access to learning communities (face-to-face and/or virtual), which will also provide support for the development of new skills and understanding.

**Professional development (PD):** Professional development plans for Utah's teachers and principals will be based on the UPTS and Leadership Standards and will be delivered through a job-embedded experience. Plans will include explicit instruction with modeling and follow-up coaching. USOE will provide statewide tools of support to enable all educators, regardless of geographic location, to experience high-quality professional development and ongoing support. One of the tools currently in place is a statewide educator development management, tracking, and reporting solution that enables local LEAs to improve the effectiveness of their professional development programs. This system, known as **OnTrack:**

- Provides a single, personalized entry point to on-line administrator and teacher development resources;
- Distributes time-sensitive, targeted announcements;
- Manages, tracks, and reports on PD;

- Creates customizable educator assessments and surveys;
- Aligns PD to state and local standards; and
- Provides individualized portfolio management and mentor support.

All teachers and principals in the state can use this system to manage their Professional Growth Plans (PGP), record PD activities, and track re-licensure hours.

Race to the Top funds will provide an expansion of an existing real-time video system attached to standards and posted on **OnTrack**. This system is an on-demand professional development resource that allows subscribers to instantly access nearly 1,000 research-based video segments. Segments address relevant educational issues by presenting research from leading experts and showing real best-practice classroom examples. Because video segments are searchable and instantly available, educators can always access information that answers their questions and provides timely support. In addition to its extensive content library, the system provides integrated follow-up tools, reflection activities, tracking, and collaboration and community discussion forums and file sharing to promote greater implementation of learning.

USOE will integrate and implement the use of the two on-line systems to help LEAs implement an effective system for developing and monitoring the professional growth plans of educators. Course content and areas of focus will be developed using data collected from career inventory surveys, teacher working condition surveys, student academic growth data, and the professional development tracking system. *Utah's Comprehensive Reform Plan* [see Appendix 3] includes the improved integration of both of these systems to support professional development, mentoring, and coaching. This will include enhanced training in all LEAs throughout the state to better equip all teachers and principals to access and use both systems in conjunction with their professional portfolios.

Additional support for principals comes through models of university-public school partnerships. One such model is the Brigham

Young University-Public School Partnership, which over the last twenty five years has collaborated with five LEAs representing 1/3 of Utah's students and teachers to provide innovative, research-based professional development programs, curriculum development, and research opportunities. Using this model, universities throughout Utah have entered, and will continue to develop, collaborative teams to provide PD to support the professional growth plans of all educators.

**(D)(2)(iv) (b) Compensating, promoting, and retaining teachers and principals, including opportunities for highly effective teachers and principals to obtain additional compensation and be given additional responsibilities**

The system of teacher and principal compensation promotes professionals who are determined to have mastery levels of professional conduct and who demonstrate a willingness to undertake additional responsibilities. The designation Master Practitioner or Master Principal will provide opportunities for extended contracts (up to 14 days for teachers; 15 days for principals). Additional contract days may be used to provide (1) induction support for teachers or administrators in years 1-3 of their careers; (2) coaching support for professionals who have completed their first three years or who have been identified as needing additional support; (3) PD as needed at a site or LEA level; or (4) additional targeted support to students before or after school or during the summer to ensure appropriate academic growth.

**(D)(2)(iv) (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures**

The decision to grant tenure after the completion of the third year of professional employment as a teacher or principal will be based on successful evaluations of the elements described in (D)(ii), which are: the use of scientifically recognized teaching methods, including the use of formative and summative data and appropriate technologies in instruction; student growth; and stakeholder input. Teachers and principals will receive formative feedback culminating in annual evaluations during the first three years designed to provide sufficient time and information to improve practice. A teacher or principal will be expected to show growth through the first and second year; a teacher who does not demonstrate proficiency by the end of the third year, will not be granted

tenure and may not continue in that position. In addition, educators must complete the EYE requirements explained in D 2 iv (a) in order to move from Level 1 (provisional) to Level 2 (standard) licensure. If a teacher has not been effective in the first three years, the supervising principal and LEA may choose to extend the provisional status for an additional year or non-renew the teacher's contract. If the EYE requirements are not met during the required time period, the educator's license will expire without moving to the professional status. The EYE program is based on research-based standards and accompanying evaluations and exams. By using multiple measures based on a clear set of standards, teachers and principals can obtain both full certification and tenure or be terminated in a fair and transparent manner.

**(D)(2)(iv) (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**

Under Utah's Orderly Termination Act, teachers cannot be dismissed without due process. They must receive notice of the reasons their contract may not be renewed; have an opportunity to correct the problem; and have a fair hearing to hear evidence, examine witnesses and the evidence, be represented by legal counsel, and present each side of the case. Through the process of formative and summative evaluation described in the application, teachers and principals will have ample opportunities to be presented with evidence of any needed improvements and time and support to make those improvements. Teachers or principals who do not demonstrate competency and who do not show appropriate growth in their professional portfolios towards competency will be dismissed and denied the renewal of their Utah teaching or administrative license. Tenured teachers may have up to two years to demonstrate competency after their initial evaluation indicating the need for improvement. The Utah Professional Teaching Standards and the Utah Leadership Standards provide the platform on which improvement, employment, and compensation decisions are made.

<b>Performance Measures</b> 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
<b>Criteria</b>	<b>General goals to be provided at time of application:</b>	<b>Baseline data and annual targets</b>				
(D)(2)(i)	Percentage of participating LEAs that measure student growth (as defined in this notice).	100%				
(D)(2)(ii)	Percentage of participating LEAs with qualifying evaluation systems for teachers.	0%				
(D)(2)(ii)	Percentage of participating LEAs with qualifying evaluation systems for principals.	0%				
(D)(2)(iv)	Percentage of participating LEAs with qualifying evaluation systems that are used to inform:					
(D)(2)(iv)(a)	Developing teachers and principals.	0%				
(D)(2)(iv)(b)	Compensating teachers and principals.	0%				
(D)(2)(iv)(b)	Promoting teachers and principals.	0%				
(D)(2)(iv)(b)	Retaining effective teachers and principals.	0%				
(D)(2)(iv)(c)	Granting tenure and/or full certification (where applicable) to teachers and principals.	0%				
(D)(2)(iv)(d)	Removing ineffective tenured and untenured teachers and principals.	0%				
[Optional: Enter text here to clarify or explain any of the data]						
<b>General data to be provided at time of application:</b>						

Total number of participating LEAs.		108	
Total number of principals in participating LEAs.		1,268	
Total number of teachers in participating LEAs.		23,554	
Data for SY 2008-09. Four Charter Schools opened in SY 2009-10 and could not be included in teacher and principal counts. Counts of principals includes vice principals.			
<b>Criterion</b>	<b>Data to be requested of grantees in the future:</b>		
(D)(2)(ii)	Number of teachers and principals in participating LEAs with qualifying evaluation systems.		
(D)(2)(iii) <sup>4</sup>	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as effective or better in the prior academic year.		
(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)(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.		

<sup>4</sup> 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.

(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):

- Definitions of high-minority and low-minority schools as defined by the State for the purposes of the State's Teacher Equity Plan.

*Recommended maximum response length: Three pages*

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

**(D)(3)(i) Ensuring equitable distribution in high-poverty or high minority schools**

**Measures of Success:** Utah's Teacher Equity Plan in 2006 considered schools as high minority if their student enrollment exceeded 45.75 percent. This was 2½ times the current state minority enrollment percentage of 18.3 percent. Utah's School Year (SY) 2008-09 minority enrollment percentage was 20.7. Using the logic in the Teacher Equity Plan, a school was considered high minority if the student enrollment for SY 2008-09 exceeded 51.75% (2½ times 20.7%). Low minority was calculated by dividing the SY 2008-09 minority enrollment percentage of 20.7 by 2½. Thus, a school was considered low minority if the student enrollment for SY 2008-09 was less than 8.28%.

In accordance with sections 1114(b) and 1115(c)(1)(E) of the ESEA Act, the State Board must ensure that LEAs are in compliance with equitable distribution of highly qualified and experienced teachers in settings where there are high concentrations of poor and minority children. Utah complies with this act by analyzing and reporting on the number of teachers who are highly qualified and the experience level of teachers in each school. This information is disaggregated by poverty quartiles and fall enrollment data indicating high concentrations of ethnic minority students.

To ensure that all children are taught by highly qualified and effective teachers, USOE monitors teacher qualification and experience data through the CACTUS database. USOE requires that each LEA analyze its own growth data and develop equitable distribution plans to show compliance and ensure that all of our students have access to qualified and effective teachers.

In our Utah urban/suburban LEAs, successful efforts have been made to ensure that all courses taught in high-poverty and high minority schools are taught by highly qualified, experienced, and effective teachers. Our frontier schools have also made great strides in equitable distribution of qualified and effective teachers. Efforts have focused on professional development to ensure that teachers have appropriate endorsements and can pass State Board approved tests, as well as providing signing bonuses and loan forgiveness in exchange for a four-year teaching commitment. Data from our 2008-2009 analysis illustrates the success of these efforts while providing us with room for improvement, especially in charter schools.

**Table 13: 2008-2009 Analysis by School Type**

<b>School type</b>	<b>Temporary Authorizations</b>	<b>Level One (Provisional – 3 years or less experience)</b>	<b>Level 2 (Professional license with at least 4 years experience)</b>
Title One Schools	1.5% of total teachers	23.3%	69.6%
Non Title One Schools	1.5% of total teachers	18.7%	75.7%
All Charters	5.6% of total teachers	40.6%	33.6%

Our frontier schools often employ teachers with experience who may not be qualified to teach the variety of subjects they are assigned. Urban LEAs tend to employ less experienced teachers. Overall, improvements are being made but charters and frontier LEAs need specific attention. New efforts will include conducting a more thorough analysis of schools by inspecting additional metrics and more closely monitoring LEA plans. Additional efforts will address recruitment and retention efforts.

**Improvement Efforts:**

While USOE collects and analyzes data on a yearly basis to determine appropriate proportions of highly qualified and experienced teachers in high-poverty and/or high-minority schools, we have not had a yearly action plan in place to impact

appropriate distribution. We provide information to LEAs and then each LEA must submit a yearly plan as part of their Utah Consolidated Application (UCA). The UCA is a public document that is posted yearly on both the LEA and our USOE website. In order to ensure equitable distribution of effective teachers, we will execute both a SEA and LEA level course of action.

### **Expanding LEA Plans with Multiple Sources of Data**

Beginning in **2010**, each LEA plan must include the following:

- Updated Highly Qualified Teacher (HQT) Federal Title IIA data for each school;
- Effective teacher and principal data for each school based on student academic performance as defined in this application;
- Detailed analysis of HQT, **effective teacher**, and experience data for their LEA;
- Detailed plans with actions steps (i.e., incentives, transfers, professional development activities) and timelines;
- Professional development plans to ensure that out-of-field, under qualified, ineffective, or inexperienced teachers are getting the proper content and pedagogical support needed to improve their instructional skills; and
- Budget alignment of Title IIA and other ESEA Title funds with instructional quality initiatives.

Supplemental data sources to determine LEA distribution include high school graduation rates, college enrollment, working conditions for teachers, level of instructional leadership, and family community engagement. The review of data from the UCA enables USOE to review trends and identify any deficient schools or LEAs. Any identified LEA is asked to submit a plan to amend inequitable distribution within 90 days.

### **Project: Providing Statewide Policy and Resources for Equitable Distribution:**

**Rationale:** In addition to monitoring compliance of equitable distribution by LEAs, USOE also provides policy, direction, and resources to aide LEAs in establishing appropriate levels of effective and experienced teachers in every school. While Title IIA

requirements and the Utah Consolidated Application call for equitable distribution practices, USOE also provides leadership and service to LEAs to aide them in meeting the requirements. The following activities will lead to more evenly and equitably distributed teachers, especially in hard to staff frontier settings and schools serving high numbers of minority and impoverished students. Travis Rawlings, USOE coordinator of licensing in the Teaching and Learning Department, will be responsible for managing this project. The project consists of four (4) activities.

**Activity Table for Project**

<p><b>Activity One:</b>  <b>Program CACTUS to house effectiveness data as part of the educator record, making it easier for LEAs to make hiring and placement decisions.</b></p>	<p><b>2010-2011:</b> Work with data services to program CACTUS to house effectiveness data as part of the educator record.</p>
<p><b>Activity Two:</b>  <b>Conduct a more thorough analysis of staffing patterns by LEAs and provide strategies for improvement. Data set for analysis will include transfer data, freshman teacher class data, exit data, and effectiveness data. Make recommendation to LEAs for improvement based on analysis.</b></p>	<p><b>2010-2011:</b> Analyze LEA staffing patterns. Make recommendations and provide strategies for improvement.</p>
	<p><b>2011-2012:</b> Assist LEAs in implementation of improvement strategies.</p>
<p><b>Activity Three:</b>  <b>Expand Teachers-Teachers.Com recruitment tool to provide more thorough reporting on recruitment efforts and ensure all LEAs and IHEs are using the tool as primary application.</b></p>	<p><b>2010-2011:</b> Expand Teachers-Teachers.Com recruitment tool.</p>
	<p><b>2011-2012:</b> Monitor LEAs and IHEs for use of the tool.</p>
	<p><b>2012-2013:</b> Monitor LEAs and IHEs for use of the tool.</p>
	<p><b>2013-2014:</b> Monitor LEAs and IHEs for use of the tool.</p>

**Activity Four:  
Work with county commissions and legislators  
to provide housing incentives and loan  
forgiveness programs to teach in frontier areas.**

**2010-2014:** Work with government stakeholders to implement strategies.

**D)(3)(ii) Ensuring equitable distribution in hard-to-staff subject and specialty areas**

USOE conducts a survey each year in each LEA to determine areas of need in staffing. This survey, along with additional credentialing data, is developed into a list of teaching areas that are placed into a “criticality index” of teaching shortage areas [see Appendix 27]. In Utah, these areas are in mathematics, the physical sciences, and special education. The Terrel H. Bell Teaching Incentive Loan program provides low-interest student loans and/or scholarships to education students in shortage areas. The program also helps recruit outstanding students to teach in prioritized critical areas of need in Utah’s public schools, as defined by USOE criticality index, and to recognize teaching as a positive career choice. The loan program provides scholarships for high school seniors and university students interested in teaching and requires a commitment to teach in Utah public schools for four years.

Frontier schools continue to struggle in finding teachers in shortage areas. Most frontier teachers are required to teach multiple subjects, often teaching a subject in which they are not highly qualified. RTTT funding, in addition to Title IIA funding, will be used to ensure that frontier educators and LEAs are supported with professional development needed for appropriate credentials. Teachers-Teachers.Com is a statewide on-line application system that provides access to a nationwide pool of applicants for frontier LEAs. This system provides us with robust data to track the interest of candidates in frontier and urban jobs. It also provides multiple data sets of information about job seekers. With additional funding we can add new features to the system, enabling all LEAs to have access to reporting systems that track the effectiveness of their job postings.

USOE is working with higher education partners to encourage teachers to upgrade credentials or switch to **STEM** related teaching assignments. PEJEP is a targeted funding source for teachers of math, science, and special education to earn advanced credentials, endorsements or signing bonuses. University programs are working with LEAs to provide credentialing coursework for cohorts of teachers in shortage areas. For example, the Utah State University Alternate Teaching Pathway will help certify teachers in special education. Cooperatives among IHEs, LEAs, Regional Service Centers and USOE will continue to expand based on data derived from current efforts.

**Evidence for (D)(3)(i):**

Utah’s Teacher Equity Plan in 2006 considered schools as high minority if their student enrollment exceeded 45.75 percent. This was 2½ times the current state minority enrollment percentage of 18.3 percent. Utah’s SY 2008-09 minority enrollment percentage was 20.7. Using the logic in the Teacher Equity Plan, a school was considered high minority if the student enrollment for SY 2008-09 exceeded 51.75% (2½ times 20.7%). Low minority was calculated by dividing the SY 2008-09 minority enrollment percentage of 20.7 by 2½. Thus, a school was considered low minority if the student enrollment for SY 2008-09 was less than 8.28%.

<b>Performance Measures for (D)(3)(i)</b>  <i>Note: All information below is requested for Participating LEAs.</i>	Actual Data: Baseline (Current school year or	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<b>General goals to be provided at time of application:</b>	<b>Baseline data and annual targets</b>				
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).	50.7%				
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).	64.2%				

Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.	30.4%				
Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.	18.8%				
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).	18.8%				
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).	43.9%				
Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.	43.9%				
Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.	23.2%				

Currently Utah has in place a growth calculation which is aggregated at the school level (for description of growth calculation see below). The data reported in (D)(3)(i) uses the school level growth calculation for percentages of principals leading schools that are high/low poverty, high/low minority, or both. Growth data is generated at the student level and in the future can be aggregated at the teacher level to determine teacher effective status (highly effective, ineffective). However, teacher level aggregation could not be made in time for this grant application. The percentages for teachers were estimated using manually calculated aggregated class level growth data from a large LEA (Alpine District).

**Progress/Growth**

Utah has employed a “value table” approach for holding schools accountable for student longitudinal growth. The table provides incentives to schools to increase the performance of matched students, especially those scoring below proficient as they move through the school. Due to the large amount of progress that can occur within levels one and two, those levels were divided to award students points for moving from the lower portion of that proficiency level to the higher portion of the proficiency level. These levels were divided by finding the mid-point on the score scale for the base year and then using that equated scale score in subsequent years to divide the performance levels. The value table approach for capturing student progress is based on the theory that accountability can best motivate behavior on the part of school personnel if the expectations are very transparent to the educators. Importantly, the value table approach is one of the few standards-based methods for calculating student growth. Unlike many complex models, educational leaders can calculate their progress scores—as well as what they need to do to meet the state goals—with a hand calculator. Schools are awarded points based on students’ scores in year-one compared to their scores in the next grade in year-two. For example, a student starting in Level 1b in year-one who reaches Level 2a in the next year will generate 225 points for that school. The total number of points for each school is then divided by the number of students for which there is matched data to arrive at the school’s value table score.

**Low/High Minority Schools**

Utah’s Teacher Equity Plan in 2006 considered schools as high minority if their student enrollment exceeded 45.75 percent. This was 2½ times the current state minority enrollment percentage of 18.3 percent. Utah’s SY 2008-09 minority enrollment percentage was 20.7. Using the logic in the Teacher Equity Plan, a school was considered high minority if the student enrollment for SY 2008-09 exceeded 51.75% (2½ times 20.7%). Low minority was calculated by dividing the SY 2008-09 minority enrollment percentage of 20.7 by 2½. Thus, a school was considered low minority if the student enrollment for SY 2008-09 was less than 8.28%.

**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).

223
-----

Total number of schools that are low-poverty, low-minority, or both (as defined in this notice).	280					
Total number of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice).	6,297					
Total number of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice).	9,780					
Total number of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice).	223					
Total number of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice).	280					
The total numbers of teachers in schools that are high/low poverty, high/low minority, or both are not estimated from data from a large LEA (Alpine District). They are actual counts from SY 2008-09.						
<b>Data to be requested of grantees in the future:</b>						
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.						
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.						
<b>Performance Measures for (D)(3)(ii)</b>		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>						

<b>General goals to be provided at time of application:</b>	<b>Baseline data and annual targets</b>				
Percentage of mathematics teachers who were evaluated as effective or better.	58.9%				
Percentage of science teachers who were evaluated as effective or better.	82.5%				
Percentage of special education teachers who were evaluated as effective or better.					
Percentage of teachers in language instruction educational programs who were evaluated as effective or better.	90.9%				
<p>Currently, Utah has in place a growth calculation which is aggregated at the school level (for description of the growth calculation see note in (D)(3)(i)). Growth data is generated at the student level and in the future can be aggregated at the teacher level to determine teacher effective status (highly effective, ineffective). However, teacher level aggregation could not be made in time for this grant application. The percentages for teachers were estimated using manually calculated aggregated class level growth data from a large LEA (Alpine District). Due to how this data was compiled, special education teachers were not identified and that percentage could not be reported at this time. In the future Utah will be able to report growth for special education teachers.</p>					
<b>General data to be provided at time of application:</b>					
Total number of mathematics teachers.	1,585				
Total number of science teachers.	1,281				
Total number of special education teachers.	2,895				
Total number of teachers in language instruction educational programs.	3,112				
<p>The total numbers of teachers in schools that are high/low-poverty, high/low-minority, or both are not estimated from data from a large LEA (Alpine District). They are actual counts from SY 2008-09. Mathematics and science teachers are defined as regular education teachers providing specific instruction in the content area. Utah has defined “teachers in language instruction educational programs” as teachers of either English language arts or foreign language consistent with the federal guidelines designating both areas as NCLB subjects. Multi-subject elementary teachers are not included in the mathematics, science, or language instruction teacher counts.</p>					
<b>Data to be requested of grantees in the future:</b>					
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*

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

**Overview**

Utah is committed to providing high-quality pathways for aspiring teachers and principals. We are committed to our Reform Area Three Goal, “**Ensure that all Utah children receive high-quality instruction in every classroom every day by revising**

**the professional educator continuum in a manner that recruits, develops, and retains effective teachers and leaders and evaluates their performance in terms of measures of instructional quality, student growth, and stakeholder input,”** very seriously. Students cannot learn without great teachers and leaders. If our aim is to improve student learning, we must also raise the quality of instruction. To raise the quality of instruction we must start with our preparation programs.

**(D)(4)(i) Linking student achievement and student growth 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.**

Research (Darling-Hammond, 2000; Wilson, Floden & Ferrini-Mundy, 2001; Sanders, 1996) confirms a significant relationship between teacher quality and student achievement, and that interventions in both teacher education and teacher professional development successfully affect student learning. Research on effective school leadership shows a relationship between instructional leadership and school improvement efforts (Lambert, 2003; Pechura, 2001). Our teacher and principal preparation institutions produce teachers and school leaders who are prepared to face the challenges of today’s classrooms and impact student achievement. Coursework has been changed to focus more on using data for instructional decisions and less on coursework that doesn’t translate to classroom effectiveness. IHEs do not recommend candidates who have not passed required exams, completed coursework, and successfully completed internships and student teaching. In addition, two new programs will be in place by Spring 2011 that will improve our efforts in this area. They include:

- **Effectiveness Data Published on USOE’s Website**

Systems are already in place in CACTUS and the Student Data Warehouse to connect IHE information to applicable LEAs. Our SLDS project described in Section C will enable us to report effectiveness data on the USOE web-site, linking student achievement data to teacher data for each college or university. IHEs are already tracking and reporting this

information as part of their accreditation process but public reporting has not been done to this point. The report will also be built to include school improvement data tied to principal effectiveness. Our assessment measures will change to align with new common core standards; therefore, the school achievement metrics as tied to effectiveness will be reported beginning in the spring of 2012. The State Report Card will include this data as part of our annual reporting system.

- **Student Achievement Data Used to Improve Teacher/Principal Preparation Programs**

Utah is engaged in a multi-state consortium [see Appendix 34] to provide a blueprint for effective pre-service and in-service teacher education and development. This continuum will be used to provide standards for repeated improvement in teacher preparation programs. Through the use of our upgraded data system described in Section C, student achievement data that is tied to the university or college that prepared the students' teachers will be used to inform the Consortium's work.

**(D)(4)(ii) Expanding preparation and credentialing options and programs that are successful at producing effective teachers and principals**

The longitudinal data show that existing preparation and credentialing programs in the state are, overall, producing roughly equivalent groups of well-prepared teacher and principal candidates. Our ARL program provides a robust alternative pathway for 14% of our practicing educators. The ARL program continues to grow and expand. Utah uses the CACTUS database to connect student growth data to teacher programs in the annual Teacher Quality Report. This report includes information about each teacher's degree and credentialing, enabling USOE to disaggregate student and teacher performance data by degree-granting or credentialing institution. This information is reviewed annually by the State Board. In the event that trends in data indicate a program is not adequately preparing teachers, that program is reviewed by the Dean's Council and USOE. The program is required to present a program improvement plan and be monitored to ensure implementation and improvement.

As data are collected on effective and highly effective teachers and principals, those programs that demonstrate the most success will be identified and expanded. Of particular interest will be any program that produces significantly more teachers in hard-to-fill areas, especially math and science, and their recruiting and retention tools. Most importantly, longitudinal data indicating high numbers of highly effective and effective teachers will be used to pinpoint those programs that are most effective. These programs will be replicated. Elements of the successful programs will be identified and presented in meetings with the Dean's Council in order to enable all programs to identify and use successful strategies, provide appropriate academic support, and support meaningful site-based learning opportunities.

**Aligning practice with updated standards:** Utah is represented in two initiatives which will positively influence teacher preparation and support. First, the 2010 Interstate New Teacher Assessment and Support Consortium (INTASC) Task Force is revising teaching standards to reflect the needs of millennial students and teachers, and to include 21<sup>st</sup> Century skill sets. Dr. Sydnee Dickson, director of Teaching and Learning for USOE, is serving on this national task force to give input and direction and will bring back the latest research on teacher effectiveness. The new INTASC standards will be woven into State Board approved preparation program standards that will be collaboratively developed with the Utah Council of Education Deans (UCED), LEAs and USOE. This initiative will tie into updating the Utah Professional Teaching Standards currently under revision. The updates will include proficiency with technology in instruction, focus on instructional strategies, and differentiated instruction.

**Revisoning the teaching profession – a multi-state approach:** Utah is also participating in a multi-state consortium with Kansas, Arkansas, South Dakota, West Virginia, and Missouri to re-envision the teaching profession along the continuum of an educator's career. These six states joined together as a multi-state consortium to engage in collaborative problem-solving to

envision a new system of educator recruitment, development, preparation and advancement [see Appendix 34]. Starting with available research, consortium members examined factors contributing to teacher retention, satisfaction, and success and found that strengthening the preparation programs will aid both the recruitment and retention of effective teachers in every classroom.

Current preparation programs will be examined to ensure alignment with consortium standards, new INTASC standards, and updated UPT standards. A pilot based on the tenets of the Revised Continuum Framework will include:

- Early immersion in classrooms beginning the freshmen year,
- More time in classrooms throughout the program,
- Retooling of coursework,
- Coursework embedded in the classroom,
- Relevant coursework for millennial learners and
- Residency models in high needs areas.

USOE is participating in an integrated teacher preparation pilot with the University of Utah and the Salt Lake School District.

The pilot is testing a model that provides experience for teacher candidates in integrating coursework from special education and general education and focuses on field-based coursework and multiple field-based experiences in an urban setting. Teacher coursework is based on student achievement data and the curriculum focus of Salt Lake School District. If this model demonstrates positive results, the results will be disseminated to all teacher preparation programs in the state. The model will also serve as the pilot to infuse the vision of the consortium Model.

The Consortium is working to provide a blueprint for effective pre-service and in-service teacher education and development.

This continuum will provide standards for repeated improvement in teacher preparation programs. A **teacher residency pilot for**

**urban schools preparation** will be developed **fall of 2010** using the updated standards to reflect the needs of today's classrooms and teachers. The pilot will be conducted in collaboration among the Urban Learning Center at the University of Utah, Salt Lake City School District, and USOE. By creating a residency program in urban settings based on these new standards, we will impact teacher preparation and effectiveness in all our teacher and principal preparation institutions. The development of similar standards and a pilot for principal preparation programs is under way. Utah State University will be working in frontier settings in a similar model for principal preparation. All teacher and principal preparation programs in the state of Utah are taught at fully accredited institutions.

### **Improving principal preparation**

Currently there are six IHEs who prepare approximately 150 leadership candidates for administrative licenses each year. Our ARL program and competency based routes to licensure produce very few candidates as most of our candidates prefer the cohort face-to-face coursework model. This fall we will be adding a hybrid model that incorporates face-to-face and on-line coursework. The emphasis of all of these preparation programs is the internship of 450 hours which leads to a K-12 administrative license. The internship must take place in both an elementary and secondary setting so the candidate understands and experiences the full spectrum of a student's school experience.

### **Development and implementation of Leadership Standards:**

The Dean's Council, the Utah Council for Education Leadership, and leaders from USOE are developing standards for principal preparation that are focused on instructional leadership. Reformation of principal preparation programs includes an examination of current courses as aligned with Interstate School Leaders Licensure Consortium (ISLLC) standards and current research-based practices. The new standards will require that internships include emphasis on analyzing and utilizing student data to inform instructional practices. The new standards will also examine requirements for entrance into principal preparation programs in

order to inform program revisions. This analysis will result in upgrading the current State Board Rule to establish new standards for program admittance and standards for program approval and performance based licensure.

**Full implementation of feedback survey:**

USOE uses the CACTUS system to track the placement of principals at all Utah schools and link effective principals to the principal preparation program from which they graduated. This data will be included in the State Report Card beginning in spring of 2011. In addition to this data, the nationally recognized **School Leadership Preparation and Practice Survey (SLPPS)** will be administered annually in all Utah leadership preparation programs to solicit feedback from their graduates and alumni regarding: program features; leadership learning; outcomes; leadership career intentions and advancement; leadership practices; school improvement work; school climate; student, parent and teacher engagement; and student learning outcomes. The survey was developed through the University Council for Educational Administration Learning and Teaching in Educational Leadership Special Interest Group (UCEA/LTEL-SIG) Taskforce on Evaluating Leadership Preparation Programs. It has been field tested at a variety of programs and institutions nationwide, has demonstrated strong content validity, and the scales have a robust measurement of reliability. Data from the CACTUS system and the SLPPS will be reviewed annually by the Dean's Council and USOE and used to recommend changes in curriculum, intern experiences, and administrative program requirements.

<b>Performance Measures</b>	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
<b>General goals to be provided at time of application:</b>	<b>Baseline data and annual targets</b>				
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.	0%				

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.	0%				
[Optional: Enter text here to clarify or explain any of the data]					
<b>General data to be provided at time of application:</b>					
Total number of teacher credentialing programs in the State.	11				
Total number of principal credentialing programs in the State.	6				
Total number of teachers in the State.	26,412				
Total number of principals in the State.	1,271				
Counts of principals includes vice principals.					
<b>Data to be requested of grantees in the future:</b>					
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*

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

**(D)(5)(i) Provide effective, data-informed professional development, coaching, induction, and common planning and collaboration time for teachers**

We believe that all educators must be engaged in high-quality professional development that is job-embedded in order for students to experience high-quality instruction each day. Utah has adapted the National Staff Development Council Professional Learning Standards, called the Utah Professional Development Standards [See Appendix 35], to guide professional development (PD) efforts.

These standards include:

- Being data driven;
- Using student and teacher data to inform PD content and delivery;
- Providing time for teachers to meet and learn together;

- Providing follow-up after explicit instruction with coaching, mentoring, modeling and resources; and
- Implementing effective learning communities established in every school as a fundamental method of collaborating around school improvement and student success.

In summary, we believe that in Utah schools, **“It is everyone’s job to learn.”**

### Revisoning the Professional Educator Continuum

Six states that share common concerns and beliefs about transforming today’s schools into tomorrow’s dynamic learning environments are developing and implementing a continuum of support for the stages of development in an educator’s career [See Appendix 34]. Utah has been fortunate to be working with Kansas, Arkansas, Missouri, South Dakota, and West Virginia, with the support of Educational Testing Service and the National Staff Development Council to take action on issues of teacher recruitment, preparation, retention, and quality. As a consortium we are: 1) defining a working model of an educator continuum of practice, 2) identifying characteristics of practice for each stage, and 3) integrating into each level of practice innovative 21<sup>st</sup> Century thinking. In developing the continuum we have the following goals in mind:

- Revitalize 21<sup>st</sup> Century teacher preparation models
- Integrate 21<sup>st</sup> Century skills and learning into the P-20 learning process
- Prepare teachers for a virtual learning environment
- Establish systemic support for learning teams
- Develop partnership between P-12 educators and higher education faculty
- Engage community partners in classroom practice
- Differentiate staffing models with structured roles for teacher leaders

**Figure 3: Consortium**



- Implement meaningful assessments of educator proficiency, with targeted feedback, to determine readiness to progress to the next stage.

The continuum of support is defined in four practitioner or career stages: **Preparatory, Novice, Developing, and Experienced.**

While there is much development work to be done in each stage, Utah is focusing on activities that “revision” the profession. These activities will be a collaborative effort among IHEs, LEAs, and USOE and be developed as pilot programs to ensure quality implementation and feasible application. The coordinator of Instructional Quality in the Teaching and Learning Department will oversee these projects with support from additional staff members and direction from the director of Teaching and Learning. Most activities will begin with pilot phases with full implementation by **fall of 2014.**

### **Teacher Career Pathways**

#### **Preparatory Practitioner – candidates seeking to become a teacher through multiple pathways**

The University of Utah and Salt Lake City School District have entered into a partnership with USOE to begin a pilot to restructure the university’s urban elementary teacher preparation program with an emphasis on preparing for urban classrooms and integrated approaches to instruction. The pilot will begin **spring of 2011** to ensure that a cohort of candidates can be followed and analyzed for effectiveness through **2014.** The pilot will incorporate the elements of the following consortium goals:

- Include early field experiences in all preparation programs within cross-level cohorts and in a variety of school/community backed settings
- Examine exemplary cohort models
- Use performance assessments throughout a preparation program (incorporate student growth)
- Build professional growth plans based on feedback from a career inventory and assessment results
- Implement innovative internships, professional development school models, and other school-based programs for preparing teachers

- Explore multiple models that incentivize student teaching and create a more authentic experience.

**Novice Practitioner – teachers who have earned initial license and are working towards professional license**

Novice practitioners require classroom support from well trained and compensated mentors. Time must be provided during the school day for mentors and novice teachers to work together. Release time should also be provided for observation and feedback opportunities. These elements exist to varying degrees in Utah novice teacher classrooms. To ensure appropriate support for effective mentoring practices, a set of **mentor standards** and **accompanying tools** is being developed. The model and tools will be communicated and disseminated **fall 2010**. Our EYE specialist is facilitating this process in collaboration with LEA EYE coordinators, IHEs, and teacher unions. Additional strategies include engaging novice teachers in cohorts to conduct action research and improve instructional practices. A co-teaching model with experienced teachers will also be piloted with the use of RTTT funding. The intended success of this co-teaching pilot will lead to full implementation.

**Developing Practitioner – veteran educators seeking to improve practice and career advancement**

Consortium recommendations for enhancing teacher development include: release time for career advancement including shadowing and observation; distributed leadership opportunities at the school and LEA level; engagement in authentic and reflective teacher evaluation; and meaningful observations of practice with constructive feedback. We will focus our work in this continuum level on real-time access to a digital professional development resource connected to our updated UPTS. USOE will expand a current LEA model to provide access for all teachers, especially those in frontier areas to on-line tools, which provide an on-demand professional development resource that allows access to nearly 1,000 research-based video segments. Segments provide video models of educator standards and quality instruction. Because video segments are searchable and instantly available, educators can always access information that provides timely support.

In addition to its extensive content library, the tool provides integrated follow-up tools, reflection activities, tracking, and

collaboration and community discussion forums and file sharing to promote greater implementation of learning. This video library and accompanying learning community tools will be integrated with our OnTrack professional development tracking system to enable all educators to connect to professional learning opportunities outlined in their individual professional growth plans. These plans are a part of the overall proposed statewide teacher evaluation framework. Ongoing determinations of course content and areas of focus will be informed by ongoing data collection from career inventory surveys, teacher working condition surveys, student academic growth data, and information from the professional development tracking system. This information will be used to coordinate IHE offerings for pre-service and ARL teachers as well as ongoing opportunities for partnership professional development with university and LEA faculties. This project **began fall of 2009** and will be ready to implement by **fall 2010**. RTTT funds will be used to expand learning community capabilities and video library for all frontier and urban/suburban LEAs. This project will be implemented and monitored by the Teaching and Learning Department.

**Experienced Practitioner – teachers who have a teaching position with a professional license seeking opportunities for leadership**

Currently, our educator system provides leadership roles in the form of department or grade level chairs, committee leadership, and various traditional roles. We envision a revised system wherein a teacher who seeks formal leadership opportunities would demonstrate competency in leadership and be given formal responsibilities, licensure, and differentiated compensation for this role. In one school a teacher leader might be released half time to mentor new and/or struggling colleagues. In another school a teacher leader may work part time as a community liaison to engage all families with school improvement efforts. Another may have the role of an expert, working in a colleague's classroom in a coaching model.

To implement these leadership roles in Utah schools, we will plan the following activities beginning in fall 2010. Southern Utah University and University of Utah will partner with USOE and LEAs in this teacher leader endeavor. The Teaching and Learning Department will oversee the project with collaboration of individuals from partners named above.

1. Beginning **fall 2010**, teacher leader standards will be developed. Kansas, South Dakota, West Virginia, and Arkansas will provide technical assistance as they have new standards in place and are part of our multi-state consortium.
2. **Spring 2011**, an accompanying license for teacher leadership will be offered. License will include completion of coursework, a performance assessment, a recommendation by sponsoring LEA, and history of continuous effective or highly effective evaluations.
3. **Fall 2010**, development work begins on performance assessment. Education Testing Services (ETS) is currently developing this instrument for multi-state partners. RTTT funding will help with development, piloting, support materials, and communication.
4. Policy will be developed to provide leverage in statewide LEA participation. Policy will include system support of teacher leaders with structured roles and differentiated pay. By **spring 2012**, policy will be adopted by the State Board.

RTTT funds will be used to support Revisioning the Professional Educator Continuum of Support activities. Funding will be focused on performance assessment development for all levels, expansion of electronic resources, toolkits for implementation, and pilot projects that can be sustained by LEAs and IHEs over time. USOE is committed to a systemic overhaul of the teaching professional in order to meet the needs of millennial teachers and 21<sup>st</sup> Century learners.

**Project: Implementing Recommendations in the Multi-State Consortium for Revisioning the Professional Educator Continuum**

**Rationale:** Utah is establishing a statewide continuum of support for developing and practicing teachers and principals. This initiative will ensure that Utah students have access to high-quality instruction in every classroom and effective and highly effective teachers and principals. Dr. Sydnee Dickson, USOE director of the Teaching and Learning Department, will be responsible for managing this project. The project consists of five (5) activities.

## Activity Table for Project

### Part A: Teacher Leadership Pathways: Pre-Practitioner Preparation

<b>Activity One:</b> <b>Develop and implement State Board teacher preparation program approval standards to augment current approval by NCATE and TEAC and ensure quality in all teacher preparation programs in Utah.</b>	<b>2010-2011:</b> Development activities in collaboration with Institutes of Higher Education (IHEs) and other stakeholders. Hire a project coordinator for Pre-Practitioner activities.
	<b>2011-2012:</b> Implementation activities by IHEs with technical assistance from SEA.
	<b>2012-2014:</b> Monitoring.
<b>Activity Two:</b> <b>Adopt statewide performance assessments throughout preparation programs as an exit requirement from teacher preparation program.</b>	<b>2010-2011:</b> Development of performance assessment with ETS.
	<b>2011-2012:</b> Professional development for IHEs and LEAs to implement assessment.
	<b>2012-2013:</b> Initial implementation with IHEs.
	<b>2013-2014:</b> Analysis of instructional performance in classrooms connected to new cohort of graduates.
<b>Activity Three:</b> <b>Implement a pilot resident professional development school (PDS) model for resident teacher preparation, including co-teaching assignments, internships, and job-embedded coursework in an urban setting. Student teaching will include paid internships.</b>	<b>2010-2011:</b> Initial pilot with University of Utah (U of U), Salt Lake Community College (SLCC), and Salt Lake School District (SLSD).
	<b>2011-2013:</b> Full implementation of PDS resident model with SLSD, U of U and SLCC.
	<b>2013-2014:</b> Analysis of instructional performance in classrooms connected to new cohort of graduates.
<b>Activity Four:</b> <b>Continue the use of the Utah State Office of Education Alternative Route to Licensure (ARL) program and expand support for ARL candidates in urban, suburban, and frontier settings by developing cohort support by mentors, on-line and hybrid coursework provided onsite, and additional support to frontier areas by regional service centers.</b>	<b>2010-2011:</b> Provide startup funding for additional sites to develop support systems for ARL candidates. Create on-line coursework for ARL candidates.
	<b>2011-2013:</b> Work with Regional Service Centers to support ARL candidates in frontier settings.
	<b>2013-2014:</b> Transition leadership for ARL support to Regional Service Centers in frontier settings and LEAs in suburban settings.

**Part B: Teacher Leadership Pathways: Novice Practitioner**

<p><b>Activity One:</b>  <b>Provide a pilot program for university and LEAs to provide collaborative induction support as a seamless transition to full licensure.</b></p>	<p><b>2010-2011:</b> Development activities including travel to on-site IHE/LEA collaborative models.</p>
	<p><b>2011-2012:</b> Lead statewide implementation efforts of pilot program with several LEAs and IHEs.</p>
	<p><b>2012-2013:</b> Conduct 2<sup>nd</sup> year of pilot program.</p>
	<p><b>2013-2014:</b> Implementation of program for all IHEs.</p>
<p><b>Activity Two:</b>  <b>Provide startup funds for LEAs to improve induction programs that include released time to work with trained mentors, reduced class loads and reduced non-classroom assignments.</b></p>	<p><b>2010-2011:</b> Development of Request for Proposal (RFP) for LEAs to procure funding to develop improved induction plans. Provide training to LEAs for development and submission of RFP (may be webinar based for equal access by all LEAs)</p>
	<p><b>2011-2012:</b> Select applicants for funding for initial planning, professional development, and improvement of induction support.</p>
	<p><b>2012-2013:</b> Provide technical assistance for implementation of improved induction plans, including measures for sustainability.</p>
	<p><b>2013-2014:</b> Analyze data, including retention rates, and student learning, to determine success of induction models.</p>
<p><b>Activity Three:</b>  <b>Expand frontier outreach for educators to meet HQT requirements through on-line coursework, on-line communities of support, and other resources with minimal cost to the participants.</b></p>	<p><b>2010-2011:</b> Development of on-line coursework and networking with IHEs and other providers.</p>
	<p><b>2011-2014:</b> Provide technical assistance to IHEs and other on-line providers as well as assisting LEAs in their efforts to help all frontier educators become Highly Qualified Teachers in their assignments.</p>
<p><b>Activity Four:</b>  <b>Administer the Teaching and Working Conditions Survey statewide in order to improve learning environments for students and retention rates for Utah educators.</b></p>	<p><b>2010-2011:</b> Work with New Teacher Center to develop Teacher Working Conditions Survey. Build capacity for implementation through outreach activities.</p>
	<p><b>2011-2012:</b> Administer on-line Survey.</p>
	<p><b>2012-2013:</b> Analyze results and develop training materials for sharing data. Provide technical assistance to LEAs as they strive to use data.</p>
	<p><b>2013-2014:</b> Address policy changes that may arise at state level from survey data. Provide technical assistance to LEAs based on their desired improvements.</p>

**Part C: Teacher Leadership Pathways: Developing Practitioner**

<p><b>Activity One:</b>  <b>Adopt high-quality professional development standards to ensure that professional learning for all educators results in positive changes in student learning.</b></p>	<p><b>2010-2011:</b> Ensure State Board adoption of Professional Development Standards. Provide technical assistance through professional development and accompanying toolkit to build LEA capacity. Hire project coordinator to assist SEA and LEAs with activities to support developing practitioners and teacher leaders.</p>
	<p><b>2011-2012:</b> Build capacity in LEAs to ensure that LEA personnel are engaging educators in high quality professional development leading to improved instruction and student learning.</p>
	<p><b>2012-2013:</b> Provide ongoing technical assistance to ensure statewide use of PD Standards.</p>
	<p><b>2013-2014:</b> Provide ongoing technical support and monitor implementation of State Board adopted PD Standards.</p>
<p><b>Activity Two:</b>  <b>Develop resources for LEAs to provide standards based professional development models (i.e. learning teams, coaching, and peer evaluation).</b></p>	<p><b>2010-2011:</b> Develop resources and provide support to help LEAs in providing opportunities for teachers with career advancement and leadership.</p>
	<p><b>2011-2012:</b> Dissemination of resources and technical assistance to LEAs willing to participate in distributed leadership models.</p>
	<p><b>2012-2013:</b> Provide ongoing technical assistance to LEAs participating in pilot project.</p>
	<p><b>2013-2014:</b> Monitoring of effectiveness of LEA models with analysis and reporting.</p>
<p><b>Activity Three:</b>  <b>Provide standards and innovation configurations (ICs) for effective professional learning communities to ensure that the work is focused on student learning and improving instruction.</b></p>	<p><b>2010-2011:</b> Development of ICs to determine effectiveness of current learning community models.</p>
	<p><b>2011-2012:</b> Provide professional development for use of ICs and evaluation tools.</p>
	<p><b>2012-2013:</b> Provide technical assistance including resource materials and professional development based on results of using ICs for targeted improvement in the use of Learning Communities.</p>
	<p><b>2013-2014:</b> Provide ongoing technical assistance for advancement of effective use of Professional Learning Communities to improve student learning.</p>

<b>Activity Four: Implement the professional development National Staff Development Council (NSDC) Standards Assessment Inventory (SAI) to establish baseline information regarding the effectiveness of current statewide professional development efforts.</b>	<b>2011-2012:</b> Engage LEAs in capacity building activities (setting the stage using the adoption of new PD Standards).
	<b>2012-2013:</b> Conduct NSDC Standards Inventory Survey (SAI). Analysis of SAI results. Share results with LEAs.
	<b>2013-2014:</b> Provide technical assistance based on findings from SAI. Continue to model and promoting best PD practices through existing venues.

**Part D: Teacher Leadership Pathways: Experienced Practitioner**

<b>Activity One: Develop teacher leaders standards with accompanying licensure/endorsement requirements, coursework, and performance assessment.</b>	<b>2010-2011:</b> Work with UEA, Utah Consortium of Education Leadership (UCEL), Utah Council of Education Deans (UCED), and LEA reps to develop standards and accompanying tools for implementation.
--	---

<b>Activity Two: Develop cadre of teacher leaders in using formative assessment to improve student learning (Keeping Learning on Track) resulting in capacity building for LEAs to engage in school-wide KLT model.</b>	<b>2010-2011:</b> Select cadre of teacher leaders to begin pilot phase of Keeping Learning on Track (KLT).
	<b>2011-2012:</b> Support teacher leader cadre in 2 <sup>nd</sup> year of pilot phase of KLT.
	<b>2012-2013:</b> Expand cadre of teachers to engage larger group of educators in using formative assessments for improved learning.
	<b>2013-2014:</b> Support implementation with technical assistance to ensure that LEAs can provide ongoing support with KLT.

<b>Activity Three: Develop models of differentiated staffing options (i.e., full time release: 1/3 with new teachers, 1/3 on school projects, and 1/3 with universities).</b>	<b>2011-2012:</b> Collaborate with IHEs, LEAs, and other providers to develop differentiated staffing models for teacher leaders, especially to support new and/or struggling teachers.
	<b>2012-2013:</b> Initiate differentiated staffing models for teacher leaders through pilot phase. Transitioning to LEAs embedding this as part of regular staffing patterns.
	<b>2013-2014:</b> Provide technical assistance to LEAs who want to initiate and implement varied staffing models to improve teacher quality and student learning.

<b>Activity Four:</b> <b>Provide leadership opportunities for teacher leaders outside of the classroom to enhance their content knowledge and leadership skills.</b>	<b>2010-2011:</b> Provide staff support needed to develop partnerships with community and business leaders in order to provide internships for practicing teacher leaders that will enhance their content knowledge and skills and provide real world hands on experience with leadership outside of classroom.
	<b>2011-2012:</b> Work with LEAs to determine criteria and pair selected teacher leaders with appropriate business/community partners for leadership internships.
	<b>2012-2013:</b> Work with LEAs to determine criteria and pair selected teacher leaders with appropriate business/community partners for leadership internships.
	<b>2013-2014:</b> Transition oversight of partnerships to LEAs. Conduct analysis of project effect on teacher leadership and school improvement.

**Part E: Principal Leadership Pathway**

<b>Activity One:</b> <b>Improve administrator preparation programs through: 1) development of state standards that include a strong focus on instructional leadership and the use of data to increase achievement, and 2) review and revision of entrance requirements into principal preparation programs.</b>	<b>2010-2011:</b> Engage with IHEs and LEAs in developing standards for instructional leadership preparation programs. Hire a principal leadership coordinator team.
	<b>2011-2012:</b> Implement standards in State Board Rule and practice.
	<b>2012-2013:</b> Monitor IHE school administrator preparation programs for compliance with program standards.
	<b>2013-2014:</b> Ongoing monitoring and technical assistance.

<b>Activity Two:</b> <b>Work with LEAs to develop and implement collaborative induction and coaching programs for principals.</b>	<b>2010-2011:</b> Collaborate with IHEs and LEAs to develop models of effective induction for new principals.
	<b>2011-2012:</b> Provide technical support for IHEs to work with LEAs in adopting improved induction models that engage both the IHE and the LEA in the process.
	<b>2012-2013:</b> Provide technical support for IHEs to work with LEAs implementing improved induction models that engage both the IHE and the LEA in the process.
	<b>2013-2014:</b> Assess effectiveness of collaborative induction models for principals.

<b>Activity Three: Provide high quality professional development including on-line communities, face-to-face instruction and regional academies for practicing principals to ensure instructional leadership practices are in place to improve instruction for all students.</b>	<b>2010-2011:</b> Assist LEAs in developing models of professional development to improve instructional leadership practices. Focus on efforts for frontier Principals through on-line professional development, on-line learning communities, and support through Regional Service Centers.
	<b>2011-2012:</b> Assist LEAs in implementing PD models for instructional leadership with practicing administrators.
	<b>2012-2013:</b> Provide ongoing technical assistance as needed.

**(D)(5)(ii) Measure, evaluate, and continuously improve the effectiveness of those supports in order to improve student achievement**

USOE will partner with ETS and NSDC to monitor and report on all activities and collected data from the Multi-State Continuum project. An outside agency will monitor and analyze the data throughout the project development and implementation phases to make recommendations for policy and statewide implementation of successful activities. This will include an annual review of data of student achievement, effective teachers and principal preparation, and professional development. Data will be collected from multiple sources, including CACTUS, LEA reports, and student academic achievement. The annual review will measure and evaluate to determine (1) the level of implementation of program activities and (2) the level of effectiveness of program activities. The outside evaluator will make recommendations to improve the program at the end of each year and work with USOE to remediate as needed. All efforts will focus on the continuing improvement of student achievement for all Utah students.

<b>Performance Measures</b> Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	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
Combine the services of two current on-line programs (1) to provide on-line tracking of professional development from all sources and (2) provide models of instructional excellence.	N/A	X			
Provide professional development for all state LEAs to ensure appropriate use of the system to create professional development goals and plans to effectively meet those goals.	N/A	X			
LEAs provide professional development to all schools to ensure teachers understand the methods by which they will complete their licensure requirements and portfolios for evaluation.	N/A	X	X		
Hold meetings with stakeholders and develop framework for teacher and principal evaluation focused on instructional leadership with technical support and professional development for effective implementation.	N/A	X			
Adopt framework for evaluation in State Board Rule.	N/A		X		
Provide technical assistance to LEAs through implementation process.	N/A			X	
Monitor implementation efforts.	N/A				X

**(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*

**(E)(1) Overview**

Utah’s constitution places the responsibility for education with a non-partisan elected State Board. This board in turn appoints a State Superintendent who holds one of only four offices mandated by Utah constitutional law. Dr. Larry Shumway, our State Superintendent, has the constitutional power to act for the State Board in exerting general control and supervision over our LEAs. Any interventions or directives needed to enforce or implement our plan can take place quickly and easily.

**(E)(1) Intervening in lowest-achieving schools and LEAs:** The Utah State Constitution, Utah state law, and State Board Rules have several provisions that give the State Board legal authority to intervene in persistently lowest-achieving schools. Because the State Board has constitutional authority for general control and supervision, Utah can intervene for any substantive reason that may have a negative impact on students, including low student achievement, failure to meet fiscal responsibilities, failure to comply with

state and federal law and State Board Rules, and failure of an LEA to meet program responsibilities such as meeting the obligations outlined in an LEA's Utah Consolidated Application (UCA), the LEA improvement plan.

**Evidence for (E)(1):**

- **Utah State Constitution Article X, Section 3. [State Board of Education]**

"The general control and supervision of the public education system shall be vested in a State Board of Education. The membership of the board shall be established and elected as provided by statute. The State Board of Education shall appoint a State Superintendent of Public Instruction who shall be the executive officer of the board."

- Utah Code, Section 53A-1-401(1) [see Appendix 12] allows the State Board to “interrupt disbursements of state aid to any LEA which fails to comply with rules adopted in accordance with this subsection.”
- On January 7, 2010, the State Board reviewed and passed on first and second reading R277-114, Corrective Action and Withdrawal or Reduction of Program Funds [see Appendix 36] that allows the State Board auditor, in conjunction with program specialists, to monitor and withdraw or reduce program funding to schools or programs within a school or school LEA that act inconsistent with state law, administrative rule, and the express purposes of the program. The rule provides for investigation, corrective action, monitoring, and possible withholding of education funding if programs do not comply with state or federal financial standards. Any corrective action or withholding of funds would only take place under the supervision of the State Superintendent or other high level state education administrators and following adequate notice to entities that are noncompliant.
- Utah Code, Sections 53A-1a-509 [see Appendix 37] and 53A-1a-510 [see Appendix 38] allow the school’s chartering entity (the State Board or a school district) to intervene in a charter school or terminate a charter if the school violates its charter, fails to meet generally accepted standards of fiscal management, or “for other good cause shown.”
- These provisions have been used rarely by the State Board and/or the State Charter Board. Both the State Board and the State Charter Board have used their authority and these provisions to more closely monitor two small school districts during

the summer of 2009 (Grand and Garfield) and two charter schools in the past year (Monticello Academy and Beehive Academy). Another charter (Emerson Alcott Academy) was revoked by the State Board (with support from the State Charter Board) because the school failed to progress toward opening in its preparatory year.

## 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*

**(E)(2) Overview**

Utah is committed to turning around our lowest achieving schools. We believe that it is a moral obligation to ensure that all Utah children are proficient in reading and math, receive quality instruction every day, and participate in relevant and engaging coursework.

**Reform Area Four Goal: Ensure that all Utah children are proficient in reading and math, receive quality instruction every day, and participate in relevant and engaging coursework by turning around our lowest-achieving schools.**

Utah believes that prevention is the key to ending poor performance by schools. We will continue to use our System of Support (SOS) and will expand the process to all state schools that need improvement. In addition, by **fall of 2010**, all Title I schools identified as persistently low achieving, that have not responded to SOS efforts to improve student achievement, will immediately begin one of the four school intervention models. Also by **fall 2010**, Utah will have a system in place to identify secondary non-Title I schools that are at risk of becoming persistently lowest achieving and begin school improvement intervention. The outcome from these activities will be more students that are prepared and ready for college and careers.

**(E)(2)(i) Utah’s Definition of Persistently Lowest-Achieving Schools**

This definition is identical to the definition submitted to and approved by the U.S. Department of Education in conjunction with the School Improvement Grant (SIG) and the ARRA Stabilization Phase 2 Grant application, which categorizes persistently lowest-achieving schools into three tiers. The definition below identifies the Persistently Lowest-Achieving Schools criteria for both current and “newly eligible” schools in each tier.

## **Utah's Definition of Persistently Lowest-Achieving Schools:**

### **Tier I Schools:**

- Title I Served School;
- Identified as in Need of Improvement, Corrective Action, or Restructuring under Title I; and
- Lowest 5% or 5 Schools, whichever is greater (in Utah - lowest five schools). Utah has no Title I high schools identified as in Need of Improvement, Corrective Action, or Restructuring. Thus, no Title I secondary schools with a graduation rate less than 60% are included in Tier I. Utah used the reading/language arts and mathematics achievement scores combined for the “all students” group over a four-year average to determine its lowest-performing schools for Tier I. The state of Utah also reviewed expected progress for each of its schools based on the Utah Performance Assessment System for Students (U-PASS) scores averaged for the most recent three years. None of the schools identified had achieved the minimum expected score of 180 (which is defined as one year of growth). This same process applies to the Tier I Newly Eligible Schools.

### **Tier I Newly Eligible Schools:**

Title I Eligible (Served or Not) elementary school:

- Four-year average reading/language arts and math proficiency in lowest quintile [for Utah: equal to or lower than the lowest performing school in Tier 1 (Midvale Elementary at 47% proficiency)]; and
- Not making expected progress (At least 180 on U-PASS Progress Score three-year average). The state of Utah did not weight “all student” group compared with subgroups.

### **Tier II Schools:**

Title I Eligible, but not served secondary school:

- Lowest 5% or five schools, whichever is greater (in Utah - lowest 5% schools equals seven (7) schools). Utah used the

reading/language arts and mathematics achievement scores combined for the “all students” group over a four-year average to determine its lowest-performing schools for Tier II. The state of Utah also reviewed expected progress for each of its schools based on U-PASS scores averaged for the most recent three years. None of the schools identified had achieved the minimum expected score of 180 (which is defined as one year of growth). This same process applies to the Tier II Newly Eligible Schools; **OR**

- Less than 60% graduation rate (Utah has no high schools identified as Tier II solely as a result of a graduation rate of less than 60%). Utah uses a cohort graduation rate for this definition. Utah reviewed the graduation data for the most recent three years in making these determinations.

**Tier II Newly Eligible Schools:**

Title I Eligible (Served or Not) secondary school:

- Four-year average reading/language arts and math proficiency in lowest quintile [for Utah: equal to or lower than the lowest performing school in Tier I (Midvale Elementary at 47% proficiency)];
- Not making expected progress (Utah measure of expected progress is a score of at least 180 on U-PASS Progress Score – 3-year average); **OR**
- Graduation Rate less than 60%. Utah uses a cohort graduation rate for this definition. Utah reviewed the graduation data for the most recent three years in making these determinations.

**Tier III Schools:**

- Title I Served School; and
- Identified in Need of Improvement, Corrective Action, or Restructuring under Title I, but not in Tier I.

**Tier III Newly Eligible Schools:**

- Title I Eligible (Served or Not) elementary school;
- Four-year average reading/language arts and math proficiency in lowest quintile [for Utah: higher than lowest Tier I school (Midvale Elementary at 47% proficiency) and equal to or lower than the highest performing school in Tier I (Oquirrh Hills Elementary at 56% proficiency)]; and
- Not making expected progress (at least 180 on U-PASS Progress Score – 3-year average).

**NOTE 1:** Utah did not exclude any categories of schools in the identification of eligible schools in Tier I, Tier II, or Tier III.

**NOTE 2:** Utah had two schools that were considered as lowest-achieving, but in consultation with the Assessment and Accountability Department, it was determined that neither of the two schools had sufficient number of students or test scores to make a valid determination of performance. These two schools were excluded because insufficient data were available to make an eligibility determination. The following table lists all schools that have been identified as Persistently Lowest-Achieving Schools:

**Table 14: Persistently Lowest-Achieving Schools**

<b>Utah Title I ARRA School Improvement Grant</b>						
<b>List of Lowest-performing Schools</b>						
<u>CARBON DISTRICT, NCES ID #4900150</u>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>i</sup></b>
<b>Lighthouse Learning</b>	<b>490015000378</b>		<b>X</b>		<b>87%</b>	<b>X</b>

<b>Center (ALT)</b>						
---------------------	--	--	--	--	--	--

<u>CANYONS DISTRICT, NCES ID #4900142</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>ii</sup>
<b>Midvale Elementary</b>	<b>490014200312</b>	<b>X</b>				
<b>East Midvale Elementary</b>	<b>490014200300</b>			<b>X</b>		
<b>Sandy Elementary</b>	<b>4900014200321</b>			<b>X</b>		

<u>DAVIS DISTRICT, NCES ID #4900210</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>iii</sup>
<b>Doxey Elementary</b>	<b>490021000118</b>			<b>X</b>		<b>X</b>
<b>Vae View Elementary</b>	<b>490021000149</b>			<b>X</b>		<b>X</b>

<u>GRANITE DISTRICT NCES ID #4900360</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>iv</sup>
<b>Hillsdale Elementary</b>	<b>490036000226</b>	<b>X</b>				
<b>Oquirrh Hills Elementary</b>	<b>490036000250</b>	<b>X</b>				
<b>Redwood Elementary</b>	<b>490036000255</b>	<b>X</b>				

<b>Arcadia Elementary</b>	<b>490036000198</b>			<b>X</b>		<b>X</b>
<b>Thomas W. Bacchus Elementary</b>	<b>490036000755</b>			<b>X</b>		<b>X</b>
<b>Jim Bridger Elementary</b>	<b>490036000826</b>			<b>X</b>		<b>X</b>
<b>Western Hills Elementary</b>	<b>490036000723</b>			<b>X</b>		<b>X</b>
<b>Fox Hills Elementary</b>	<b>49003600679</b>			<b>X</b>		<b>X</b>
<b>Granger High</b>	<b>490036000218</b>		<b>X</b>		<b>79%</b>	
<b>Kearns High</b>	<b>490036000234</b>		<b>X</b>		<b>78%</b>	
<b>Matheson Junior High</b>	<b>49003600020</b>		<b>X</b>			<b>X</b>
<b>Granite Park Junior High</b>	<b>49003600215</b>		<b>X</b>			<b>X</b>

**IRON DISTRICT, NCES ID #4900390**

<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>y</sup></b>
<b>Southwest Education Academy (Alt)</b>	<b>490039000872</b>		<b>X</b>		<b>69%</b>	

**JORDAN DISTRICT, NCES ID #4900420**

<b>SCHOOL</b>	<b>NCES ID #</b>	<b>TIER</b>	<b>TIER</b>	<b>TIER</b>	<b>GRAD</b>	<b>NEWLY</b>
---------------	------------------	-------------	-------------	-------------	-------------	--------------

NAME		I	II	III	RATE	ELIGIBLE <sup>vi</sup>
<b>Columbia Elementary</b>	<b>490042000813</b>			<b>X</b>		<b>X</b>

**LOGAN DISTRICT, NCES ID #4900510**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>vii</sup>
<b>Logan South Campus (ALT)</b>	<b>490051000831</b>		<b>X</b>		<b>73%</b>	

**NEBO DISTRICT, NCES ID #4900630**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>viii</sup>
<b>Orchard Hills Elementary</b>	<b>490063001155</b>	<b>X</b>				<b>X</b>

**OGDEN DISTRICT, NCES ID #4900720**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>ix</sup>
<b>James Madison Elementary</b>	<b>490072001194</b>	<b>X</b>				<b>X</b>
<b>Gramercy Elementary</b>	<b>490072000423</b>	<b>X</b>				<b>X</b>
<b>Dee Elementary</b>	<b>4900072000420</b>	<b>X</b>				<b>X</b>

<b>Odyssey Elementary</b>	<b>490072001201</b>	<b>X</b>				<b>X</b>
<b>T. O. Smith Elementary</b>	<b>490072000442</b>	<b>X</b>				<b>X</b>
<b>Bonneville Elementary</b>	<b>490072000418</b>			<b>X</b>		<b>X</b>
<b>Lincoln Elementary</b>	<b>490072000430</b>			<b>X</b>		<b>X</b>
<b>Ogden High</b>	<b>490072000437</b>		<b>X</b>		<b>84%</b>	
<b>Washington High (ALT)</b>	<b>490072000725</b>		<b>X</b>		<b>18%</b>	<b>X</b>
<b>Ben Lomond High</b>	<b>490072000417</b>		<b>X</b>		<b>81%</b>	<b>X</b>

**PROVO DISTRICT, NCES ID #4900810**

<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>x</sup></b>
<b>Farrer Elementary</b>	<b>490081001074</b>			<b>X</b>		
<b>Timpanogos Elementary</b>	<b>490081000465</b>			<b>X</b>		
<b>Independence High (ALT)</b>	<b>490081000836</b>		<b>X</b>		<b>45%</b>	

**SALT LAKE CITY DISTRICT, NCES ID #4900870**

<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>xi</sup></b>
<b>Northwest Middle</b>	<b>490087000512</b>	<b>X</b>				
<b>Edison Elementary</b>	<b>490087000487</b>	<b>X</b>				<b>X</b>

<b>Lincoln Elementary</b>	<b>490087000666</b>	<b>X</b>				<b>X</b>
<b>Franklin Elementary</b>	<b>490087000490</b>			<b>X</b>		<b>X</b>
<b>M. Lynn Bennion Elementary</b>	<b>490087000665</b>			<b>X</b>		<b>X</b>
<b>Parkview Elementary</b>	<b>490087000514</b>			<b>X</b>		<b>X</b>
<b>Rose Park Elementary</b>	<b>490087000516</b>			<b>X</b>		<b>X</b>
<b>Glendale Middle</b>	<b>490087000492</b>		<b>X</b>			<b>X</b>
<b>East High</b>	<b>490087000486</b>		<b>X</b>		<b>84%</b>	
<b>Highland High</b>	<b>490087000496</b>		<b>X</b>		<b>89%</b>	<b>X</b>

<b>SAN JUAN DISTRICT, NCES ID #4900900</b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>xii</sup></b>
<b>Mexican Hat Elementary</b>	<b>490090000533</b>	<b>X</b>				<b>X</b>
<b>Bluff Elementary</b>	<b>490090000528</b>	<b>X</b>				<b>X</b>
<b>Monument Valley High</b>	<b>490090000802</b>		<b>X</b>		<b>79%</b>	<b>X</b>
<b>Navajo Mountain High</b>	<b>490090000491</b>		<b>X</b>		<b>87%</b>	<b>X</b>
<b>Whitehorse High</b>	<b>490090000667</b>		<b>X</b>		<b>83%</b>	<b>X</b>

<u>TOOELE DISTRICT, NCES ID #4901050</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xiii</sup>
<b>Anna Smith Elementary</b>	<b>490105000578</b>			<b>X</b>		<b>X</b>
<b>Wendover High</b>	<b>490105000577</b>		<b>X</b>		<b>69%</b>	<b>X</b>

<u>UINTAH DISTRICT, NCES ID #4901080</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xiv</sup>
<b>LaPoint Elementary</b>	<b>490108000804</b>			<b>X</b>		
<b>Eagle View Elementary</b>	<b>490108001270</b>	<b>X</b>				<b>X</b>

<u>WASATCH DISTRICT, NCES ID #4901110</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xv</sup>
<b>Heber Valley Elementary</b>	<b>490111000499</b>			<b>X</b>		

<u>WASHINGTON DISTRICT, NCES ID #4901140</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xvi</sup>
<b>Red Mountain</b>	<b>490114000570</b>			<b>X</b>		

<u>WEBER DISTRICT, NCES ID #4901200</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xvii</sup>
<b>Roy Elementary</b>	<b>490120000636</b>			<b>X</b>		<b>X</b>

<u>PINNACLE CANYON ACADEMY, NCES ID #4900008</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xviii</sup>
<b>Pinnacle Canyon Academy</b>	<b>490000800629</b>			<b>X</b>		<b>X</b>

<u>DUAL IMMERSION ACADEMY, NCES ID #4900073</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xix</sup>
<b>Dual Immersion Academy</b>	<b>490007301187</b>	<b>X</b>				<b>X</b>

**(E)(2)(ii) Turning around these schools by implementing one of the four school implementation models**

**Overview**

Utah believes two critical elements needed to ensure that our schools meet the needs of students are preventing failure through the use of our System of Support (SOS) model and the use of an aggressive and cooperative intervention model used to improve achievement in low-performing schools. SOS is very effective in preventing Title I schools from reaching the persistently low-performing schools designation. This program turns around Utah Title I schools by focusing resources on research-based strategies that increase achievement. We will continue and expand our SOS process to all state schools that need improvement and, by **fall of 2010**, begin using one of the four school intervention models in our Persistently Lowest-Achieving Title I schools that have not responded to SOS efforts to improve student achievement.

**Utah's Experience with Preventing Failure and Turning Around Struggling Schools**

Utah believes that an essential element of our Race to the Top application is a Race to Prevent Failure. With our Title I, Part A funding, USOE, in collaboration with WestEd, has developed SOS for struggling schools. The system requires that struggling schools identify school leadership teams, use USOE's SOS instructional appraisal process to identify its schools strengths and challenges, and use this information to revise its school improvement plan. The USOE School Improvement Team monitors progress of struggling schools through data analysis and reference to the appraisal rubrics. Because of SOS, of the 29 "alert" schools for 2008-2009, only two moved into improvement status for 2009-2010. The fifteen schools in improvement status in 2008-2009 also improved. Fourteen achieved adequate yearly progress (AYP), five exited improvement status altogether, and nine will exit if they make AYP next year. Specific examples of school improvement resulting from this process include:

- Enoch Elementary School, a frontier Title I school in Iron County, was identified as an "alert year" school four years ago.

**Demographic Snapshot:**

- **50% economically disadvantaged**
- **23% mobility**
- **16% students with disabilities**

Enoch Elementary received a National Title I Distinguished School Award for Closing the Achievement Gap between Student Groups in 2007 and a National Title I Distinguished School Award for Exceptional Student Performance for Two or More Consecutive Years in 2009. Teachers and paraprofessionals accepted the challenge to acquire special training to provide interventions for all children below benchmark. Teachers and staff extended the school day to provide interventions for students below benchmark and chose to use their prep time for Tier 2 interventions so that students could remain in the classroom for Tier 1 instruction. By 2008-2009, proficiency rates had increased to 91% in language arts and 94% in mathematics. Enoch's faculty recognizes that Title I students often do not enjoy the advantages of many other students. Because of this, they are working to provide accelerated programs for their Title I students. This year, Lenora Roundy was named as Utah's Elementary Principal of the Year for her leadership efforts.

- Lewiston Elementary School, a Title I school in Cache County, was one of the lowest performing schools in the district a few years ago.

**Demographic Snapshot:**

- **48% economically disadvantaged**
- **10% English language learners (ELLs)**
- **Nearly 10% students with disabilities**

To address the needs of its students, Lewiston Elementary implemented systematic and explicit research-based instruction in both math and language arts using a 3-tiered model of instruction. Teachers work collaboratively in professional learning communities (PLCs) to analyze data; review and plan curriculum, and coordinate services between general education, English language development, and special education staff. Individual teachers meet regularly with their principal, Adam Baker, to discuss student progress. An additional 30 minutes of instruction has been provided for all kindergarten students. Extended learning time was made available to students in grades 1-5 as part of a 21<sup>st</sup> Century Community Learning Center program and the Youth Connections program from the Utah Department of Workforce Services. Students are provided with opportunities for before and after school reading and math tutoring, summer school, and enrichment activities and have also benefited from many volunteer hours donated by PTA, VISTA, and AmeriCorps volunteers. Even though the school's attendance area is spread out over 121 square miles, parent support and attendance at activities is high. In 2009, Lewiston Elementary received a National Title I Distinguished School Award in the category of Exceptional Student Performance for Two or More Consecutive Years.

- Monroe Elementary is an urban-suburban school in the Salt Lake County.

**Demographic Snapshot:**

- **84% economically disadvantaged**
- **68% English language learners**
- **36% mobility**
- **21 different languages**

Although Monroe Elementary School serves one of the most at risk areas of the state, it has achieved AYP for seven of the past nine years, significantly closing the achievement gap between subgroups. Monroe Elementary received the National Title I Recognition for Closing the Achievement Gap in 2009. All teachers have attended professional development on research-based strategies to

provide explicit, systematic instruction in both math and literacy; 84% of teachers have English as a Second Language (ESL) Endorsements and have participated in Respecting Ethnic and Cultural Heritage (REACH) and Sheltered Instruction Observation Protocol (SIOP) training; and 94% of Monroe teachers provide after school tutoring, which serves 38% of the children. Teachers collaborate in professional learning communities (PLCs) to analyze data, identify students who need interventions, and plan differentiated instruction. A 3-hour literacy block is provided on a daily basis and students received 90 minutes of math instruction each day. A push-in instructional delivery model has been implemented to maximize small-group support provided by Special Education, reading specialists, and Title I and ESL paraprofessionals. Tutorial reading and math programs are provided during the school day and after school for students who need instructional support in addition to regular classroom instruction. A high-quality summer school session is also provided for English Language Learners (ELLs) and students who are most at risk. A rich program of art integration has been supported through a Beverly Taylor Sorensen Elementary Arts Learning Program grant. Students have opportunities to participate in music, visual arts, theater, cultural dance, and quilting, along with intramural sports, parent/child aerobics, and stop action film. Multiple funding streams are leveraged to support after school and summer programs, including: Youth Connections through Utah's Department of Work Force Services, Highly Impacted School funding, LAND Trust, and Title I funds. Business partners include SelectHealth and Intermountain Health Care who provide tutors, mentors, musical instruments, coats, shoes, PE equipment, flu shots, supplies, and a faculty fitness program. Classes for parents in computer skills and English are also available after school. Monroe is participating in the Toyota Family Literacy Program. A variety of cultural fairs, health fairs, reading and math nights, and parenting classes help create a learning environment that embraces students, parents, teachers, and the community at large.

- Midway Elementary School, a frontier school in Wasatch County, was identified for improvement four years ago. Its ELL students did not meet the required proficiency percentage in language arts and their students with disabilities did not meet proficiency requirements in mathematics.

**Demographic Snapshot:**

- **36% economically disadvantaged**
- **23% English language learners**
- **17% students with disabilities**

Midway Elementary describes their reaction to being put on the “dreaded ‘Failing Schools’ list” as “disappointment, frustration, and passionate re-dedication.” Two years later, they have exited improvement status in the shortest time possible. Last year, Midway tested well above the benchmarks in all categories, but especially in the two categories for which they were placed in improvement. To make this progress, Midway Elementary took a multi-pronged approach. Since the majority of students who did not reach proficiency were ELL students with Spanish as their native language, Midway looked at ways to significantly help this population. One of the neighborhoods the school serves houses many families that are first generation Americans where very little English is spoken in the home. In addition to the challenges of language, these students have to make a 45-minute bus ride to get them to and from school each day. Midway Elementary’s first move to strengthen its ELL students was to place Elvira Aquin, a Spanish-speaking teacher on the bus riding with the students to and from school, turning that travel time into tutoring time. She has taken this a step further by enlisting the older students on the bus to help read with and teach the younger students. They have created an atmosphere of success and academic excellence. Family literacy is one of Midway Elementary School’s top priorities. Mrs. Aquin makes home visits to ELL families while teaching the parents, who do not speak English, how to help their children succeed in school. Other teachers have provided a summer school experience in that same neighborhood, allowing students to continue to learn. Midway’s teachers also use the PLC model, collaborating weekly and concentrating all of their energy on student learning instead of “what we are teaching,” to help sharpen their focus on their students. Though Midway Elementary has exited improvement, the faculty continues to shore up its 3-tiered intervention program to keep track of students and catch those who are

struggling before they have the chance to fall behind.

- Jordan and Granite School Districts, urban-suburban school LEAs in Salt Lake County, were early adopters of USOE's System of Support (SOS). Both LEAs' Title I directors are USOE-trained System of Support consultants. They both use the SOS appraisal process and accompanying tools with all Title I schools. Last year, all five of Jordan School District's Title I schools made AYP. Granite's Title I schools included a National Title I Distinguished School Award for Closing the Achievement Gap. They kept all but one Alert Years school out of improvement, and improved achievement in two Title I schools in improvement. They will exit improvement if the schools make AYP this year.

Schools in both LEAs implemented the following strategies: PLCs, tiered intervention, three-hour literacy and ninety minute mathematics instructional blocks, school-wide SIOP training, ESL endorsement courses, and after school and summer school programs for targeted academically at-risk students.

In both LEAs, training in the appraisal and plan development process has been integrated into LEA-wide school improvement plan training, so that leadership teams from all schools could participate and benefit from this effective needs assessment and improvement planning process. The decision to expand the training to all schools was based upon the success demonstrated by the Title I schools. Both of these LEAs are currently in the process of implementing district support that is designed to support all schools' efforts to increase student achievement while providing additional targeted expertise and support to its lowest achieving schools.

- In 2002, when ESEA was last reauthorized, Utah identified schools that needed improvement, but most Utah schools were not starting at the extremely low performance levels of high-poverty inner city schools in other states. With SEA leadership, SOS, and local LEA effort, one Utah school, West Middle School in Uintah School District, has gone through a restructuring

process. West Middle School is a school located in Uintah County, designated as a “frontier” county by the U.S. Department of Agriculture and the U.S. Department of Health. Frontier counties are isolated from major service markets and have a very low population density. Educators who work in a frontier county school must travel over 90 minutes from the school to receive health care, shop, or find a home. Many of the challenges associated with rural schools are exacerbated in frontier schools by the isolated nature of their location. Utah has frontier schools that require educators to live in LEA supplied housing and travel over four hours for basic services. The isolated nature of frontier schools makes the four federal turnaround models extremely difficult to use. West Middle School had not achieved AYP for several years. Under the expert direction of the USOE Support Team, the LEA leadership considered closing the school and sending the students to a school in another small town over 30 miles away. The Uintah School Board held a public hearing that was well attended by the Ute Tribal Council and parents of the students attending the school. During the course of the meeting, there was a commitment by the parents and the Tribal Council that they would increase the level of intervention in the case of truant students if a school could remain in their community. The School Board decided to use a turnaround model. The Board tore down the older, existing middle school and built a new K-8 school. The LEA hired one of the most dynamic principals in the district to open the new school with a hand-picked staff. An adjacent elementary school was also closed. The newly constituted school, Eagle View Elementary, opened using a K-8 elementary school model, which kept students primarily with one teacher for the school year. There is a new curriculum focus on literacy, a strong data-driven delivery system, and much greater school to community collaboration. The school made AYP its first year of operation.

### **Turning Around Failing and Persistently-Struggling Schools**

For schools that are persistently low achieving, Utah will require that LEAs analyze the needs of each Tier I and Tier II school that appears on the state’s identified Tier I and Tier II list. Included in the analysis of each school, the LEA must consider the following:

- The percent of students scoring proficient in reading/ language arts and mathematics (LEAs are to consider both overall

school and subgroup achievement);

- Trend data for both reading/language arts and mathematics (LEAs are to consider overall school and subgroup achievement);
- Demographic information relevant to the school's achievement in reading/language arts and mathematics;
- Contextual data for the school (attendance, graduation and dropout rates, discipline reports, parent and community surveys);
- Teacher information (teacher attendance, turnover rates, teaching assignments aligned with highly qualified teacher status, teacher education, experience, and performance evaluations);
- Administrator information (how long the administrator has been at the building, the administrator education, experience, and performance evaluations); and
- Effectiveness of prior school reform efforts.

Based on a thorough analysis of the data sources listed above, the LEA must:

- Identify the intervention model chosen for each school and provide the rationale for the chosen model for each school.
- In a frontier school setting, modify an intervention model to fit the human resource needs of the area if the isolated nature of these schools prevents recruitment of replacement educators.

The LEA of the identified school will also be required to explain how it will provide leadership and support to each Tier I and Tier II school identified in the LEA's application. The LEA must describe how it will successfully implement the school intervention model. In the description, the LEA must:

- Identify the LEA staff assigned to support implementation of the school intervention model;
- Identify the qualifications and relevant experience of the assigned LEA staff related to prior successful school improvement efforts;
- Describe how the LEA will provide ongoing technical assistance to make sure each school is successful;

- Identify the fiscal resources (state and federal) that the LEA will commit to implementation;
- Identify the process through which the LEA will involve the school/community;
- Describe how the local school board will be engaged to ensure successful implementation (including the prioritization or revision of appropriate board policies and allocation of resources);
- Describe how the LEA will evaluate the effectiveness of the reform strategies;
- Describe how the LEA will monitor student achievement by individual teacher/classrooms; and
- If student achievement results do not meet expected goals, describe how the LEA will assist in necessary plan revisions.

In reviewing the LEA plans, USOE's School Improvement Team will use a detailed checklist to determine LEA commitment to implementing turnaround requirements. If an LEA claims it lacks sufficient capacity to serve each Tier I school, the School Improvement Team will evaluate the sufficiency of the LEA's claim. Claims of lack of capacity will be scrutinized carefully to ensure that LEAs effectively intervene in as many of their Tier I schools as possible.

Utah will determine the LEA's capacity to serve all Tier I schools based on the following factors:

- Size of the LEA;
- Number of schools in Tier I, Tier II, and Tier III;
- Analysis of the achievement data in the individual schools;
- Location of the LEA and/or school(s) (e.g. remote frontier locations);
- Number and expertise of LEA personnel available to provide technical assistance;
- Ability of the LEA to recruit and retain teachers and administrators;
- Established partnerships with outside consultants;
- Availability and willingness to commit additional funds to interventions models; and

- Ability of the LEA to ensure that quality interventions can be effectively and fully implemented.

During an annual progress review process, Utah will analyze the student achievement goals set by the LEA for each Tier I or Tier II school(s) according to the following process:

- Annually review school achievement data to determine if the participating school(s) are achieving expected improvement aligned with goals;
- Require a full school appraisal using USOE Title I school improvement appraisal tools in the first year of the intervention (if one has not been completed within the last two years); and
- Require a detailed school improvement plan using the school improvement plan template formulated with results from the school appraisal (if one has not been completed within the last two years).

If the participating school(s) is not meeting achievement goals after the first year, the following procedure will be followed:

- Utah will support the LEA in conducting a more thorough review of student achievement data;
- An external consultant(s) in consultation with USOE will conduct an instructional audit to focus on the quality of instruction and the fidelity of the implemented curriculum aligned to the Utah core curriculum;
- The LEA will hire an external consultant(s) in consultation with USOE to assist the LEA and school to revise goals, plans, and strategies to address increased student achievement;
- The LEA will consult with relevant stakeholders regarding the LEA's implementation of school improvement models in its Tier I and Tier II schools;
- The external consultant will support, monitor, and report the progress being made in the implementation of the intervention model, and will submit quarterly reports on the implementation of the school improvement plan strategies and activities; and
- If Utah determines that the LEA and school are not making adequate progress in the implementation of the intervention

model, the School Intervention Team will meet with LEA to devise a new improvement plan.

Implementation of the following projects will allow Utah to meet the Reform Area Four Goal.

**Project One: System of Support for Low-Achieving Schools**

**Rationale:** Utah believes two critical elements needed to ensure that our schools meet the needs of students are preventing failure through the use of our System of Support (SOS) model and the use of an aggressive and cooperative intervention model used to improve achievement in low-performing schools. SOS is very effective in preventing Title I schools from reaching the persistently low-performing schools designation. This program turns around Utah Title I schools by focusing resources on research-based strategies that increase achievement. We will continue and expand our SOS process to all state schools that need improvement and begin using one of the four school intervention models in our Persistently Lowest-Achieving Title I schools that have not responded to SOS efforts to improve student achievement.

**Project Summary, Responsible Parties, Activities, and Timelines:** USOE will expand its established System of Support for all schools in need of improvement. Karl Wilson, director of ESEA Programs, will have responsibility for managing this project. This project consists of four (4) activities.

**Activity Table for Project One**

<p><b>Activity 1:</b>  <b>Identify lowest-achieving Title I schools in accordance with ARRA RTTT guidelines.</b></p>	<p><b>2010/14:</b> Annual review of school achievement (proficiency scores in reading/language arts and mathematics), graduation rate (for high schools), and growth scores to identify lowest performing schools.</p>
<p><b>Activity 2:</b>  <b>Work with LEAs to implement the Utah Title I System of Support for identified schools.</b></p>	<p><b>2010/14:</b> Provide support. Identified Title I and other struggling schools, establish school leadership teams, select members for School Support Teams, conduct school appraisals, revise school improvement plans, implement plans, and monitor progress.</p>

<b>Activity 3:</b> <b>Work with LEAs to implement a higher level of mandatory SEA support for identified Title I schools that have not made significant progress.</b>	<b>2010/14:</b> If improvement plan strategies do not result in significant improvement, schools continue to implement strategies in activity #2 and receive SEA support. LEAs with Title I schools in need of improvement that do not improve conduct thorough Instructional Audit and implement instructional coaching.
<b>Activity 4:</b> <b>Support turning around schools that do not respond to the Utah Title I System of Support by implementing one of the four ARRA RTTT identified school intervention models.</b>	<b>2010/14:</b> SEA and LEA collaboratively select which intervention model is most appropriate for the school community. LEA develops plan and applies for Title I ARRA School Improvement Grant and implements one of the four school intervention models.

**Project Two: Preventing Low-Achieving Secondary Schools**

**Rationale:** Utah’s System of Support has been very effective in preventing Title I schools from reaching the persistently low-performing schools designation. Targeting non-Title I schools with intense intervention will help us prevent failure. The outcome from these activities will be more students that are prepared and ready for college and careers. We will use an application process to engage in intensive intervention with eight of the schools.

**Project Summary, Responsible Parties, Activities, and Timelines:** USOE will use lessons learned from SOS and RTTT funds to prevent select non-Title I persistently low-performing schools from becoming failing schools. Karl Wilson, director of ESEA Programs, will have responsibility for managing this project. RTTT funds are needed for this project. This project consists of three (3) activities.

**Activity Table for Project Two**

<b>Activity 1:</b> <b>Identify schools that are at risk of becoming persistently low-achieving schools.</b>	<b>2010/12:</b> Annual review of language arts and mathematics achievement results and graduation rate. Select four schools for assistance. Monitor data.
	<b>2012-2014:</b> Annual review of language arts and mathematics achievement results and graduation rate. Select four schools for assistance. Monitor data.

<p><b>Activity 2:</b>  <b>Using Utah’s State System of Support process, ensure that these schools complete and implement a comprehensive school improvement plan, form and utilize professional learning communities effectively, address and pursue rigorous efforts in the desired student outcomes and the other three reform areas, demonstrate school commitment by signing an MOU that includes a binding agreement to fully comply with the terms and conditions and scope of work description of the state plan and contains signatures from the LEA superintendent, principal, a teacher leader representative, and local school community president.</b></p>	<p><b>2010/12:</b> Provide training and support. SEA, LEA, and school establish RTTT school improvement MOU, establish school leadership teams, select members of School Support Team, conduct school appraisal, begin work with School Support Team, revise school improvement plan, and begin plan implementation. Provide training and support. LEA and school continue plan implementation and monitor progress.</p>
	<p><b>2012/14:</b> Provide training and support. SEA, LEA, and school establish RTTT school improvement MOU, establish school leadership teams, select members of School Support Team, conduct school appraisal, begin work with School Support Team, revise school improvement plan, and begin plan implementation. Provide training and support. LEA and school continue plan implementation and monitor progress.</p>
<p><b>Activity 3:</b>  <b>Require LEAs to allow identified schools to create the conditions for reform and innovation by providing them with flexibility and autonomy in selecting staff, implementing new structures and formats for the school day, control the school’s budget, provide comprehensive services to high need students, create school climate and culture that remove obstacles and actively support student engagement and achievement, and implement strategies that actively engage families and communities in supporting the academic success of their students.</b></p>	<p><b>2010/14:</b> LEAs allow identified struggling schools the flexibility and autonomy as stated.</p>

**Evidence for (E)(2):**

- See table below for evidence of (E)(2).

Approach Used	# of Schools Since SY2004-05	Results and Lessons Learned
Turnaround Model	1	The restructured school made AYP the following year. Utah used a collaborative approach. All stakeholders participated in determining what kind of model would be used for restructuring. The collaboration resulted in all parties working to make the restructuring work. We intend to replicate this successful process in other restructuring situations.

**Evidence: See Below**

**Evidence:** Utah has had only one school, **West Middle School in the Uintah School District**; that has gone through a restructuring process. Under the direction of the USOE Support Team, the LEA leadership considered closing the school and sending the students to a school in another town 30 miles away. The Uintah School Board held a public hearing that was well attended by the Ute Tribal Council and parents of the students attending the school. During the course of the meeting, there was a commitment by the parents and the Tribal Council that they would increase the level of intervention in the case of truant students if a school could remain in their community. The School Board decided to use a turnaround model. The Board tore down the older, existing middle school and built a new K-8 school. The District hired one of the most dynamic principals in the district to open the new school with a staff that was hand-picked. The adjacent elementary school, R. Todd Elementary, was also closed. The newly constituted school, Eagle View Elementary, opened as a K-8 school using an elementary model, which kept students primarily with one teacher for the school day. There are new curriculum areas of emphasis and focus, a stronger data-driven delivery system, and much greater school to community collaboration. The school made AYP its first year of operation.

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.	None	4		4	
<p>Utah proposes working with four of the persistently lowest-achieving schools that are not participating in the Title 1 ARRA SIG for two years (2010-2012). Following intensive support and intervention with the first four schools, four new persistently lowest-achieving schools will be selected for 2012-2014. The schools selected will come from the list of persistently lowest-achieving schools as determined based on annual reviews of achievement, graduation, and progress results. In the first two years of support, identified schools will receive Utah SOS resources and technical assistance. If the schools do not show significant progress in student achievement, the schools will move to one of the four intervention models in year three.</p>					

**(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*

**(F)(1) Making education funding a priority**

**(F)(1) Overview**

Utah has a long-standing commitment to education that began before it was granted statehood in 1896. Three months after pioneer settlers arrived in 1847, the first school was organized. By 1851, the Office of Territorial Schools had been established and given the responsibility of identifying a standard curriculum. As the state’s population has grown and changed, Utah has systematically addressed the varied needs of its students, often implementing innovations decades in advance of other states. For example, Utah was the first state to equalize education funding by establishing, in 1946, a statewide funding formula. This formula ensured financial equity between our urban and more isolated frontier schools and has helped prevent the funding imbalances experienced by many large cities as more affluent families began migrating to the suburbs.

Utah dedicates 100% of its individual income tax revenue to public and higher education, as well as interest from the School Land

Trust endowment, and a portion of the corporate franchise and gross receipt tax. In 2009, Utah directed 40% of its total budget to education, with 75% of this funding going to public education.

**(F)(1)(i) The percentage of total revenues available to the State used to support elementary, secondary, and public higher education for FY2009 was greater than or equal to the percentage of total revenues available to the state for FY2008**

Utah increased its support for public and higher education as defined in this notice. Total state revenues are a combination of both the State General Fund and Education Fund that are available to fund general operations of the state and public education. Table 15 below outlines 2008 and 2009 State Revenues.

**Table 15 – State Revenues**

<b>Fiscal Year</b>	<b>Total State Revenues</b>	<b>Public Ed Budget</b>	<b>Higher Ed Budget</b>	<b>Combined Budgets</b>	<b>Education Budget as a Percentage of State Budget</b>
Actual 2008	\$ 5,943,136,000	\$ 2,432,363,600	\$ 761,747,200	\$ 3,194,110,800	53.7%
Appropriated 2009	\$ 5,016,154,000	\$ 2,237,231,200	\$ 733,359,600	\$ 2,970,590,800	59.2%

State support is comprised of Education Funds appropriated to the Minimum School Program, Utah’s primary funding formula for public education. Data for FY 2008 actual and FY 2009 appropriated levels are documented in the Governor's Office of Planning and Budget, Fiscal Year 2009 Budget Summary. Data for current FY 2009 are documented in:

- Senate Bill 2, Minimum School Program Budget Amendments (General Session 2008)
- Senate Bill 2001, Current Fiscal Year Budget Adjustments (2nd Special Session, 2008)
- Senate Bill 4, Current School Year Supplemental Minimum School Program Budget Adjustments (General Session, 2009)
- House Bill 3, Current Fiscal Year Supplemental Appropriations Act (General Session, 2009)
- House Bill 2, Minimum School Program Budget Amendments (General Session, 2009)
- Senate Bill 1004, Supplemental Appropriations Adjustments (1<sup>st</sup> Special Session, 2009)

- House Bill 1003, Appropriations Adjustments Related to Federal Funds (1<sup>st</sup> Special Session, 2009)

Data for current FY 2008 and FY 2009 is also available in the Governor's FY 2010 Budget Summary book and supporting budget work papers. Due to the size of these documents (over 1000 pages); they are not provided in an Appendix but are available upon request.

**(F)(1)(ii) The State's policies lead to equitable funding between high-need LEAs and other LEAs, within LEAs, between high-poverty and other schools.**

**(F)(1)(ii)(a) Policies that lead to equitable funding between high-need LEAs and other LEAs**

The State of Utah is nationally recognized for the equity and equalization formulas for the state's basic school program. Utah is one of only five states where no court case challenging the equity of the state's education finance system has ever been filed. **When last measured by the GAO, Utah was one of only two states whose fiscal neutrality score was not statistically significant from zero, indicating that "on average, per pupil funding is the same in wealthy as in poor LEAs and that no income-related funding gap exists."**

The state of Utah distributes funding for public and higher education according to statute under the Utah Code, Titles 53A. State System of Public Education, 53B State System of Higher Education, and 53C School and Institutional Trust Lands Management Act and Article 10 of the Utah State Constitution. The state provides most of the funding for Utah's public schools. For example, during FY 2008, in order to serve the educational needs of just under 540,000 students in over 900 public schools, including charter schools, nearly \$3.5 billion were used. Roughly 70% of those funds came from state revenue, 23% from local revenue, and 7% from federal resources. The bulk of state revenues come from individual and corporate income taxes collected and distributed through the Uniform School Fund (USF). The USF currently accounts for approximately 70% of all public education financing in Utah. State USF funds are "equalized" in that they are distributed to LEAs based primarily on the entity's proportionate share of all students

enrolled in the state public education system. In practice, the formulas for these funds are complicated, but the aim is to provide an equivalent amount of funding for each student in the state. For example, Park City School District, which is located in the state's highest taxable income tax area, does not keep all of the revenue. Revenue from LEAs in wealthy income tax areas is redistributed by a complicated formula to LEAs in areas with lower than average income taxes. The purpose of this redistribution is to provide equitable funding for all Utah school children.

The law that governs the use of these funds is called the Minimum School Program (MSP) Act. For FY08, the MSP Act was contained in House Bill 3. The Legislature annually reviews this act and appropriates the funds to support its provisions. In general, for each fiscal year, the MSP Act establishes the dollar amount of the maximum state contribution to the MSP and establishes the value of the weighted pupil unit (WPU). The WPU is used as a basis for determining specific funding amounts for different types of students and programs within the MSP funding categories. For example, because Utah kindergarten students attend half-day programs, the rate of funding for these students is currently .55 WPU, which means the school receives 55% of the full WPU value per student per year. Conversely, because special education students require additional services, the WPU factor for special education students provides annual per student funding greater than one WPU, depending on the disability of each student in sponsored programs.

**(F)(1)(ii)(b) Policies that lead to equitable funding within LEAs**

Equitable funding within LEAs is outlined by statute in the Utah Code Title 53A and in Utah's Constitution.

a. Utah Code Title 53A:

(1) The purpose of this chapter is to provide a minimum school program for the state in accordance with the constitutional mandate. It recognizes that all children of the state are entitled to reasonably equal educational opportunities regardless of their place of residence in the state and of the economic situation of their respective school districts or other agencies.

(2) It further recognizes that although the establishment of an educational system is primarily a state function, school districts should be required to participate on a partnership basis in the payment of a reasonable portion of the cost of a minimum program.

(3) It is also the purpose of this chapter to describe the manner in which the state and the school districts shall pay their respective share of the costs of a minimum program. This chapter also recognizes that each locality should be empowered to provide educational facilities and opportunities beyond the minimum program and accordingly provide a method whereby that latitude of action is permitted and encouraged.

**b. The Utah State Constitution**

The Utah Constitution (Art. X Sections 1 and 2) provides:

**Article X, Section 1. [Free nonsectarian schools.]**

The Legislature shall provide for the establishment and maintenance of the state's education systems including: (a) a public education system, which shall be open to all children of the state; and (b) a higher education system. Both systems shall be free from sectarian control.

**Article X, Section 2. [Defining what shall constitute the public school system.]**

The public education system shall include all public elementary and secondary schools and such other schools and programs as the Legislature may designate. The higher education system shall include all public universities and colleges and such other institutions and programs as the Legislature may designate. Public elementary and secondary schools shall be free, except the Legislature may authorize the imposition of fees in the secondary schools.

**(F)(1)(ii)(c) Policies that lead to equitable funding between high-poverty schools and other schools**

Utah has addressed the issue of equitable funding between high-poverty schools and other high need schools through two key funding programs. The Highly Impacted School program provides additional funding for school with high rates of student mobility, students who are eligible for school free lunch, high numbers of English language learners, high numbers of ethnic minority

students, and high numbers of students from single parent households. Approximately \$5,000,000 is directed to this program annually. The Necessarily Existing Small School program provides additional funding. These schools are frontier schools that have an average membership of fewer than 160 elementary students or 450 secondary students for 3-year secondary schools and are too isolated to be combined with another school. Equitable funding within LEAs is covered by the formulas outlined by statute in the Utah Code Title 53A and described above.

**Evidence for (F)(1)(i):**

- See (F)(1)(i) for evidence of this section.

**Evidence for (F)(1)(ii):**

- See (F)(1)(ii) for evidence of this section.

**(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*

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

The original mission of Utah’s charter movement was to provide an alternative school environment for students who were either at risk of not completing public school requirements, had special needs, or to encourage students from underrepresented populations and female students to excel in college and post secondary education (Early College High Schools supported by Gates Foundation Funding). Since the mid-1990’s, the charter movement became more suburban oriented with an emphasis on alternative curriculum approaches. These charter schools were formed by parents who lived in areas of moderate to high achievement who were not satisfied with local school curriculum. The Utah State Office of Education continues to encourage the creation of charter in urban areas of high-poverty and low achievement. In general, our population in our frontier counties is not conducive to brick and mortar charters because of low population. However, a number of virtual charters that service students statewide are available.

**(F)(2)(i) State charter school law does not prohibit or effectively inhibit the number of high-performing charter schools**

There is no limit to the number of charter schools in Utah. The percentage of charter schools in the state is 7.3% serving 6% of the public school age population. Although we have a high taxing effort, Utah has the largest percentage of children in the United States per capita, the highest birth rate per capita, and the lowest state taxable property base (21%) due to the huge percentage of land within our geographic borders owned by the federal government. In the last decade, our population has grown by 27%. We are rapidly becoming more diverse and have more students with critical needs. Utah is dead last in every per student funding category in the

nation. The federal contribution to education in Utah is \$650 per student compared to the national average of \$968. In spite of a high tax effort, Utah remains the lowest in the nation for per pupil funding. Because of these unusual funding constraints, Utah's financial support for all public schools, including charters, is limited. Funding for Utah's charter school program is a combination of our equitable state formula monies; state funded charter school "replacement" monies, which mirror district-generated local property taxes; and state low-interest building loans that offset district loans for capital needs. Given Utah's uniquely low financial resources, these charter funding streams represent a significant financial commitment to charters. In an attempt not to limit the number of charter schools, but to ensure adequate funding for all students, current Utah Code 53A-1a-502.5 [see Appendix 39] defines the maximum number of authorized students in charters. The law states:

1. "The State Charter School Board and local school boards may only authorize a combined maximum student capacity of:

(1) 32,921 students for the charters schools in the 2008-09 school year; and

(a) Beginning in the 2009-2010 school year, an annual increase in charter school enrollment capacity equal to 1.4% of total school district enrollment as of October 1 of the previous school year.

(2) (The State Board of Education, in consultation with the State Charter School Board, shall allocate the students under Subsection (1) between the State Charter School Board and local school boards.

(a) One-third of the student capacity described under Subsection (1)(b) shall be allocated to increase the maximum student capacity of the operating charter schools.

(b) If the operating charter schools do not use the allocation described under Subsection (2)(b), the remaining student capacity may be used by new charter schools."

The purpose of this section is to facilitate the Legislature's financial planning, not to inhibit the number of charter schools in the state. As explained above, Utah allows an unlimited number of charter schools. There are 994 public schools operating in Utah this year, of which 72 are charter schools (in 70 charter school LEAs). This represents 7.2% of Utah's public schools. Successfully

operating charter schools are given the first opportunity to absorb and enroll new students. A charter school application has never been denied because of lack of students available to fill the school. Rather, only quality schools that meet reasonable management and preparation requirements are approved.

**Types of charter schools in Utah:** Arts Focus – 6, At-risk Students – 4, Autism Spectrum Disorders – 1, Back to Basics – 6, Classical Education – 11, Core Knowledge – 15, Direct Instruction – 3, Dual Languages – 3, Early College – 6, Environmental Focus – 1, Expeditionary Learning – 2, International Baccalaureate – 3, Project Based – 2, Science and Technology – 6, Virtual Learning – 2.

**(F)(2)(ii) State laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools**

Utah Law (Utah Code, Section 53A-1a-501 through Utah Code, Section 53A-1a-520) [see Appendix 39] allows the formation of charter schools and describes the creation of charter school boards, processes outlined for charter school applications, evaluations, terminations, and accountability. State Board Administrative Rule R277-470 defines the State Charter School Board's oversight and monitoring responsibilities (R277-470-13) [see Appendix 40]. Under Utah law, the State Charter Board has responsibility to authorize and promote responsible growth of charter schools, with final approval by the State Board that has final constitutional responsibility for public schools. Specific purposes of charter schools are outlined in Utah law: (1) new public school models; (2) unique learning opportunities providing increased choice in education; (3) innovative teaching practices; (4) opportunities for educators to participate in design and implementation of learning programs; (5) new forms of accountability specifically emphasizing the measurement of learning outcomes; and other purposes. Utah law also provides specifically for consequences if charters fail to meet their charter purposes, fail to meet expected financial practices, and/or fail to serve the lowest performing students by failing to meet AYP. Utah law provides for a continuum of consequences for underperforming or unsatisfactory charter schools (Utah Code,

Section 53A-1a-509) [see Appendix 37]. State law provides for an appeal process for charter schools that are subject to termination of charter (Utah Code, Section 53A-1a-510(2) [see Appendix 38]. Utah charter schools have proven remarkably successful. There are 72 charter schools currently operating in Utah. The charter of only one charter school has been terminated. Emerson Alcott Academy was revoked by the State Board, with support from the State Charter Board, because the school failed to progress toward opening in its preparatory year. Another charter school closed voluntarily. Two additional charter schools are being closely monitored by the State Charter School Board. The table below details the number of charter applications made in the state, the number approved, the number of charter application denied and the reasons for the denials.

**Table 16 – Charter Applications in Utah**

<b>Year</b>	<b>Number of Charter Applications</b>	<b>Number Approved</b>	<b>Number Denied</b>	<b>Reason for Denial</b>
2009	12	2	10	Lack of readiness for opening; poor unfocused applications
2008	15	6	9	Financial difficulties; poor application
2007	16	7	9	Applications withdrawn; poor application
2006	11	5	6	Poor application; lack of readiness for opening
2005	17	10	7	Lack of readiness for opening; applications withdrawn

**(F)(2)(iii) Equitable funding**

Utah charter schools receive equitable funding compared to other public schools. They are funded on the principle that state funds follow the student. Charters receive their commensurate share of federal funding; receive an annual state appropriation (replacement funding) that is divided among all charter schools on a per student basis; and, as of 2008 legislation, receive a portion of local school district revenues determined by the number of district students that leave traditional schools to attend charter schools. Additionally, State Board Rules encourage school districts to authorize charter schools locally by allowing locally chartered school students to receive equal funding to students attending traditional schools in the district [see Appendix 41].

**(F)(2)(iv) Charter school facility funding**

Utah law provides assistance to charter schools for facilities in the following manner: (1) 10% of local replacement funds must be used for facilities; (2) a state-funded revolving loan is available to charter schools (Utah Code, Section 53A-21-401(5) [see Appendix 42]; and (3) Utah law requires local school districts to allow charter school students, for a nominal fee, to participate in traditional school athletic programs that use traditional school athletic facilities (Utah Code, Section 53A-1a-519) [see Appendix 43]. Utah law does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools. In fact, the Legislature has made considerable effort to require local zoning ordinances to treat charter schools similarly to traditional public schools in zoning decisions and practices.

**(F)(2)(v) State enables LEAs to operate innovative, autonomous public schools other than charter schools**

Utah has a long-standing commitment to enabling innovative, autonomous approaches to education reform that pre-date its charter school law. The following largely autonomous programs are operated cooperatively with our LEAs:

- Education programs for youth in custody of the Utah Department of Corrections. These programs encourage cooperation among various education and social services agencies that have responsibility for children and their families including public and private schools, and Utah Department of Social Services.
- CTE programs.
- Adult Education programs, which provide classes and opportunities for adults who did not earn high school diplomas, but who desire to complete high school through a variety of open-entry/open-exit programs.
- Early College High Schools, which offer students an opportunity to complete college credits and earn associate degrees while also completing high school.
- International Baccalaureate (IB) Schools and programs within schools. Utah currently has 10 operating and successful IB

schools.

- Year-round schools. Utah currently has approximately 61 elementary schools that are operating under year-round programs. The schools started operating on year-round schedules because of overcrowding in specific neighborhoods and some have continued because the communities supported the use of school buildings year round.
- Four-day week schools. Currently, one school district and (4) individual schools operate four longer school days in one week. The schools receive specific permission from the State Board to provide an alternate schedule and are closely monitored by the State Board. To date, the schools demonstrate significant savings in transportation costs, energy savings, lower absentee rates among students and staff, and consistent student achievement. Additionally, the schedule significantly reduces the time spent on school buses on country roads by school children.
- Utah Electronic High School provides funding for grades 9-12 level courses delivered via the Internet and coordinated by the State Board. Approximately 35,600 students have accounts for participation in on-line courses through the Electronic High School. Courses are consistent with those offered in traditional public high schools to enable a student to obtain the required credits necessary for graduation. The American Academy (TAA) is a partnership between a private distance learning company and the State Board where each partner benefits from the accomplishments and resources of the other. Consistent with an agreement signed in August 2007, distance learning courses are offered to non-Utah students and the Utah Electronic High School benefits directly from new innovations designed and experimented with by TAA.
- For almost two decades, Utah has had some form of school community councils. These councils were established to address the academic needs of students with decisions being made at the local school level. The councils, comprised of community members, parents, and school faculty, create and implement both long-term and short-term school improvement plans. These councils have evolved over time and been given more responsibilities. These councils, outlined in state statute, have the opportunity to innovate and implement plans that better meet the needs of their specific students. They create improvement plans based on student data and have a funding source dedicated to implementation of these plans. That source is the interest

investment off of Utah’s trust lands. Although school districts have oversight of the improvement plans so they align to district goals, the trust lands funding flows directly to the school community council to be used in the implementation of these collaborative plans.

**Evidence for (F)(2)(i) through (F)(2)(v):**

- Evidence is shown throughout sections above.

**(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*

**(F)(3) and Evidence for (F)(3) Demonstrating other significant reform conditions**

Under Utah law (Utah Code, Section 53A-1a-511(2)(a)) [see Appendix 44], the State Board may waive any rule, upon request, that the State Board is convinced inhibits innovation, efficiency, and productivity in a public school, charter school, or school district. In addition, Utah Code, Section 53A-1-402(1)(e) [see Appendix 45] allows the State Board to support “school productivity and effectiveness measures.” These provisions of the law has allowed Utah to encourage innovative, autonomous public schools and

programs as described (F)(2)(v) above. Other pertinent Utah Code and State Board Rules that have assisted in creating innovative schools include:

1. Utah Code, Section 53A-1-403.5 [see Appendix 46] (Education programs for youth in custody of the Utah Department of Corrections)
2. Utah Code, Section 53A-15-202 [see Appendix 47] (Career and Technical Education Programs)
3. Utah Code, Section 53A-15-401 [see Appendix 48] (Adult Education Programs)
4. Senate Bill 138, 2002 General Session (Early College High Schools)
5. Utah Code, Section 53A-17a-120 [see Appendix 49] (International Baccalaureate (IB) Schools and programs within schools)
6. Utah Code, Section 53A-15-1001 [see Appendix 50] (Utah Electronic High School)

Each of these innovative practices has resulted in improved student outcomes. For example, students in our Youth and Custody program are less likely to reoffend when they return to society. Students in our CTE programs have a higher graduation rate than other students. Students in our Early College High Schools and Concurrent Enrollment courses are more likely to attend college and have better freshman grades than other students. Electronic High School allows students to recover missing credit and take more than the 28 credit hours currently offered at their high schools. International Baccalaureate fills a niche for accelerated students who, because of lack of peer interaction in a traditional setting, might have been at risk for graduation. Because this program is often located in less affluent areas, it also gives underrepresented ethnic minority students access to accelerated programs. Students in year-round elementary schools experience less learning loss over the summer than their traditional calendar peers. These efficient and effective measures help Utah provide success for the varied needs of our students.

## 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 (CPP2)**

Utah has been committed to increasing student and teacher access to Science, Technology, Engineering, and Mathematics (STEM) fields of study since the beginning of the Mathematics,

Engineering, Science Achievement (MESA) program in 1999. Currently, Utah has the following programs in place:

- Utah's MESA (Mathematics Engineering and Science Achievement) program, started in 1999, was developed to increase the number of underserved, ethnic minority and female students who pursue coursework, advanced study, and careers in **STEM**.
- Utah's secondary Utah Science Technology and Research (USTAR) program extends opportunities for students to be involved in **STEM** activities by extending the school day or the school year.
- Our 4-6 Mathematics Initiative has shown that a combination of intense professional development, coaching, and financial incentives for teachers leads to increases in grades 4-6 mathematics achievement.
- Utah has an Early College High School program that focuses on encouraging students from underrepresented groups to pursue a science and engineering associate degrees and receive automatic admission to state colleges and universities.

Using RTTT funding, Utah can greatly expand our efforts to ensure students have access to high-quality courses and instruction in **STEM** areas.

**(CPP2)(i) offer a rigorous course of study**

**Project Three** from section (B)(3) outlines the first step to a rigorous course of mathematics study, ensuring literacy in numeracy for all Utah children. Adopting the new common core standards gives Utah the opportunity to address all aspects of effective delivery of mathematics instruction. Using lessons learned from our successful 4-6 Mathematics Initiative, professional development and coaching will help us implement the new core. Expanding our mathematics initiative, while implementing the new core, will help us increase our capacity to deliver high-quality mathematics instruction that will, in subsequent years, increase student achievement in mathematics, increase our high school graduation rate, and increase college enrollment. For this project, USOE will begin development of Web-based lesson plans for mathematics that ensure alignment across schools/classrooms regardless of variations in materials and which capture the experience and talents of master teachers. Utah will also create rigorous and relevant math courses that are an alternative to the traditional calculus track, while avoiding the historic problem

of "dumbing down"; and prepare and implement recommendations for a state K-6 mathematics initiative and begin an algebra mathematics initiative.

### Activity Table for Project Three

<b>Activity 1: Begin development of Web-based lesson plans for mathematics.</b>	<b>2011/12:</b> Create a repository for supporting instructional materials. Provide PD regarding the repository through established LEA Curriculum Directors Meetings. LEAs share repository concept with LEA stakeholders.
	<b>2012/13:</b> Continue repository development.
	<b>2013/14:</b> Continued development and posting of materials to the repository. LEAs begin using the repository.
<b>Activity 2: Create rigorous and relevant math courses that are alternatives.</b>	<b>2010/11:</b> With input from LEAs, industry, and higher education partners, design rigorous and relevant courses that can be taken for credit during the senior year of high school.
	<b>2011/13:</b> Prepare and deliver PD in the content and pedagogy of the new courses for LEA teacher representatives. Support implementation of the new courses, including distance learning opportunities for frontier/small LEAs. LEAs offer new courses.
	<b>2013/14:</b> Provide ongoing PD support to LEAs as needed to support sustainability.
<b>Activity 3: Prepare and implement recommendations for a state K-6 mathematics initiative and an algebra mathematics initiative.</b>	<b>2010/11:</b> Form a mathematics strategic planning task force, that includes key LEA staff, to develop a K-6 mathematics initiative and an algebra initiative.
	<b>2011/12:</b> Form a development group that includes key LEA staff to design appropriate PD and resources for initiative implementation.
	<b>2012/14:</b> PD for LEA teacher and principal representatives. LEAs implement and participate in evaluation of initiatives.

Utah will:

- Create annual information for students and parents regarding **STEM** career and college pathways and aligned coursework beginning at the end of sixth grade and continuing through twelfth grade;
- Revise and add academic pathways to the career pathway materials;
- Coordinate with higher education to review and ensure that **STEM** courses are vertically and horizontally aligned and that other current courses required for graduation are aligned to student needs for career and college readiness;

- Review the data and reports from current **STEM** initiatives and propose continued, enhanced, or new initiatives, including CTE initiatives, that increase student participation in the study of **STEM** fields; and
- Work with business, industry, and higher education partners to define needs for a quality workforce and develop instruction to support acquisition of skills to meet those needs.

Also in section (B)(3), **Project Four, Activity 7 and 8**, addresses how **STEM** initiatives will be expanded with co-operation from business, industry, and higher education partners.

<b>Activity 7:</b> <b>Review the data and reports from current STEM initiatives and propose continued, enhanced, or new initiatives, including CTE initiatives, that increase student participation in the study of STEM fields.</b>	<b>2010/11:</b> Analyze data regarding current <b>STEM</b> readiness and participation.
	<b>2011/12:</b> Review the data and reports from current <b>STEM</b> initiatives. Determine a model for enhanced and new initiatives to increase student participation in the study of <b>STEM</b> fields.
	<b>2012/14:</b> Pilot and support enhanced and new initiatives.

<b>Activity 8:</b> <b>Work with business, industry, and higher education partners to define needs for a quality workforce and develop instruction to support acquisition of skills to meet those needs.</b>	<b>2010/11:</b> Conduct a statewide study of workforce preparation, with LEA support, to ascertain the skills required for students to be successful in the workforce.
	<b>2011/12:</b> Analyze data and work with business and industry to develop a 6-year plan. LEAs utilize statewide data in developing local plans.
	<b>2012/14:</b> Provide PD and collaborate with business and industry to implement plan at the state, region, and local levels with workforce and higher education partners. LEAs implement local plans.

In **(A)(2)(i)(a)**, we describe our **STEM** Task Force, a collaborative work group consisting of business, higher education, and state government leaders. The **STEM** Task Force will assist with many of Utah's educational efforts. Also in that section, we describe the Teaching and Learning Team, which is the team over Reform Area One and Three initiatives. The Teaching and Learning Team has a **STEM** coordinator who will lead the efforts to implement the new math core standards and the professional development of LEA leadership teams responsible for implementing the new core. This coordinator will also oversee direct teacher training, as needed, in frontier and high-need LEAs. The **STEM** coordinator will manage other **STEM** related activities.

Additional **STEM** initiatives have included salary supplements for math and science teachers, funded masters programs for special education licensure, full-time coaching support for new math teachers, co-ops with colleges of science and mathematics, and **STEM** projects that are ongoing to recruit math and science majors into teaching. USOE is working with our higher education partners to encourage teachers to upgrade their credentials or switch to **STEM** related teaching assignments. PEJEP (Public Educator Job Enhancement Program), operational for the past six years, is a targeted funding source for teachers of math, science, and special education to earn advanced credentials, endorsements, or signing bonuses. University programs are working with LEAs to provide credentialing coursework for cohorts of teachers in shortage areas. Cooperatives among IHEs, LEAs, Regional Service Centers, and USOE will continue to expand **STEM** opportunities based on data derived from current efforts.

**(CPP2)(ii) cooperate with 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**

Preparing teachers to teach, use, and understand **STEM** content across grades is an essential part of our current efforts and *Utah's Comprehensive Reform Plan*. Using creative scheduling and adding **STEM** courses to summer offerings is another way that Utah is offering more **STEM** classes for students.

Utah's secondary Utah Science Technology and Research (USTAR) program extends teacher pay for math and science educators and extends the school year and school day for **STEM** students. Through signing bonuses and tuition scholarships, our PEJEP program has been very successful in recruiting and retaining teachers in **STEM** content areas. Utah's ARL system gives non-traditional teacher **STEM** candidates multiple ways to become teachers. Our retention rates for ARL candidates are higher than the national average, and such licensure routes are supported in state statutes and through USOE-sponsored courses and ongoing monitoring (see section (D)(1) above for more information on licensure routes and statutes).

Utah has also created partnerships with **STEM** community and business leaders in order to provide internships for practicing teacher leaders that will enhance their content knowledge and

skills and provide real-world hands-on experience with **STEM** outside the classroom.

**(CPP2)(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**

Utah's MESA program, started in 1999, uses classes and clubs to increase the number of underserved, ethnic minority, and female students who pursue **STEM** careers.

Utah's Pathways information outlining high school to college career pathways is used by counselors to encourage students from underrepresented groups to enroll in **STEM** courses. Early College High Schools, which offer students an opportunity to complete college credits and earn **STEM** associate degrees while completing high school, target and recruit girls and other students from underrepresented groups.

Our CTE program has resulted in increased participation in applied **STEM** courses. New programs, such as engineering, biotech, and information technology, have been successfully started and will be expanded.

**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*

Utah will create and implement Pre-K academic standards: review the data and reports from Utah's K-3 Reading Initiative and use the data to identify and replicate high-performing projects

and practices; maintain and expand full-day kindergarten to eligible students; and use data to identify and replicate high-performing projects and practices; and support early intervention programs for high-need Pre-K children by reviewing the data and reports from the UPSTART Early Learning Initiative, CTE sponsored preschools, and other state preschool programs.

**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, post secondary 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*

**Utah Application for 2009 USED-IES-NCES-SLDS Grant Program**

**Utah Data Alliance (UDA)**

Utah has a well-established history of strong student longitudinal data systems in the K-12 range of public education. Utah public education systems fulfill, in part or completely, most of the seven capabilities and twelve elements that the statewide longitudinal data system (SLDS) request for application prescribes. The objectives and outcomes of this Utah Data Alliance (UDA) project can be summarized as the fulfillment of the entire set of SLDS requirements. Some of these requirements must be completed while others need improvements, most notably in the availability of data for decision making.

The fulfillment of these requirements brings several state agencies together, first to share their de-identified data, and then to coordinate analyses and research using those data. This work allows the partner agencies to answer questions about their policies, programs and practices. The questions include, but are not limited to, those asked by the American Recovery and Reinvestment Act (ARRA), Institute of Educational Sciences (IES), SLDS grants program; the ARRA, Race to the Top (RTTT); and the State Fiscal Stabilization Fund (SFSF) assurances.

The Utah Education Network (UEN) will build and manage the Utah Data Alliance Data Share (UDADS) to maintain these data, while the other agencies provide and consume needed data from UDADS. The Utah Education Policy Center (UEPC) also plays a key role in the project. The UEPC provides overall data and research coordination functions while pursuing its own and contracted research projects using the UDADS.

This application describes the development and delivery of numerous tangible outcomes (e.g. human resources, tools, databases, organizational and management structures, and processes) that complete all seven capabilities and twelve elements prescribed by the grant request for applications. These tangible or enabling outcomes provide the capacity to achieve answers to multiple categories of education and workforce policy, practice, and program questions. The application describes those questions the UDA partners will address with the resources provided by the UDA. The enabling outcomes include:

**1) Human resources are the major component of the project**

Numerous positions and roles are needed. Business and systems analysts will define the needed systems, processes and procedures. IT specialists working with the analysts will build the data warehouse. Trainers will ready the data analysts and researchers so they can effectively use the data. Moreover, those data analysts, statisticians, and researchers will answer the policy, practice, and program questions.

**2) UDADS**

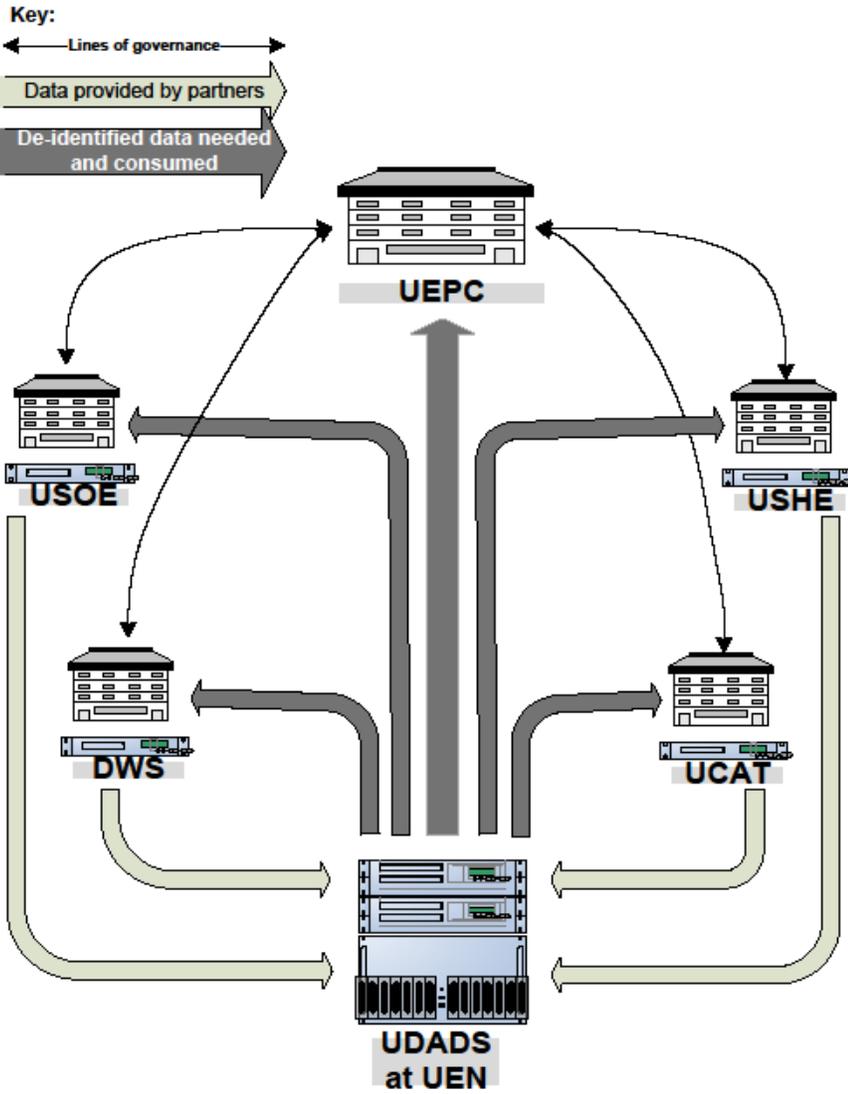
UDADS is the project's primary technical and enabling outcome. It will be constructed and updated through scheduled import of data, from partner agencies. UDADS will transform, clean and load the data and integrate them into an accessible and timely data store for the analysts,

statisticians, and researchers.

- 3) **Project management and data governance** - Management of UDA's data, processes, and procedures is vital not only in the initial development phases of the project, but in the following years as the teams in the partner agencies work on individual research questions and collaborate on shared outcomes. During the initial period, this work will take the form of project management. As the UDADS becomes operational, management roles will shift towards data governance and the coordination of data access and research. The UDA will emphasize sound data management and governance practice throughout the project.
  
- 4) **Training and staff development** - Those using the data need to understand the semantics and the structure of the data as well as the business intelligence tools used to work with those data. Training and staff development must be ongoing throughout the project.

See Appendix 18 and Priority 5 below.

## UDA DATA FLOW and GOVERNANCE OVERVIEW



**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, post secondary 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 post secondary/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*

Utah has been awarded a 2009 ARRA SLDS grant (see Appendix 18 and Priority 4 above). Included in the grant projects Utah will complete two significant American COMPETES Act capabilities (#11 & #12). The first of these capabilities is linking an individual's K-12 data to Pre-K, post secondary, workforce, and Armed Forces records. Such linking enables the analysis of student progress and outcomes over a longer period. The second capability is exchange of those data using widely recognized data standards. Through the work proposed in this application, the fulfillment of these two capabilities extends the usefulness, quality, and availability of all twelve required elements.

The grant includes the development and delivery of numerous technology outcomes including data exchange procedures, technology resources, and organizational structures that enable the fulfillment of all seven capabilities and twelve elements. More importantly, these outcomes

include the capacity to analyze data from all levels of education and into the workforce in order to answer questions about education and workforce policy, practice, and programs.

Project partners include the following:

- Utah State Office of Education (USOE) Pre-K and K-12 enrollments and achievement;
- Utah System of Higher Education (USHE) higher education enrollments;
- Utah College of Applied Technology (UCAT) Post secondary ;
- Utah Department of Workforce Services (DWS) employment/unemployment, Armed Services, Federal employees;
- Utah Education Network (UEN) custodian of the data; and
- Utah Education Policy Center (UEPC) University of Utah College of Education, the primary independent data analysis and research entity.

The organization that will pursue these outcomes is called the Utah Data Alliance (UDA). The UDA includes the Utah Data Alliance Data Share (UDADS); analysis, research and business intelligence tools; analysts and researchers; trainers and managers; and inter-agency governance processes and structures.

Future additional partners may include the following:

- Utah Department of Corrections incarcerations, recidivism;
- Utah Department of Health Pre-K programs, immunizations;
- Utah Department of Human Services Head Start, foster students, youth in custody; and
- Utah Department of Public Safety driving records

Utah's K-16 Alliance was established in 2006 with representatives from the Utah System of Higher Education, Utah State Office of Education, the Governor's Office, and the Utah House and Senate. The overarching vision of the alliance was to more nearly approximate a system approach to education in Utah. The major objective of the Alliance was to establish a working relationship and processes that unify and minimize boundaries between K-12 and college.

Additionally, the Alliance was established to engender a united perspective designed to enable students from secondary schools to transition easily into higher education and to make certain these students are prepared for college work. The biggest milestone for the K-16 Alliance has been the implementation of the common student identifier. The common student identifier will allow for both offices (USOE and USHE) to track how students progress from preschool through

college.

Since the initiation of the Alliance, much has been accomplished. Significant progress has been made:

- A Blue Ribbon Committee was established to examine testing practices.
- The Concurrent Enrollment Subcommittee implemented a formula for funding concurrent enrollment instruction that was ratified by both Utah State Office of Education (USOE) and Utah System of Higher Education (USHE). Also, research was conducted during this time period under the direction of the Alliance indicating that:
  - (1) College students with prior concurrent enrollment credit had higher second year retention rates than students without prior concurrent enrollment credit; and
  - (2) Concurrent enrollment students also had a higher on-time college graduation rate than non-concurrent enrollment students.
- The Teacher Education Committee conducted a study under the direction of Dr. David Sperry that addressed supply and demand for teachers in Utah. Important data were collected that reinforced the criticality of the teacher shortage and that recommended strategies for recruiting students into education programs. The report also recommended strategies for addressing teacher attrition issues.
- The Developmental/Remedial Subcommittee and the eLearning Connection has received \$50,000 from USOE and \$50,000 from USHE to design and implement a developmental on-line course to address learning deficiencies *before* students enter college.

**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*

For almost two decades, Utah has had some form of school community councils. These councils were established to address the academic needs of students with decisions being made at the local school level. The councils, comprised of community members, parents and school faculty, create and implement both long-term and short-term school improvement plans. These councils have evolved over time and been given more responsibilities. These councils, outlined in state statute, have the opportunity to innovate and implement plans that better meet the needs of their specific students. They create improvement plans based on student data and have a funding source dedicated to implementation of these plans. That source is the interest investment off of Utah's trust lands. Although school districts have oversight of the improvement plans so they align to district goals, the trust lands funding flows directly to the school community council to be used in the implementation of these collaborative plans. Utah is currently working on a project with stakeholders to provide highly recommended strategies and tools for developing and maintaining quality in the work of these councils. In addition, this project makes use of school climate indicators in developing action plans that involve parents and the community in school goals. Utah is also investigating the possibility of using school climate surveys (Utah State University's Indicators of School Quality) as a data source for local school improvement plans.

## Budget Part I: Budget Summary Table

**Instructions:**

In the Budget Summary Table, the State should include the budget totals for each budget category and each year of the grant. These line items are derived by adding together the line items from each of the Project-Level Budget Tables.

<b>Budget Part I: Summary Budget Table</b> (Evidence for selection criterion (A)(2)(i)(d))					
Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel	4,369,839	3,850,778	3,815,303	3,262,964	15,298,884
2. Fringe Benefits	911,342	904,551	951,457	819,024	3,586,373
3. Travel	417,985	427,564	349,354	307,371	1,502,274
4. Equipment	2,255,389	1,333,720	532,000	2,000	4,123,109
5. Supplies	395,009	496,259	322,882	286,894	1,501,044
6. Contractual	7,653,496	6,617,305	4,689,628	4,178,628	23,139,056
7. Training Stipends	1,099,000	1,595,333	691,333	571,334	3,957,000
8. Other	199,825	332,625	133,425	1,193	667,068
9. Total Direct Costs (lines 1-8)	17,301,885	15,558,135	11,485,382	9,429,408	53,774,808
10. Indirect Costs*	747,951	641,969	643,511	551,069	2,584,499
11. Funding for Involved LEAs	-	-	-	-	-
12. Supplemental Funding for Participating LEAs	6,863,085	7,485,076	8,826,015	7,966,516	31,140,693
13. Total Costs (lines 9-12)	24,912,921	23,685,180	20,954,908	17,946,992	87,500,000
14. Funding Subgranted to Participating LEAs (50% of Total Grant)	21,875,000	21,875,000	21,875,000	21,875,000	87,500,000
15. Total Budget (lines 13-14)	46,787,921	45,560,180	42,829,908	39,821,992	175,000,000

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.  
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.  
Column (e): Show the total amount requested for all project years.  
\*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section.  
Note that indirect costs are not allocated to lines 11-12.

## **BUDGET PART I: BUDGET SUMMARY NARRATIVE**

Utah is proposing a Race to the Top budget of \$175,000,000. The use of the funds is described in detail in *Utah's Comprehensive Reform Plan*. All of the projects and goals associated with RTTT have been aligned to the State Board's *Promises to Keep Initiative* and the RTTT four reform areas. They were derived from an exhaustive look at our state data, an evaluation of our current conditions and efforts, the input from several education roundtables held throughout the state and feedback from our education stakeholders. The projects also represent the lessons we have learned from successful state and local programs and national research.

Utah has several unique funding challenges. Without the requested amount Utah does not have the capacity to move all four reform areas forward quickly and simultaneously. Although we have a high taxing effort (7<sup>th</sup> highest), we have the largest percentage of children in the United States per capita, the highest birth rate per capita, and, due to the huge percentage of land within our geographic borders owned by the federal government, the lowest state taxable property base (21%). We are rapidly becoming more diverse and have more students with critical needs. In the last decade, our population has grown by 27%. During this same time period, our Legislature has increased funding for education by 48%. One hundred percent of our state income tax is dedicated to education. Even with this increase, Utah is dead last in every per student funding category in the nation. The federal contribution to education in Utah is \$650.00 per student compared to the national average of \$968.00. The fact that Utah performs as well as it does, is a tribute to the dedication of our teachers, parents, and administrators. The same dedication will support our RTTT efforts.

There are nineteen projects for which there is a project-level budget associated with Utah's Race to the Top Application. They are:

### **Reform Area One: Adopting standards and assessments that prepare students to succeed in college and the workplace to compete in the global economy.**

Project One: Adoption and Implementation of the New Common Core State Standards in Reading/Language Arts and in Mathematics

Project Two: Using the Common Core Standards to Ensure Literacy for all Utah Children

Project Three: Using the Common Core Standards to Ensure Mathematics Literacy for all Utah Children

Project Four: Ensuring Post secondary Success

Project Five: Improving Early Learning Outcomes

Project Six: Refinement of Utah Performance Assessment System for Students (U-PASS) Testing

**Reform Area Two: Building data systems that measure student growth and success, and inform teachers and principals about how they can improve instruction.**

Project One: Expansion and Adaptation of State Longitudinal Data Systems (SLDS)

Project Two: Effective Data Access for Instructional Improvement

Project Three: Effective Data Use

**Reform Area Three: Recruiting, developing, rewarding, and retaining effective teachers and principals, especially where they are needed most.**

Project One: Using Student Data to Assist in Measuring Instructional Quality

Project Two: Developing and Implementing Measures of Instructional Quality

Project Three: Revise and Implement Utah Professional Teaching Standards

Project Four: Implement Statewide Educator Evaluation System

Project Five: Develop and Implement Instructional Leadership Standards

Project Six: Providing Statewide Policy and Resources for Equitable Distribution

Project Seven: Utah Continuum of Support for Educator Excellence

**Reform Area Four: Turning around our lowest-achieving schools.**

Project One: System of Support for Low-Achieving Schools

Project Two: Preventing Low-Achieving Schools

**General**

Management of RTTT and Increasing LEA Capacity Project

At the State Office level, Utah will use existing leadership and staff that will be reorganized to facilitate implementation of our reform plan. If we receive a Race to the Top grant, additional leadership teams will be created that will enhance our capacity to manage the program and support the efforts of our LEAs to ensure that we meet our reform timelines. The teams described below are the groups that will design, implement, and monitor progress of our reforms:

- Teaching and Learning Team – This newly organized department consists of four teams that will oversee the state’s efforts to implement the new common core standards, oversee the reforms related to recruiting, retaining, and identifying great teachers and leaders, and enhance our literacy, numeracy, and **STEM** initiatives.
- Data, Assessment and Accountability Team – This current team, in conjunction with the SMARTER Assessment Consortium, will develop and implement new common core aligned assessments and will lead the work associated with helping our school leaders, teachers, parents, policymakers, and researchers use the collected data to improve student learning and achievement. The team will continue to oversee and improve Utah’s longitudinal data system and all associated on-line resources.
- School Improvement Team – This existing team will continue to use our state-developed System of Support (SOS) and will intervene in the state’s lowest achieving schools.
- Oversight Team – This new team will oversee the implementation of our Race to the Top Plan. It will provide implementation support and intervention if a participating LEA does not meet its obligations. The Oversight Team will also be responsible for providing effective and efficient processes in budget reporting and monitoring, performance measure tracking and reporting, fund disbursement, and all other issues related to required reports.

USOE will help LEAs use the fiscal, political, and human capital resources of the state to continue the successful funded reforms after the grant has ended. In addition, an RTTT evaluation team will be hired to track Utah’s efforts and assist us in determining the effectiveness of our efforts.

A key component of our education reform plan is to support LEAs in successfully implementing the plan's initiatives. In *Utah's Comprehensive Reform Plan*, activities have been identified that will help LEAs implement promising practices, evaluate these practices' effectiveness, and eliminate ineffective practices. The focus will be on widely disseminating and replicating effective practices statewide. The State's role will be to use the SEA funds as a facilitator and resource for positive LEA change. To that end, targeted amounts of the SEA's \$87,500,000 will be added to the LEA budgets. The primary focus of state assistance will be helping LEAs find their best way to implement reform. All participating LEAs have signed a MOU that holds them accountable for implementing the state reform plan. The RTTT Oversight Team will intervene if a participating LEA does not meet its obligations.

As part of the Comprehensive Reform Plan, the Utah State Board of Education has directed that, where allowable, other state funds, programs, and resources will be re-purposed so they will align with *Utah's Comprehensive Reform Plan*. We plan to leverage our other federal funds; School Improvement Grant, Statewide Longitudinal Data Systems (SLDS) grant, Teacher Incentive Fund grant, Title I, and Educational Technology grant to achieve Utah's reform goals and implement our proposed activities. For example, the LEA portion of our federal educational technology money will all go to the struggling secondary schools identified in Reform Area Four. The SLDS funds will be folded into the projects in Reform Area Two, and our Title I funds will be directed to Reform Area Four. We plan on a completely integrated approach to using our resources to accomplish our plans. All of the directors and specialists at the state level are committed to using their time and financial resources to accomplish Utah's goals. Because our reform plan features projects and activities that are designed to jumpstart and replicate effective practices statewide, we believe we have the capacity to maintain these efforts after the funding is gone, barring any unforeseen budget reductions similar to those recently experienced due to the current recession.

### **Budget Part II: Project-Level Budget Table**

- See Appendix 51 for Project-level Budget tables and Project-level Budget Narrative.

**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: 07/\_/01/\_/2009\_\_ To: 06\_\_/\_/30/\_/2010\_\_

Approving Federal agency: ED Other  
(Please specify agency): \_\_\_\_\_