



STATE OF NEW YORK
EXECUTIVE DEPARTMENT
DIVISION OF THE BUDGET
ALBANY, NY 12224

DAVID A. PATERSON
GOVERNOR

ROBERT L. MEGNA
DIRECTOR OF THE BUDGET

January 11, 2010

The Honorable Arne Duncan
Secretary of Education
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202

Dear Secretary Duncan:

I am pleased to submit New York State's Phase II application for the State Fiscal Stabilization Funds available through the American Recovery and Reinvestment Act of 2009. This funding will continue to save and create new jobs in New York State and preserve education programs that will positively impact New York's students and help to close the achievement gap. These funds were put to use in every school district and community college and supported important programs across the State.

This support comes at a crucial moment for our State. As you know, New York State is still recovering from the economic collapse. Recent financial estimates continue to show declining State revenues and an increasing State budget gap. This situation caused Governor Paterson to develop a \$3 billion savings plan in October 2009. In December 2009, the State Legislature enacted Deficit Reduction legislation that, combined with administrative actions, reduced the current year budget gap by \$2.7 billion through various spending and revenue actions. It is estimated that New York State will not recover from the recession until the second half of 2010. Despite these harsh economic realities, our State maintains our commitment to the goal of improving student achievement, preparing students for college and careers, and supporting our struggling schools.

The New York State Board of Regents and New York State Education Department were instrumental in developing the State Plan in this application. The efforts and support of the Regents and network of resources available to New York State will ensure that this Plan is successfully implemented. Successful implementation of this State Plan will also depend greatly on our State's ability to secure a Race to the Top (RTTT) and an Institute of Education Sciences (IES) grant.

The Regents and State Education Department have consulted extensively with various interested parties in preparing this application. Many of the items included in the State Plan will be the same as or complimentary to our State's Race to the Top application that will be submitted later this month. The State Plan focuses primarily on the development of a more comprehensive teacher and principal evaluation system and expanding the existing data system to include the required elements of the America COMPETES Act.

Thank you for your strong and continued commitment to preserving and strengthening our nation's K-12 and public higher education systems.

Sincerely,

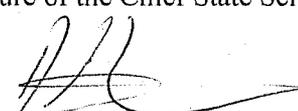
A handwritten signature in black ink that reads "Robert L. Megna". The signature is written in a cursive style with a large, stylized 'R' and 'M'.

Robert L. Megna

STATE FISCAL STABILIZATION FUND PHASE II APPLICATION

PART 1: APPLICATION COVER SHEET

(CFDA No. 84.394)

Legal Name of Applicant (Office of the Governor): Office of Governor David A. Paterson	Applicant's Mailing Address: State Capitol Albany, NY 12224
State Contact for the Education Stabilization Fund Name: Robert L. Megna Position and Office: Director, Division of the Budget Contact's Mailing Address: New York State Division of the Budget State Capitol Albany, NY 12224 Telephone: 518-474-2300 Fax: 518-402-2298 E-mail address: robert.megna@budget.state.ny.us	
To the best of my knowledge and belief, all of the information and data in this application are true and correct.	
Governor or Authorized Representative of the Governor (Printed Name): Robert L. Megna, Director, Division of the Budget	Telephone: 518-474-2300
Signature of Governor or Authorized Representative of the Governor: 	Date: 1/11/10
Recommended Statement of Support from the Chief State School Officer (<i>Optional</i>): The State educational agency will cooperate with the Governor in the implementation of the State Fiscal Stabilization Fund program.	
Chief State School Officer (Printed Name): David M. Steiner, Commissioner of Education	Telephone: 518-474-5844
Signature of the Chief State School Officer: 	Date: 1/11/2010

Form Approved OMB Number: 1810-0695; Expiration Date: 05/31/2010

PART 2A: UPDATE OF MAINTENANCE-OF-EFFORT DATA

SPECIAL NOTES:

- In the SFSF Phase I Application, States were required to submit MOE data. The Department is requesting that States reaffirm these data for Phase II, and in particular, to update FY 2009 data to actual levels of State support.
- *For further information, see Appendix D – Instructions for Part 2: Maintenance of Effort.*

1. Levels of State support for elementary and secondary education *(the amounts may reflect the levels of State support on either an aggregate basis or a per-student basis):*

FY 2006	<u>\$ 19,859,480,902</u> (NPEFS Data)
FY 2009	<u>\$ 21,020,218,404</u> (Estimated Amount)
FY 2010*	<u>\$ N/A</u>
FY 2011*	<u>\$ N/A</u>

(* Provide data to the extent that data are currently available.)

2. Levels of State support for public institutions of higher education *(enter amounts for each year):*

FY 2006	<u>\$ 3,275,000,000</u>
FY 2009	<u>\$ 4,282,424,400</u>
FY 2010*	<u>\$ 4,133,723,300</u>
FY 2011*	<u>\$ N/A</u>

(* Provide data to the extent that data are currently available.)

3. Additional Submission Requirements: In an attachment to the application –

- (a) Identify and describe the data sources used in determining the levels of State support for elementary and secondary education; - and -

See Attachment 1 (Note: Attachment section is located at the end of the document)

- (b) Identify and describe the data sources used in determining the levels of State support for public IHEs.

See Attachment 1

PART 2B: ATTESTATION OF MAINTENANCE-OF-EFFORT COMPLIANCE

The Governor or his/her authorized representative attests to the following:

To the best of his/her knowledge and based on the best available data, the State has met all maintenance-of-effort requirements for the State Fiscal Stabilization Program for FY 2009 (check all that apply):

- for elementary and secondary education.
- for public Institutions of Higher Education (IHEs).

Governor or Authorized Representative of the Governor (Printed Name): Robert L. Megna, Director, Division of the Budget	
Signature: <i>Robert L. Megna</i>	Date: <i>1/11/10</i>

If a State has not met or cannot meet MOE for either elementary and secondary education or public IHEs, or both, it must complete the following:

The State has not met all maintenance-of-effort requirements for the State Fiscal Stabilization Program for FY 2009 and

(check one):

- has already submitted a MOE Waiver Request to the US Department of Education.
- is submitting a MOE Waiver Request with this application package.

PART 3A: ASSURANCE INDICATORS AND DESCRIPTORS

I. Assurance (a): Achieving Equity in Teacher Distribution

A State must collect and publicly report data and other information on: (1) the extent that students in high- and low-poverty schools in the State have access to highly qualified teachers; (2) the extent that current strategies and efforts to address inequities in the distribution of inexperienced, unqualified, or out-of-field teachers; (3) how teacher and principal performance is evaluated and how performance ratings are used; and (4) the distribution of performance evaluation ratings or levels among teachers and principals.

Indicator (a)(1)	Confirm, for the State, the number and percentage (including numerator and denominator) of core academic courses taught, in the highest-poverty and lowest-poverty schools, by teachers who are highly qualified consistent with section 9101(23) of the Elementary and Secondary Education Act of 1965, as amended (ESEA).	
<p>Please respond (Yes or No): Are the data related to this indicator at http://www.ed.gov/programs/statestabilization/indicator-a1.xls correct?</p> <p>¹ <input checked="" type="checkbox"/> Yes, the data are correct.</p> <p>² <input type="checkbox"/> No, the data are not correct.</p> <p>If checked, provide below or in an attachment the correct data and any supporting information. A URL linking to the correct data on the State's website is also sufficient:³ Click here to enter text.</p> <p>Please respond (check only one):</p> <p>⁴ <input checked="" type="checkbox"/> The State makes the data <i>publicly available</i> and updates the data <i>annually</i> on a website.</p> <p>→ Provide the State website where the data are provided by the State to the public:⁵</p>		

<http://www.emsc.nysed.gov/ppd/documents/HQTStatus07-08Final.xls> and <http://www.emsc.nysed.gov/irts/pmf/>

⁶ The State makes the data *publicly available* on a website but updates it *less than annually*.

➔ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (a)(1)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Provide the State website where the most recently updated data are provided by the State to the public: ⁷ [Click here to enter text.](#)

⁸ The State does not make the data publicly available on a website.

➔ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(1)” in the Plan Element Verification chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (a)(2)	Confirm whether the State’s Teacher Equity Plan (as part of the State’s Highly Qualified Teacher Plan) fully reflects the steps the State is currently taking to ensure that students from low-income families and minority students are not taught at higher rates than other students by inexperienced, unqualified, or out-of-field teachers (as required in section 1111(b)(8)(C) of the ESEA).	
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Please respond (Yes or No): Is the State’s Teacher Equity Plan located at <http://www.ed.gov/programs/teacherqual/hqtplans/index.html> correct?

¹ Yes, the information is correct.

² No, the information is not correct.

→ If checked, provide below or in an attachment the State’s most updated Teacher Equity Plan. A URL linking to the correct data on the State’s website is also sufficient:³ [Click here to enter text.](#)

Please respond (check only one):

⁴ The State makes the information *publicly available* and updates the information *annually* on a website.

→ Provide the State website where the information is provided by the State to the public:⁵ <http://www.highered.nysed.gov/tcert/>

⁶ The State makes the information *publicly available* on a website but updates it *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 2B. Cite “Indicator (a)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:⁷ [Click here to enter text.](#)

⁸ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating the information annually on a website in Part 3B. Cite “Indicator (a)(2)” in the Plan Element Verification chart in Part 4B, Section I and mark both the Collection and Public Reporting columns.

Descriptor (a)(1)	Describe, for each local educational agency (LEA) in the State, the systems used to evaluate the performance of teachers and the use of results from those systems in decisions regarding teacher development, compensation, promotion, retention, and removal.
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Please respond (check Yes or No): Does the State collect a description of the system each LEA uses to evaluate the performance of teachers?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the information *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the information *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(1)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information are provided by the State to the public:

⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(1)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(1)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Please respond (check Yes or No): Does the State collect a description of the manner in which each LEA uses the results of the evaluation systems described above related to the performance of teachers in decisions regarding teacher development, compensation, promotion, retention, and removal?

⁸ Yes, the State collects this information.

If Yes, please respond (check one):

⁹ The State makes the information *publicly available* and updates the information *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:¹⁰ [Click here to enter text.](#)

¹¹ The State makes the information *publicly available* on a website and updates the information *less than annually*.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Descriptor (a)(1)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information are provided by the State to the public:
¹² [Click here to enter text.](#)

¹³ The State does not make the information publicly available on a website.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Descriptor (a)(1)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

¹⁴ No, the State does not collect this information.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Descriptor (a)(1)" in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (a)(3)	Indicate, for each LEA in the State, whether the systems used to evaluate the performance of teachers include student achievement outcomes or student growth data as an evaluation criterion.
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Please respond (check Yes or No): Does the State request information on whether the system each LEA uses to evaluate the performance of teachers includes student achievement outcomes or student growth data as an evaluation criterion?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the information *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the information *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (a)(3)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (a)(3)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (a)(3)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (a)(4)	Provide, for each LEA in the State whose teachers receive performance ratings or levels through an evaluation system, the number and percentage (including numerator and denominator) of teachers rated at each performance rating or level.
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Please respond (check Yes or No): Does the State collect, for each LEA in the State whose teachers receive performance ratings or levels through an evaluation system, the number and percentage of teachers rated at each performance rating or level?

¹ Yes, the State collects these data.

If Yes, please respond (check one):

² The State makes the data *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the data are collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the data *publicly available* on a website and updates the data *less than annually*.

→ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(4)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated data are provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the data publicly available on a website.

→ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(4)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect these data.

→ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(4)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (a)(5)	Indicate, for each LEA in the State whose teachers receive performance ratings or levels through an evaluation system, whether the number and percentage (including numerator and denominator) of teachers rated at each performance rating or level are publicly reported for each school in the LEA.
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Please respond (check Yes or No): Does the State collect, for each LEA in the State whose teachers receive performance ratings or levels through an evaluation system the number and percentage (including numerator and denominator) of teachers rated at each performance rating or level?

¹ Yes, the State collects these data.

If Yes, please respond (check one):

² The State makes the data *publicly available* and updates the data *at least annually* on a website.

➔ Provide the State website where the data are collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the data *publicly available* on a website and updates the data *less than annually*.

➔ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(5)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column. Provide the State website where the most recently updated data are provided by the State to the public:⁵ [Click here to enter text.](#)

⁶ The State does not make the data publicly available on a website.

➔ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(5)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect these data.

➔ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(5)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Descriptor (a)(2)	Describe, for each LEA in the State, the systems used to evaluate the performance of principals and the use of results from those systems in decisions regarding principal development, compensation, promotion, retention, and removal.
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Please respond (check Yes or No): Does the State collect a description of the system each LEA uses to evaluate the performance of principals?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates it *at least annually* on a website.

➔ Provide the State website where the information is collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the information *publicly available* on a website and updates the information *less than annually*.

➔ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

➔ Provide the State website where the most recently updated information is provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

➔ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

➔ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Please respond (check Yes or No): Does the State collect a description of the manner in which each LEA uses the results of the evaluation systems described above related to the performance of principals in decisions regarding principal development, compensation, promotion, retention, and removal?

⁸ Yes, the State collects this information.

If Yes, please respond (check one):

⁹ The State makes the information *publicly available* and updates the information *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:¹⁰ [Click here to enter text.](#)

¹¹ The State makes the information *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information are provided by the State to the public:
¹² [Click here to enter text.](#)

¹³ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

¹⁴ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Descriptor (a)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (a)(6)	Indicate, for each LEA in the State, whether the systems used to evaluate the performance of principals include student achievement outcomes or student growth data as an evaluation criterion.
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Please respond (check one): Does the State collect information on whether the system each LEA uses to evaluate the performance of principals includes student achievement outcomes or student growth data as an evaluation criterion?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates it *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the information *publicly available* on a website and updates it *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (a)(6)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:

⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (a)(6)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (a)(6)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (a)(7)	Provide, for each LEA in the State whose principals receive performance ratings or levels through an evaluation system, the number and percentage (including numerator and denominator) of principals rated at each performance rating or level.
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Please respond (check one): Does the State collect and publicly report, for each LEA in the State whose principals receive performance ratings or levels through an evaluation system, the number and percentage of principals rated at each performance rating or level?

¹ Yes, the State collects these data.

If Yes, please respond (check one):

² The State makes the data *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the data are collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the data *publicly available* on a website and updates the data *less than annually*.

→ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(7)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated data are provided by the State to the public:

⁵ [Click here to enter text.](#)

⁶ The State does not make the data publicly available on a website.

→ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(7)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect these data.

→ Provide the State’s plan for making the data publicly available and updating the data annually on a website in Part 3B. Cite “Indicator (a)(7)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

II. Assurance (b): Improving Collection and Use of Data

A State must collect and publicly report information on the elements of its statewide longitudinal data system, on whether teachers receive data on student growth in a manner that is timely and informs instructional programs, and on whether the State provides teachers with reports of individual teacher impact on student achievement.

Indicator (b)(1)	Indicate which of the 12 elements described in section 6401(e)(2)(D) of the America COMPETES Act are included in the State's statewide longitudinal data system.	
<p>Instructions: Please indicate which of the 12 elements of the America COMPETES Act are included in the State's statewide longitudinal data system.</p> <p>Please respond (check Yes or No): For pre-K through postsecondary education, does the State's statewide longitudinal data system include the following elements:</p> <p>(1) A unique statewide student identifier that does not permit a student to be individually identified by users of the system?</p> <p><input type="checkbox"/> Yes. <input checked="" type="checkbox"/> No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #1 in the Plan Element Verification Chart in Part 3B, Section II.</p> <p>(2) Student-level enrollment, demographic, and program participation information?</p> <p><input type="checkbox"/> Yes. <input checked="" type="checkbox"/> No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #2 in the Plan Element Verification Chart in Part 3B, Section II.</p> <p>(3) Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete pre-K through postsecondary education programs?</p> <p><input type="checkbox"/> Yes.</p>		

No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #3 in the Plan Element Verification Chart in Part 3B, Section II.

4) The capacity to communicate with higher education data systems?

Yes.

No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #4 in the Plan Element Verification Chart in Part 3B, Section II.

(5) An audit system assessing data quality, validity, and reliability?

Yes.

No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #5 in the Plan Element Verification Chart in Part 3B, Section II.

Please respond (check Yes or No): For pre-K through grade 12 education, does the State's statewide longitudinal data system include the following elements:

(6) Yearly State assessment records of individual students?

Yes.

No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #6 in the Plan Element Verification Chart in Part 3B, Section II.

(7) Information on students not tested, by grade and subject?

Yes.

No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #7 in the Plan Element Verification Chart in Part 3B, Section II.

(8) A teacher identifier system with the ability to match teachers to students?

- Yes.
 No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #8 in the Plan Element Verification Chart in Part 3B, Section II.

(9) Student-level transcript information, including on courses completed and grades earned?

- Yes.
 No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #9 in the Plan Element Verification Chart in Part 3B, Section II.

(10) Student-level college readiness test scores?

- Yes.
 No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #10 in the Plan Element Verification Chart in Part 3B, Section II.

Please respond (check Yes or No): For postsecondary education, does the State's statewide longitudinal data system include the following elements:

(11) Information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework?

- Yes.
 No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #11 in the Plan Element Verification Chart in Part 3B, Section II.

(12) Other information determined necessary to address alignment and adequate preparation for success in postsecondary education?

- Yes.
 No. Provide a plan for including this element in your statewide longitudinal data system in Part 3B. Cite #12 in the Plan Element Verification Chart in Part 3B, Section II.

Indicator (b)(2)	Indicate whether the State provides student growth data on their current students and the students they taught in the previous year to, at a minimum, teachers of reading/language arts and mathematics in grades in which the State administers assessments in those subjects in a manner that is timely and informs instructional programs.
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Please respond (check Yes or No): Does the State provide student growth data on their current students and the students they taught the previous year to, at a minimum, teachers of reading/language arts and mathematics in grades in which the State administers assessments in those subjects, in a manner that is timely and informs instructional programs?

- Yes. You are not required to provide further information. In Part 3B, Section III, check “Not Applicable.”
- No. Provide a plan for providing this information to teachers in Part 3B, Section III.

Indicator (b)(3)	Indicate whether the State provides teachers of reading/language arts and mathematics in grades in which the State administers assessments in those subjects with reports of individual teacher impact on student achievement on those assessments.
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Please respond (check Yes or No): Does the State provide teachers of reading/language arts and mathematics in grades in which the State administers assessments in those subjects with reports of individual teacher impact on student achievement on those assessments?

- Yes. You are not required to provide further information. In Part 3B, Section IV, check “Not Applicable.”
- No. Provide a plan for providing this information to teachers in Part 3B, Section IV.

III. Assurance (c): Standards and Assessments

A State must collect and publicly report data and other information on whether students are provided high-quality State assessments; whether students with disabilities and limited English proficient students are included in State assessment systems; whether the State makes information available regarding student academic performance in the State compared to the academic performance of students in other States; and on the extent to which students graduate from high school in four years with a regular high school diploma and continue on to pursue a college education.

Indicator (c)(1)	Confirm the approval status, as determined by the Department, of the State's assessment system under section 1111(b)(3) of the ESEA with respect to reading/language arts, mathematics, and science assessments.	 Confirm 
<p>Please respond (check one): Is the status of the Department's approval, available at http://www.ed.gov/programs/statestabilization/indicator-c1.xls correct?</p> <p>¹ <input checked="" type="checkbox"/> Yes, the status is correct.</p> <p>→ ² <input type="checkbox"/> No, the status is not correct. If checked, provide below or in an attachment the correct information and any other supporting information. A URL linking to the correct data on the State's website is also sufficient: ³ Click here to enter text.</p> <p>Please respond (check one):</p> <p>⁴ <input checked="" type="checkbox"/> The State makes the status information <i>publicly available</i> and keeps it <i>up-to-date</i> on a website.</p> <p>→ Provide the State website where the status is provided by the State to the public:⁵ http://www.emsc.nysed.gov/sar/</p> <p>⁶ <input type="checkbox"/> The State makes the status information <i>publicly available</i> on a website but <i>does not keep it up-to-date</i>.</p> <p>→ If checked, provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B.</p>		

Cite “Indicator (c)(1)” in the Plan Element Verification chart in Part 3B, Section I and mark the Public Reporting column.

➔ Provide the State website where the most recently updated information is provided by the State to the public: ⁷ [Click here to enter text.](#)

⁸ The State does not make the status information publicly available on a website.

➔ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (c)(1)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Indicator (c)(2)	Confirm whether the State has developed and implemented valid and reliable alternate assessments for students with disabilities that are approved by the Department.	
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Please respond (Yes or No): Is the information related to this indicator, available at <http://www.ed.gov/programs/statestabilization/indicator-c1.xls>, correct?

¹ Yes, the status is correct.

→ ² No, the status is not correct. If checked, provide below or in an attachment the correct information and any other supporting information. A URL linking to the correct data on the State’s website is also sufficient:³ [Click here to enter text.](#)

Please respond (check one):

⁴ The State makes the status information *publicly available* and keeps it *up-to-date* on a website.

→ Provide the State website where the status is provided by the State to the public:⁵
<http://www.emsc.nysed.gov/osa/nysaa/home.shtml>

⁶ The State makes the status information *publicly available* on a website and *does not keep it up-to-date*.

→ Provide the State’s plan for making the status publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.
→ Provide the State website where the information is collected and publicly available:⁷ [Click here to enter text.](#)

⁸ The State does not make the status information publicly available on a website.

Provide the State’s plan for making the status publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

**Indicator
(c)(3)**

Confirm whether the State’s alternate assessments for students with disabilities, if approved by the Department, are based on grade-level, modified, or alternate academic achievement standards.



Please respond (check one): Is the information related to this indicator, available at <http://www.ed.gov/programs/statestabilization/indicator-c1.xls>, correct?

¹ Yes, the information is correct.

² No, the information is not correct.

→ If checked, provide below or in an attachment the correct information and any other supporting information. A URL linking to the correct data on the State’s website is also sufficient: ³ [Click here to enter text.](#)

Please respond (check one):

⁴ The State makes the information *publicly available* and keeps it *up-to-date* on a website.

→ Provide the State website where the information is collected and publicly available:⁵
<http://www.emsc.nysed.gov/osa/nysaa/home.shtml>

⁶ The State makes the information *publicly available* on a website but *does not keep it up-to-date*.

→ Provide the State’s plan for making the information publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(3)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the information is collected and publicly available:⁷ [Click here to enter text.](#)

⁸ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(3)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Indicator (c)(4)	Indicate whether the State has completed, within the last two years, an analysis of the appropriateness and effectiveness of the accommodations it provides students with disabilities to ensure their meaningful participation in State assessments.
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Please respond (check one): Has the State, within the last two years, completed an analysis of the appropriateness and effectiveness of the accommodations it provides students with disabilities to ensure their meaningful participation in State assessments?

- ¹ Yes, this has been completed within the last two years.
- ² No, this has been completed, but it occurred more than two years ago.
- ³ No, this has never been completed.

Please respond (check one):

- ⁴ The State makes the information *publicly available* and keeps it *up-to-date* on a website.
 - ➔ Provide the State website where the information is collected and publicly available:⁵
<http://www.emsc.nysed.gov/osa/nysaa/home.shtml>
- ⁶ The State makes the information *publicly available* on a website but *does not keep it up-to-date*.
 - ➔ Provide the State’s plan for making the information publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(4)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.
 - ➔ Provide the State website where the information is collected and publicly available:⁷ [Click here to enter text.](#)
- ⁸ The State does not make the information publicly available on a website.
 - ➔ Provide the State’s plan for making the information publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(4)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Indicator (c)(5)	Confirm the number and percentage (including numerator and denominator) of students with disabilities who are included in State reading/language arts and mathematics assessments.	
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Please respond (check one): Can the State confirm that the number and percentage of students with disabilities who are included in State *reading/language arts* assessments, available at <http://www.ed.gov/programs/statestabilization/indicator-c5r.xls>, are correct?

¹ Yes, the data are correct.

² No, the data are not correct.

→ If checked, provide below or in an attachment the correct data and any supporting information. A URL linking to the correct data on the State’s website is also sufficient:

³ [Click here to enter text.](#)

Please respond (check one):

⁴ The State makes the data relative to the inclusion of students with disabilities on State assessments in *reading/language arts publicly available* and keeps it *up-to-date* on a website.

→ Provide the State website where the data are collected and publicly available:⁵ <http://www.emsc.nysed.gov/irts/reportcard/>

⁶ The State makes the data relative to the inclusion of students with disabilities on State assessments in *reading/language arts publicly available* on a website but *does not keep it up-to-date*.

→ Provide the State’s plan for making the data publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(5)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the data are collected and publicly available:⁷ [Click here to enter text.](#)

⁸ The State does not make the data relative to the inclusion of students with disabilities on State assessments in *reading/language arts publicly available* on a website.

→ Provide the State’s plan for making the data publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(5)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Please respond (check one): Can the State confirm that the number and percentage of students with disabilities who are included in State *mathematics* assessments, available at <http://www.ed.gov/programs/statestabilization/indicator-c5m.xls>, are correct?

⁹ Yes, the data are correct.

¹⁰ No, the data are not correct.

→ If checked, provide below or in an attachment the correct data and any supporting information. A URL linking to the correct data on the State's website is also sufficient:

¹¹ [Click here to enter text.](#)

Please respond (check one):

¹² The State makes the data relative to the inclusion of students with disabilities on State assessments in *mathematics publicly available* and keeps it *up-to-date* on a website.

→ Provide the State website where the data are collected and publicly available:¹³ <http://www.emsc.nysed.gov/irts/reportcard/>

¹⁴ The State makes the data relative to the inclusion of students with disabilities on State assessments in *mathematics publicly available* on a website but *does not keep it up-to-date*.

→ Provide the State's plan for making the data publicly available and up-to-date on a website in Part 3B. Cite "Indicator (c)(5)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the data are collected and publicly available:¹⁵ [Click here to enter text.](#)

¹⁶ The State does not make the data relative to the inclusion of students with disabilities on State assessments in *mathematics publicly available* on a website.

→ Provide the State's plan for making the data publicly available and up-to-date on a website in Part 3B. Cite "Indicator (c)(5)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Indicator (c)(6)	Indicate whether the State has completed, within the last two years, an analysis of the appropriateness and effectiveness of the accommodations it provides limited English proficient students to ensure their meaningful participation in State assessments.
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Please respond (check one): Has the State completed, within the last two years, an analysis of the appropriateness and effectiveness of the accommodations it provides limited English proficient students to ensure their meaningful participation in State assessments?

- Yes, this was completed within the last two years.
- No, this was completed more than two years ago.
- No, this has never been completed.

Please respond (check one):

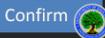
- The State makes the information *publicly available* and keeps it *up-to-date* on a website.

Provide the State website where the information is collected and publicly available:⁵ <http://www.emsc.nysed.gov/sar/> and

<http://www.emsc.nysed.gov/osa/> Document Title: “Participation and Performance of Students Using Accommodations on the New York State Testing Program”

- The State makes the information *publicly available* on a website but *does not keep it up-to-date*.
 - ➔ Provide the State’s plan for making the information publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(6)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.
 - ➔ Provide the State website where the information is collected and publicly available:⁷ [Click here to enter text.](#)

- The State does not make the information publicly available on a website.
 - ➔ Provide the State’s plan for making the information publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(6)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Indicator (c)(7)	Confirm whether the State provides native language versions of State assessments for limited English proficient students that are approved by the Department.	 
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Please respond (check one): Is the information related to this indicator, available at <http://www.ed.gov/programs/statestabilization/indicator-c1.xls>, correct?

¹ Yes, the information is correct.

² No, the information is not correct.

- If checked, provide below or in an attachment the correct information and any supporting information. A URL linking to the correct data on the State’s website is also sufficient:
³ [click here to enter text.](#)

Please respond (check one): Is the State’s current status available on the State’s website?

⁴ The State makes the information *publicly available* and keeps it *up-to-date* on a website.

- Provide the State website where the information is collected and publicly available:⁵ <http://www.emsc.nysed.gov/osa>

⁶ The State makes the information *publicly available* on a website but *does not keep it up-to-date*.

- Provide the State’s plan for making the information publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(7)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.
- Provide the State website where the information is collected and publicly available:⁷ [Click here to enter text.](#)

⁸ The State does not make the information publicly available on a website.

- Provide the State’s plan for making the information publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(7)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Indicator (c)(8)	Confirm the number and percentage (including numerator and denominator) of limited English proficient students who are included in State reading/language arts and mathematics assessments.	 
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Please respond (check one): Can the State confirm that the number and percentage of limited English proficient students who are included in State *reading/language arts* assessments, available at <http://www.ed.gov/programs/statestabilization/indicator-c8r.xls>, are correct?

¹ Yes, the data are correct.

² No, the data are not correct.

→ If checked, provide below or in an attachment the correct data and any supporting information. A URL linking to the correct data on the State’s website is also sufficient:

³ [Click here to enter text.](#)

Please respond (check one):

⁴ The State makes the data relative to the inclusion of limited English proficient students on State assessments in *reading/language arts publicly available* and keeps it *up-to-date* on a website.

→ Provide the State website where the data are collected and publicly available:⁵ <http://www.emsc.nysed.gov/irts/reportcard/>

⁶ The State makes the data relative to the inclusion of limited English proficient students on State assessments in *reading/language arts publicly available* on a website but *does not keep it up-to-date*.

→ Provide the State’s plan for making the data publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(8)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the data are collected and publicly available:⁷ [Click here to enter text.](#)

⁸ The State does not make the data relative to the inclusion of limited English proficient students on State assessments in *reading/language arts publicly available* on a website.

→ Provide the State’s plan for making the data publicly available and up-to-date on a website in Part 3B. Cite “Indicator (c)(8)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Please respond (check one): Can the State confirm that the number and percentage of limited English proficient students who are included in State *mathematics* assessments, available at <http://www.ed.gov/programs/statestabilization/indicator-c8m.xls>, are correct?

⁹ Yes, the data are correct.

¹⁰ No, the data are not correct.

→ If checked, provide below or in an attachment the correct data and any supporting information. A URL linking to the correct data on the State's website is also sufficient:

¹¹ [Click here to enter text.](#)

Please respond (check one):

¹² The State makes the data relative to the inclusion of limited English proficient students on State assessments in *mathematics* publicly available and keeps it *up-to-date* on a website.

→ Provide the State website where the data are collected and publicly available:¹³ <http://www.emsc.nysed.gov/irts/reportcard/>

¹⁴ The State makes the data relative to the inclusion of limited English proficient students on State assessments in *mathematics* publicly available on a website but *does not keep it up-to-date*.

→ Provide the State's plan for making the data publicly available and up-to-date on a website in Part 3B. Cite "Indicator (c)(8)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the data are collected and publicly available:¹⁵ [Click here to enter text.](#)

¹⁶ The State does not make the data relative to the inclusion of limited English proficient students on State assessments in *mathematics* publicly available on a website.

→ Provide the State's plan for making the data publicly available and up-to-date on a website in Part 3B. Cite "Indicator (c)(8)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Indicator (c)(9)	Confirm that the State’s annual State Report Card (under section 1111(h)(1) of the ESEA) contains the most recent available State reading and mathematics National Assessment of Educational Progress (NAEP) results as required by 34 CFR 200.11(c).	
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Please respond (check one): Does the State Report Card include the most recent available State reading and math National Assessment of Educational Progress (NAEP) results?

Yes, the State Report Card includes this information.

No, the State Report Card does not include this information.

➔ If checked, please provide a plan for including this information on the State Report Card in Part 3B. Cite “Indicator (c)(9)” in the Plan Element Verification Chart in Part 3B, Section I, and mark the Public Reporting column.

Please supply the following information:

Please attach the State Report Card or provide the URL where the State Report Card is provided to the public:

[Click here to enter text.](#)

Indicator (c)(10)	Provide, for the State, for each LEA in the State, for each high school in the State and, at each of these levels, by student subgroup (consistent with section 1111(b)(2)(C)(v)(II) of the ESEA), the number and percentage (including numerator and denominator) of students who graduate from high school using a four-year adjusted cohort graduation rate as required by 34 CFR 200.19(b)(1)(i).
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Please respond (check one): Does the State collect these data (as defined in Indicator (c)(10))?

¹ Yes, the State collects these data.

If Yes, please respond (check one):

² The State makes the data *publicly available* and updates the data *at least annually* on a website.

➔ Provide the State website where the data are collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the data *publicly available* on a website and updates the data *less than annually*.

➔ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (c)(10)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

➔ Provide the State website where the data are collected and publicly available:⁵ [Click here to enter text.](#)

⁶ The State does not make the data publicly available on a website.

➔ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (c)(10)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect these data.

➔ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (c)(10)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Collection and Public Reporting column.

Indicator (c)(11)	Provide, for the State, for each LEA in the State, for each high school in the State and, at each of these levels, by student subgroup (consistent with section 1111(b)(2)(C)(v)(II) of the ESEA), of the students who graduate from high school consistent with 34 CFR 200.19(b)(1)(i), the number and percentage (including numerator and denominator) who enroll in an institution of higher education (IHE) (as defined in section 101(a) of the Higher Education Act of 1965, as amended (HEA)) within 16 months of receiving a regular high school diploma.
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Please respond (check one): Does the State collect these data (as defined in Indicator (c)(11))?

¹ Yes, the State collects these data.

If Yes, please respond (check one):

² The State makes the data *publicly available* and updates the data *at least annually* on a website.

➔ Provide the State website where the data are collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the data *publicly available* on a website and updates the data *less than annually*.

➔ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Mark the Public Reporting column next to “Indicator (c)(11)” in the Plan Element Verification Chart in Part 3B, Section I.

➔ Provide the State website where the data are collected and publicly available:⁵ [Click here to enter text.](#)

⁶ The State does not make the data publicly available on a website.

➔ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Mark the Public Reporting column next to “Indicator (c)(11)” in the Plan Element Verification Chart in Part 3B, Section I.

⁷ No, the State does not collect these data.

If No, please respond (check one):

The State will develop and implement the means to collect and publicly report the data (i.e., the State will collect and publicly report the data) by September 30, 2011.

→ Provide the State’s plan for collecting, making the data publicly available, and updating it annually on a website in Part 3B, Section I. Mark both the Collection and Public Reporting columns next to “Indicator (c)(11)” in the Plan Element Verification Chart in Part 3B, Section I.

The State will develop but not implement the means to collect and publicly report the data (i.e., the State will not collect and publicly report the data) by September 30, 2011.

→ Provide the State’s plan for developing the means to collect and to publicly report the data (but not the State’s implementation of those means) in Part 3B, Section V.

Indicator (c)(12)	Provide, for the State, for each LEA in the State, for each high school in the State and, at each of these levels, by student subgroup (consistent with section 1111(b)(2)(C)(v)(II) of the ESEA), of the students who graduate from high school consistent with 34 CFR 200.19(b)(1)(i) who enroll in a public IHE (as defined in section 101(a) of the HEA) in the State within 16 months of receiving a regular high school diploma, the number and percentage (including numerator and denominator) who complete at least one year’s worth of college credit (applicable to a degree) within two years of enrollment in the IHE.
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Please respond (check one): Does the State collect these data (as defined in Indicator (c)(12))?

¹ Yes, the State collects these data.

If Yes, please respond (check one):

² The State makes the data *publicly available* and updates the data *at least annually* on a website.

➔ Provide the State website where the data are collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the data *publicly available* on a website and updates the data *less than annually*.

➔ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Mark the Public Reporting column next to “Indicator (c)(12)” in the Plan Element Verification Chart in Part 3B, Section I.

➔ Provide the State website where the data are collected and publicly available:⁵ [Click here to enter text.](#)

⁶ The State does not make the data publicly available on a website.

➔ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Mark the Public Reporting column next to “Indicator (c)(12)” in the Plan Element Verification Chart in Part 3B, Section I.

⁷ No, the State does not collect these data.

If No, please respond (check one):

The State will develop and implement the means to collect and publicly report the data (i.e., the State will collect and publicly report the data) by September 30, 2011.

→ Provide the State's plan for collecting, making the data publicly available, and updating it annually on a website in Part 3B, Section I. Mark both the Collection and Public Reporting columns next to "Indicator (c)(12)" in the Plan Element Verification Chart in Part 3B, Section I.

The State will develop but not implement the means to collect and publicly report the data (i.e., the State will not collect and publicly report the data) by September 30, 2011.

→ Provide the State's plan for developing the means to collect and to publicly report the data (but not the State's implementation of those means) in Part 3B, Section V.

IV. Assurance (d): Supporting Struggling Schools

A State must collect and publicly report data and other information on the progress of certain groups of schools in the State on State assessments in reading/language arts and mathematics; on the extent to which reforms to improve student academic achievement are implemented in the persistently lowest-achieving schools in the State; and on the extent to which charter schools are operating in the State.

Indicator (d)(1)	Provide, for the State, the average statewide school gain in the “all students” category and the average statewide school gain for each student subgroup (as under section 1111(b)(2)(C)(v) of the ESEA) on the State assessments in reading/language arts and for the State and for each LEA in the State, the number and percentage (including numerator and denominator) of Title I schools in improvement, corrective action, or restructuring that have made progress (as defined in this notice) on State assessments in reading/language arts in the last year.
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Please respond (check one): Does the State collect these data?

¹ Yes, the State collects these data.

If Yes, please respond (check one):

² The State makes the data *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the data are collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the data *publicly available* on a website and updates the data *less than annually*.

→ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(1)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated data are provided by the State to the public:

⁵ [Click here to enter text.](#)

⁶ The State does not make the data publicly available on a website.

→ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(1)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect these data.

➔ Provide the State's plan for making the data publicly available and updating it annually on a website in Part 3B. Cite "Indicator (d)(1)" in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(2)	Provide, for the State, the average statewide school gain in the “all students” category and the average statewide school gain for each student subgroup (as under section 1111(b)(2)(C)(v) of the ESEA) on State assessments in mathematics and for the State and for each LEA in the State, the number and percentage (including numerator and denominator) of Title I schools in improvement, corrective action, or restructuring that have made progress on State assessments in mathematics in the last year.
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Please respond (check one): Does the State collect these data?

¹ Yes, the State collects these data.

If Yes, please respond (check one):

² The State makes the data *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the data are collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the data *publicly available* on a website and updates the data *less than annually*.

→ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated data are provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the data publicly available on a website.

→ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect these data.

→ Provide the State’s plan for making the data publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(2)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Descriptor (d)(1) Provide the definition of “persistently lowest-achieving schools” (consistent with the requirements for defining this term set forth in the Definitions section of the NFR) that the State uses to identify such schools.



Please respond (check Yes or No): Does the State have a definition of “persistently lowest achieving schools” (consistent with the requirements for defining this term set forth in the Definitions section of the NFR) for the purposes of this indicator?

Yes, the State has a definition of “persistently lowest achieving schools” for the purposes of this indicator.

Provide the definition here: **Methodology for Identification of Persistently Lowest Achieving Schools**

Step 1: The State determined that there are 433 Title I schools in improvement, corrective action, or restructuring and therefore the State must identify 22 as lowest achieving. The State further determined that since there are fewer than 100 schools that are among the lowest achieving secondary schools that are eligible for but do not receive Title I funds, the State must identify five of these schools as lowest achieving.

Step 2: The State determined its method for calculating combined English/language arts and mathematics proficiency rates for each school will be to sum the 2008-2009 All Students Performance Index for each ELA and math measure for which a school is accountable (i.e. elementary and middle level ELA, elementary and middle level math, high school ELA and high school math) and divide the sum by the number of measures for which the school is accountable.

Step 3: The State determined that its method for determining “lack of progress” by the “all students” group on the State’s assessments would be to define lack of progress as a school having been designated to be in the restructuring phase of New York’s differentiated accountability system and for a school to have failed to make at least a 25 point gain for the all students group between 05-06 and 08-09 for each ELA and math measure for which the school is accountable.

Step 4: Using the process identified in Step 2, the State ranked Title I schools from highest to lowest based on the academic achievement of the “all students” group.

Step 5: Using the process identified in Step 3, the State removed from consideration those schools that were not designating as lacking progress.

Step 6: On a case by case basis, the State removed from consideration transfer high schools as permitted by USED guidance.

Step 7: Starting with the school at the bottom of the list and counting up to the 22nd school on the list, the State obtained the list of the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring.

Step 8: The State identified the Title I high schools in improvement, corrective action, or restructuring that have had a graduation rate of less than 60 percent on the 2002, 2003, and 2004 total cohort that were not captured in the list of schools identified in Step 7.

Step 9: The State added the high schools identified in Step 8 to the list of schools identified in Step 7.

Step 10: Using the process identified in Step 2, the State ranked the secondary schools that are eligible for, but do not receive, Title I funds from highest to lowest based on the academic achievement of the “all students” group.

Step 11 Using the process identified in Step 3, the State removed from consideration those schools that were not designating as lacking progress.

Step 12: On a case by case basis, the State removed from consideration transfer high schools as permitted by USED guidance.

Step 13: Starting with the school at the bottom of the list and counting up to the fifth school on the list, the State obtained the list of the lowest-achieving five secondary schools that are eligible for but do not receive Title I schools.

Step 14: The State identified the high schools that are eligible for but do not receive Title I funds that have had a graduation rate of less than 60 percent on the 2002, 2003, and 2004 total cohort that were not captured in the list of schools identified in Step 7.

Step 15: The State added the high schools identified in Step 14 to the list of schools identified in Step 13.

If Yes, please respond (check one):

³ The State has made the definition *publicly available* on a website.

→ Provide the State website where the definition is publicly available:⁴ <http://www.emsc.nysed.gov/irts/accountability/> *

Information will be available on line January 20, 2010

⁵ The State does not make the definition publicly available on a website.

➔ Provide the State's plan for making the definition publicly available in Part 3B. Cite "Descriptor (d)(1)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁶ No, the State does not have a definition of "persistently lowest achieving schools" for the purposes of this indicator.

➔ Provide the State's plan for developing a definition and making it publicly available on a website in Part 3B. Cite "Descriptor (d)(1)" in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

**Indicator
(d)(3)**

Provide, for the State, the number and identity of the schools that are Title I schools in improvement, corrective action, or restructuring, that are identified as persistently lowest-achieving schools.



Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³
<http://www.emsc.nysed.gov/irts/accountability/> *list will be posted on January 20, 2010

⁴ The State makes the data *publicly available* on a website and updates the information *less than annually*.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Indicator (d)(3)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:

⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Indicator (d)(3)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Indicator (d)(3)" in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(4) Provide, for the State, of the persistently lowest-achieving schools that are Title I schools in improvement, corrective action, or restructuring, the number and identity of those schools that have been turned around, restarted, closed, or transformed (as defined in the NFR) in the last year.



Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³
<http://www.emsc.nysed.gov/irts/accountability/> *list will be posted on January 20, 2010

⁴ The State makes the data *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(4)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(4)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(4)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(5) Provide, for the State, the number and identity of the schools that are secondary schools that are eligible for but do not receive, Title I funds, that are identified as persistently lowest-achieving schools.



Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³
<http://www.emsc.nysed.gov/irts/accountability/> *list will be posted on January 20, 2010

⁴ The State makes the data *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(5)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(5)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(5)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(6) Provide, for the State, of the persistently lowest-achieving schools that are secondary schools that are eligible for, but do not receive, Title I funds, the number and identity of those schools that have been turned around, restarted, closed, or transformed in the last year.



Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³
<http://www.emsc.nysed.gov/irts/accountability/>

⁴ The State makes the data *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(6)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(6)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(6)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(7) Provide, for the State and, if applicable, for each LEA in the State, the number of charter schools that are currently permitted to operate under State law.



Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the data *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³
<http://www.emsc.nysed.gov/psc/csdirectory/>

⁴ The State makes the data *publicly available* on a website and updates the information *less than annually*.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Indicator (d)(7)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Indicator (d)(7)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State's plan for making the information publicly available and updating it annually on a website in Part 3B. Cite "Indicator (d)(7)" in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(8) Confirm, for the State and for each LEA in the State that operates charter schools, the number of charter schools currently operating.



Please respond (check one): Is the number of charter schools publicly reported as currently operating for the State and for each LEA at <http://www.ed.gov/programs/statestabilization/indicator-d8.xls> correct?

¹ Yes, the data are correct.

² No, the data are not correct.

→ If checked, provide below or in an attachment the correct data and any supporting information. A URL linking to the correct data on the State's website is also sufficient:

³ <http://www.emsc.nysed.gov/psc/documents/ListofCharterSchoolsOperating-Website.pdf>

Please respond (check one):

⁴ The State makes the data *publicly available* and keeps it *up-to-date* on a website.

→ Provide the State website where the data are collected and publicly available:⁵

³ <http://www.emsc.nysed.gov/psc/documents/ListofCharterSchoolsOperating-Website.pdf>

⁶ The State makes the data *publicly available* on a website but *does not keep it up-to-date*.

→ Provide the State's plan for making the data publicly available and up-to-date on a website in Part 3B. Cite "Indicator (d)(8)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:

⁷ [Click here to enter text.](#)

⁸ The State does not make the data publicly available on a website.

→ Provide the State's plan for making the data publicly available and up-to-date on a website in Part 3B. Cite "Indicator (d)(8)" in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

Indicator (d)(9)	Provide, for the State and for each LEA in the State that operates charter schools, the number and percentage of charter schools that have made progress on State assessments in reading/language arts in the last year.
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Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the information *at least annually* on a website.

➔ Provide the State website where the information is collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the information *publicly available* on a website and updates the information *less than annually*.

➔ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(9)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

➔ Provide the State website where the most recently updated information is provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

➔ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(9)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

➔ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(9)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(10)	Provide, for the State and for each LEA in the State that operates charter schools, the number and percentage of charter schools that have made progress on State assessments in mathematics in the last year.
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Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the information *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³ [Click here to enter text.](#)

⁴ The State makes the information *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(10)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:
⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(10)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(10)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(11)	Provide, for the State and for each LEA in the State that operates charter schools, the number and identity of charter schools that have closed (including schools that were not reauthorized to operate) within each of the last five years.
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Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the information *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³

<http://www.emsc.nysed.gov/psc/documents/WebsiteCharterSchoolClosures12-17-09.doc>

⁴ The State makes the information *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(11)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:

⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(11)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(11)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

Indicator (d)(12)	Indicate, for each charter school that has closed (including a school that was not reauthorized to operate) within each of the last five years, whether the closure of the school was for financial, enrollment, academic, or other reasons.
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Please respond (check one): Does the State collect this information?

¹ Yes, the State collects this information.

If Yes, please respond (check one):

² The State makes the information *publicly available* and updates the information *at least annually* on a website.

→ Provide the State website where the information is collected and publicly available:³ <http://www.emsc.nysed.gov/psc>

⁴ The State makes the information *publicly available* on a website and updates the information *less than annually*.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(12)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

→ Provide the State website where the most recently updated information is provided by the State to the public:

⁵ [Click here to enter text.](#)

⁶ The State does not make the information publicly available on a website.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(12)” in the Plan Element Verification Chart in Part 3B, Section I and mark the Public Reporting column.

⁷ No, the State does not collect this information.

→ Provide the State’s plan for making the information publicly available and updating it annually on a website in Part 3B. Cite “Indicator (d)(12)” in the Plan Element Verification Chart in Part 3B, Section I and mark both the Collection and Public Reporting columns.

PART 3B: DATA COLLECTION & PUBLIC REPORTING PLAN

Requirement: The State must collect and publicly report the data or other information required by an assurance indicator or descriptor. If the State is not able to fully collect or publicly report, at least annually through September 30, 2011, the State plan must describe the State's process and timeline for developing and implementing, as soon as possible but no later than September 30, 2011, the means to fully collect and publicly report the data or information, including the milestones that the State establishes toward developing and implementing those means, the date by which the State expects to reach each milestone, and any obstacles that may prevent the State from developing and implementing those means by September 30, 2011, including but not limited to requirements and prohibitions of State law and policy. The plan must also include the nature and frequency of reports that the State will provide to the public regarding its progress in developing and implementing those means; the website where the State will make the plan and progress reports publicly available (as defined in the Notice of Final Requirements, Definitions, and Approval Criteria for the SFSF Phase II), the amount of funds the State is using or will use to develop and implement those means, and whether the funds are or will be Federal, State, or local funds.

I. ASSURANCES (a), (c), AND (d)

Important note regarding indicators (c)(11) and (c)(12):

If the State will develop and implement the means to collect and publicly report the data (i.e., the State will collect and publicly report the data) for either of these indicators by September 30, 2011, the plan requirements of this section apply to the indicator(s) for which this is the case.

If the State will develop but not implement the means to collect and publicly report the data (i.e., the State will not collect and publicly report the data) by September 30, 2011, for either of these indicators the requirements for this section do not apply to the indicator for which this is the case. Proceed to Section V.

State Plan Instructions: For each assurance indicator or descriptor under education reform areas (a), (c), and (d) for which the State is not able to fully collect or publicly report annually the required data or information (as indicated in Part 3A), please attach a plan that provides:

The process and timeline for developing and implementing, as soon as possible, but no later than September 30, 2011, the means to fully collect and/or publicly report (as required) the data or information, including:

- The milestones that the State establishes toward developing and implementing those means;

- The date by which the State expects to reach each milestone;
- Any obstacles that may prevent the State from developing and implementing those means by September 30, 2011, including but not limited to requirements and prohibitions of State law and policy;
- The nature and frequency of reports that the State will provide to the public regarding its progress in developing and implementing those means; and
- The amount of funds the State is using or will use to develop and implement those means, and whether the funds are or will be Federal, State, or local funds.

Furthermore, the plan must satisfy the following general requirements:

- (A) Describe the agency or agencies in the State responsible for the development, execution, and oversight of the plan, including the institutional infrastructure and describe the capacity of the agency or agencies as they relate to each of those tasks;
- (B) Describe the agency or agencies, institutions, or organizations, if any, providing technical assistance or other support in the development, execution, and oversight of the plan, and describe the nature of such technical assistance or other support;
- (C) Provide the overall budget for the development, execution, and oversight of the plan.
- (D) Describe the way the State will publicly report the plan and the State’s progress reports on its plan, including the nature and frequency of updated reports to the public on State actions taken under the plan and the website where the State will make the plan and progress reports publicly available (as defined in the Notice of Final Requirements, Definitions, and Approval Criteria for the SFSF Phase II).

Plan Element Verification: Please fill out the following chart to indicate which elements, per the instructions in Part 1, must be addressed in the State plan, and whether they must address collection, public reporting, or both. Do not list elements that do not need to be addressed in the State plan. Only list those for which the State has been directed to do so in completing Part 3A.

<u>Element</u>	<u>Collection</u> (check if applies)	<u>Public Reporting</u> (check if applies)
Descriptor (a)(1)	✓	✓
Indicator (a)(3)	✓	✓
Indicator (a)(4)	✓	✓
Indicator (a)(5)	✓	✓
Descriptor (a)(2)	✓	✓
Indicator (a)(6)	✓	✓
Indicator (a)(7)	✓	✓
Descriptor (a)(2)	✓	✓

<u>Element</u>	<u>Collection</u> <u>(check if</u> <u>applies)</u>	<u>Public</u> <u>Reporting</u> <u>(check if</u> <u>applies)</u>
Indicator (c)(9)	✓	✓
Indicator (c)(10)	✓	✓
Indicator (d)(1)		✓
Indicator (d)(2)		✓
Indicator (d)(9)		✓
Indicator (d)(10)		✓

New York State Plan

Executive Summary

Governor David A. Paterson has asked the New York State Board of Regents and the New York State Education Department to develop and coordinate New York State's State Fiscal Stabilization Fund (SFSF) Phase II application. The unique Board of Regents governance structure and interconnected network of resources available to New York State provide the breadth of resources and influence needed to ensure development and implementation of the State Plan included in New York State's State Fiscal Stabilization Fund (SFSF) Phase II application. The State Plan is intended to drive improved, college-ready educational achievement for all of our students, with a particular focus on historically under-served priority populations including low-income students, African-American students, Hispanic students, English language learners and students with disabilities.

The Regents and State Education Department have consulted extensively with a variety of groups in preparing this application over the course of several months on these and many other items that will also be included in our State's Race to the Top (RTTP) application. These include statewide associations for teachers, principals, superintendents, school boards, parents, teacher preparation, and educational technology. The result is a coordinated plan that leverages and aligns our state resources and practices to improve education outcomes for all our students and close gaps in achievement.

While New York State currently collects and reports data related to most of these indicators, consistent with the requirements of this application, we have developed a State Plan to address the areas where the State does not currently collect and report the required data. Especially in the assurance area of "Achieving Equity in Teacher Distribution", the State has proposed an

ambitious yet achievable plan to develop and require local educational agencies (LEAs) to use a more comprehensive teacher and principal evaluation system. This enhanced evaluation system will expand the rigor and scope of existing evaluation tools to include student performance and growth data and be used in decisions regarding teacher and principal development, compensation, promotion and retention.

To supplement an enhanced evaluation system and provide rapid-time student performance data to teachers, administrators and State education officials, over the next four years the State will work to complete its P-20 statewide longitudinal data system and adopt all 12 data elements required under the America COMPETES Act. This data system will be designed to create an instructional reporting and improvement system that will enhance teacher and principal preparation, development and evaluation, as well as track and improve the progress of students from early childhood through college. The development of this comprehensive data system has the support of the entire education community in New York State.

The New York State Board of Regents and State Education Department, in consultation with the Governor's Office and in cooperation with other State agencies and institutions of higher education will ensure that the elements of this State Plan are in place by the September 30, 2011 deadline.

Assurance (a): Achieving Equity in Teacher Distribution

State Plan to Ensure Quality Teachers and Principals in All Schools

1. Teacher Evaluation Plan

Current Annual Professional Performance Review (APPR) System. In 2000, after collaboration with key stakeholders, the New York State Board of Regents (Regents) approved regulations to identify a rigorous and transparent process through which all public school districts and Boards of Cooperative Educational Services (BOCES) must annually evaluate all 226,000 teachers in the State, as defined by the Annual Professional Performance Review (APPR) required by §100.2(o) of the Regulations of the Commissioner of Education. The section prescribes mandatory criteria, including content knowledge, assessment of student progress through analysis of student performance data, preparation and application of pedagogical practice, instructional delivery, creating a supporting learning environment, knowledge of student development, reflective practice, and collaboration. This statewide system for evaluating teachers was built on research-based standards of what teachers need to know and do to affect student learning positively.

While §100.2(o) of the Commissioner's Regulations require all school districts and BOCES to use the mandatory criteria and formative measures in assessing their teachers, it does not currently prescribe a specific evaluation procedure or uniform rating terminology. Nor does it require school districts and BOCES to report the evaluation results publicly or to describe how

the results are used. The New York State Education Department (SED) does not currently collect the results of these evaluations since school districts and BOCES are not currently required to use uniform rating terminology.

Proposed Enhanced APPR for Teachers. SED will develop new Teacher Standards in cooperation with key stakeholders, including teachers unions. The Regents plan to revise the Commissioner's regulations in the spring of 2010 will align the APPR with the new teacher standards. Student growth data will be one of the substantial criteria in the evaluation of all teachers. In addition, the Regents intend to approve in the spring of 2010 amendments to the Commissioner's Regulations that will require school districts and BOCES to use State-designated qualitative rating levels (e.g., Effective, Highly Effective, Developing, and Ineffective), or their substantially equivalent collectively negotiated alternatives. It is anticipated the newly developed APPR would go into effect in the fall of 2011.

The Regents intend to revise §100.2(o) in the spring of 2011 to (1) require that student growth be a significant factor in evaluating a teacher's performance, (2) ensure that each school district's and BOCES' APPR plan includes timely and constructive feedback to the teacher, and (3) strengthen the requirement that the teacher is provided with student performance data for students in his or her classes on a timely basis and as part of his or her annual evaluation.

Statewide Instructional Reporting and Improvement System. SED's New York – Statewide Instructional Reporting and Improvement System (NY-SIRIS) will link individual student growth to the teacher responsible for instruction. A pilot program is currently in place, with full deployment planned for 2011-12. Combining SED's existing TEACH data system's identifying information on teachers with data from its new P-20 Longitudinal Data System (described in assurance area (b) of the State Plan), NY-SIRIS will enable New York, by the fall of 2012, to implement APPR in a way that more effectively links student growth and individual teacher performance. Existing student achievement data from State testing and LEA assessments can be used to assess student growth until the P-20 Longitudinal Data System provides rapid-time data to feed the APPR.

The P-20 Longitudinal Data System will provide rapid time data to teachers, administrators and State education officials about student growth, enabling teachers and principals to examine, school, classroom, and individual student data to improve outcomes. This will also enable a generation of standardized reports using student data and customized reports for individual students or select student populations in order to diagnose students' learning needs, set classroom goals for improvement, and measure success.

With implementation of NY-SIRIS and the P-20 Longitudinal Data System, a statewide system for instructional reporting will exist, allowing SED to strengthen linkage of data on student growth to teachers and their students and classes. By incorporating key performance indicators such as links to student performance and teachers responsible for their instruction and, in addition, immediate feedback on their practices as part of their APPR, it will be possible for teachers to get real time understanding of their students' performance on multiple measures and how they stand relative to school building, district, grade-level, regional, or statewide data.

Principals will use this student growth data to assess progress throughout their area of responsibility. The P-20 Longitudinal Data System will allow all schools and LEAs to enter data, customize reports, and access all best practices developed locally. When that system is fully operational, SED's portals will link it with existing State resources as well as local instructional materials and model lessons. These data, in conjunction with other evaluation measures, including yet not limited to classroom observations, videotape assessment, self-review, peer review, and portfolio review, will help shape diagnostic and formative assessments and inform teacher improvement plans and professional development needs.

Implications for practice are immediate adjustment of instruction, re-teaching (if necessary), and finely tuned professional development customized to an individual teacher.

Performance Evaluation and Professional Development. NY-SIRIS will have the capacity to track individual student performance linked to the teachers responsible for instruction. Linking student performance and teachers responsible for their instruction will feed into the APPR and drive professional development activities for specific teachers. While existing review systems use existing student performance data to identify student growth, NY-SIRIS will enhance this capacity substantially.

New York State already has existing mechanisms for delivering quality professional development. The existing system includes the following elements:

- Commissioner's Regulations¹ requiring all school districts and BOCES to have implemented plans to provide professional development to all professional teaching staff. The plans are reviewed and revised annually by committees representing inclusive groups of school community members. The Regents recently approved professional development standards to ensure the quality of professional development.
- Regulations requiring teachers holding Professional certificates to complete 175 hours of continuing professional development every five years.
- 133 Teacher Centers that provide professional development opportunities to teachers.
- A Staff and Curriculum Development Network, with 37 members representing each BOCES region, as well as large and small cities. Quarterly meeting allow sharing of best practices in professional development.
- Approximately 1,000 teachers holding National Board Certification. The State provides stipends to encourage teachers to seek National Board Certification.
- The New York State Mentor Teacher Internship Program, provides experienced teachers to mentor beginning teachers in their first or second year so that new teachers will be engaged

¹ §100.2(dd) of the Commissioner's Regulations

in a satisfying teaching and learning experience that will enhance their skills and increase the likelihood that they will remain in teaching.

The State Education Department will also review systems used in other states for best practices that may be helpful to New York, such as systems that combine a digital teacher evaluation system with online professional development. Such systems allow teachers to receive much needed research based professional development tailored to their specific students without having to leave their daily teaching responsibilities.

New Career Path to Provide Opportunities for Highly Effective Teachers.

New York will create a new career ladder for highly effective teachers. New York State's system of certifying teachers (baccalaureate for Initial certification and master's degree for Professional certification) has been the foundation of negotiated salary schedules for teachers. The New York State Education Department seeks a fundamental change in career advancement of teachers. Teachers will progress along a State Teacher Career Development Continuum from novice teacher to National Board Certified Teacher. Each step will require a deeper level of proficiency in practice and an increase in responsibilities. Teachers will be assessed based on their effect on student learning and using student performance data as substantial parts of their performance evaluation.

Early in 2012, the Regents plan to approve a new certification structure (e.g., novice, lead, master, National Board Certified). The new Teacher Career Ladder Continuum will reward teachers demonstrating accomplishment in student growth, content mastery, and professional teaching skills, thus increasing recruitment and retention of highly effective teachers, especially in high need schools.

2. Principal Evaluation Plan.

With support from a Wallace Foundation grant, SED is collaborating with organizations of superintendents, principals, and assistant principals to develop, by spring 2010, a Principal Performance Evaluation System (PPES) for evaluating all principals (numbering 4,600 in 2008-09) and assistant principals (numbering 4,900 that year), beginning in the fall of 2010. Principals, district-level leaders, and national experts, have identified research-based design elements that will serve as its foundation. The ISLLC 2008 standards serve as the system's foundation.

PPES will use five rating criteria that focus on the principal's performance as an instructional leader: performance goals, student performance, feedback from multiple sources, professional growth, and personalized professional focus.

Principals would develop specific, measurable performance goals that address issues identified through analysis of student performance/achievement data as well as other data and factors that influence the teaching/learning process. Ambitious yet achievable goals must specifically center

on improving student achievement. Action plans to ensure their attainment would be required consistent with the law.

Using student growth data from the P-20 Longitudinal Data System school districts would evaluate principals on evidence of data analysis, student growth derived from multiple indicators, actions taken to address needs identified through data analysis, and effect of actions to establish high rates of student growth.

Performance Evaluation and Professional Development. Among NY-SIRIS's elements will be the capacity to track individual student performance linked to those responsible for instruction. Linking student performance and those responsible for their instruction will feed into the PPES and drive professional development activities for specific principals. While existing review systems use existing student performance data to identify student growth, NY-SIRIS will enhance this capacity substantially.

New York's mechanisms for delivering quality professional development include:

- Commissioner's Regulations² requiring all school districts and BOCES to have implemented plans to provide professional development to all professional teaching staff. The plans are reviewed and revised annually by committees representing inclusive groups of school community members. The Regents recently approved professional development standards to ensure the quality of professional development provided;
- Regulations requiring principals holding Professional certificates to complete 175 hours of continuing professional development every five years;
- A State-funded Staff and Curriculum Development Network, with 37 members representing each BOCES region, as well as large and small cities. Quarterly meeting allow sharing of best practices in professional development; and
- For principals, existing leadership academies in New York City and Rochester and a third Academy under development in the Mid-Hudson Valley. The goal is to have a regional structure of nine academies across the State.

SED will develop a statewide team-centered system, based on New York City's Collaborative Inquiry Network, that ties precise student growth data to targeted professional development. Targeted professional development plans based on student performance and growth will be encouraged by the NY-SIRIS's ability to generate data and encourage collaboration. It also will link the professional development to teacher and principal needs specified in the enhanced APPR and the PPES.

² §100.2(dd) of the Commissioner's Regulations

New System to Provide Opportunities for Highly Effective Principals.

To strengthen school leadership, in December 2009 the Regents affirmed a determination to create a statewide principal career development continuum (with designated tiers for principals comparable to the Teacher Career Development Continuum) that recognizes commitment to the profession plus improved results in student achievement over time. The continuum will be based on a system to evaluate the school leader's participation in developing the profession directly by mentoring early career leaders, delivery of high quality professional development to colleagues in the region and statewide, turnaround school leadership skills that translate to improvement in instruction and learning at the principal's school, actions linked to reform initiatives affecting student achievement at the principal's school and improved school culture, and active encouragement and inspiration of others to become school leaders, and support for them throughout the process.

Eligibility for rising on the career development continuum will consider input from peers who and will be supported by feedback from families, teachers, staff, administrators, and students where appropriate. A structured and reliable system for collecting this feedback at appropriate time intervals will be developed with the educational community.

3. Ensuring the Equitable Distribution of Effective Teachers and Principals in High-Minority and Low-Income Schools.

In 2005, SED implemented a data-driven teacher and principal supply-demand model to identify, evaluate, and monitor the content area subjects and regions of the State with the greatest shortages of newly certified teachers and principals. A database of certificates issued yearly, by type and subject area, is matched to individual teachers, their employment history, and their teaching assignments. This allows SED, LEAs, institutions preparing teachers, and the public to know where shortages exist, to better address teacher need.

The Regents use a supply and demand analysis of the data to make policy decisions. Past actions include: 1) eliminating transcript evaluation for first certificates in childhood education, 1-6; 2) extending transcript evaluation for subject areas still experiencing shortages (e.g., career and technical titles); and 3) allowing teaching candidates greater opportunities to waive coursework in preparation programs in shortage areas (e.g., teachers of other languages).

The data show a 13 to 24 percentage point decline between 2000-01 and 2007-08 in the shares of uncertified teachers in key areas in the largest high-need LEAs based on many State initiatives to address the problem. However, they also show that the percentage of students taught by teachers who meet the Federal highly qualified definition is lower in high poverty middle and secondary schools in New York City, Syracuse, and Rochester and in science, technology, engineering, and mathematics (STEM) fields, languages other than English, and special education, particularly for grades 5-12. SED will continue to work to eliminate these gaps until all the State's students have highly qualified, high performing teachers.

General Requirements:

A. Agencies Responsible for the Development, Execution, and Oversight of the Plan, Including the Institutional Infrastructure: and Agency Capacities as They Relate to Each of Those Tasks

Key agencies responsible for the development, execution, and oversight of the plan are the New York State Education Department, State University of New York and the City University of New York. The State Education Department and Board of Regents are playing the lead role in the setting of standards for teacher and principal preparation, evaluation and removal. The State Education Department is taking the lead on building a data system that assists school districts in evaluating the linking between school leadership, teaching and learning.

B. Agencies, Institutions, and Organizations, Providing Technical Assistance and Other Support in the Development, Execution, and Oversight of the Plan, and the Nature of Such Technical Assistance and Other Support

Key agencies, institutions, and organizations, providing technical assistance and other support in the development, execution, and oversight of the plan, and the nature of such technical assistance and other support include the New York State Education Department, State University of New York, City University of New York and the Regional Information Center administered through Boards of Cooperatives Educational Services. The State Education Department will take the lead in coordinating the plan.

C. Overall Budget for the Development, Execution, and Oversight of the Plan

The proposed budget for development, execution, and oversight of the Annual Professional Performance Reviews for Teachers and the Principal Effectiveness Based on Performance Evaluation System for Principals is \$6 million.

D. New York's Public Reporting on the Plan, Progress Reports on Its Plan, Including The Nature and Frequency Of Updated Reports To The Public on Actions Taken Under The Plan and the Websites Where The Plan and Progress Reports Publicly Available

The New York State Education Department will report to the Governor and the Board of Regents on the status of the plan to ensure quality teachers and principals in all schools. The materials for all Regents meetings are posted publicly on the web and the meetings of the full board are web cast. The Regents meet monthly except for August. The reports will be posted on the following web sites and will provide updates on the status of meeting all milestones, and adopting regulatory and statutory changes. The following is a list of web sites where the public will be able to view

Material and Agenda for Regents Meetings: <http://www.regents.nysed.gov/meetings/>

Department updates on the American Recovery and Reinvestment Act Funding:
<http://usny.nysed.gov/ARRA>

Additional information about the State's efforts to improve teaching and school principal leadership:
<http://www.regents.nysed.gov/meetings/2009Meetings/December2009/1209hed2.doc>

Process and Timeline for Developing and Implementing the Remaining Plan Elements by September 30, 2011

A. Milestones and Dates

Descriptor (a)(1) and indicators (a)(3) through (a)(5): Descriptor (a)(1) requires that the application "Describe, for each local educational agency (LEA) in the State, the systems used to evaluate the performance of teachers and the use of results from those systems in decisions regarding teacher development, compensation, promotion, retention, and removal." Indicators (a)(3) through (a)(5) amplify the detail required.

Descriptor (a)(2) requires the same information with regard to principals.

Section 100.2(b) of Commissioner's Regulations requires each LEA to implement an Annual Professional Performance Review for teachers and mandates that it include eight criteria; however, the manner of implementation is a subject for collective bargaining.

The Commissioner will request each superintendent of schools to send to the State Education Department by September 30, 2011, a copy of its APPR plan and procedures for teachers and principals pursuant to Education Law §215 which provides authority to require this submission. The Office of P-12 Education at the State Education Department will be responsible for collecting the information.

The Board of Regents seeks to amend Section 100.2(b) of Commissioner's Regulations to require each LEA to submit the following information regarding their teacher and principal evaluation systems:

- Evaluation rubric(s) and/or weighting formula(e),
- Descriptions of each performance rating or level,
- Frequency of evaluations,
- Purpose of evaluations,
- Methodology,
- Participants,
- Implementation, and
- Feedback protocols.

The Regents plan to propose the regulatory changes at their April 2010 meeting with expected final action on the regulation in July 2010. LEAs will submit a description of their teacher and principal evaluation programs beginning in the 2011-12 school year.

B. Obstacles that may prevent the State from developing and implementing the plan by September 30, 2011

As noted above, the Board Regents have already implemented several measures to strengthen professional development and the evaluation of teachers and principals. It will be necessary for the Regents to adopt new regulations regarding teacher and principal annual professional performance reviews, and establish a uniform rating system.

C. Reports That the State Will provide to the Public Regarding Its Progress in Developing and Implementing Those Means

Reports posted on the web will include proposed regulatory and policy changes, and instructions for providing comments.

D. Funds New York is using to develop and implement the Plan

The proposed budget for Annual Professional Performance Review for Teachers is \$4 million and the budget for Improving Teacher and Principal Effectiveness Based on Performance Evaluation System for Principals is \$2 Million. Both programs will be funded with federal funds.

Assurance (c): Standards and Assessments

While New York State currently collects and reports on most of the indicators required under assurance area (c), the State Report Card does not currently report the information required for items (c)(9) and (c)(10). It is expected that these measures will be included in the 2010 State Report Card.

General Requirements:

A. Agencies Responsible for the Development, Execution, and Oversight of the Plan, Including the Institutional Infrastructure: and Agency Capacities

The New York State Education Department is responsible for the annual New York State School Report Cards published for every school and district.

B. Agencies, Institutions, and Organizations, Providing Technical Assistance and Other Support in the Development, Execution, and Oversight of the Plan, and the Nature of Such Technical Assistance and Other Support

As noted above, the New York State Education Department is responsible for the annual New York State School Report Cards published for every school and district.

C. Overall Budget for the Development, Execution, and Oversight of the Plan

The costs of adding NAEP data and revising cohort graduation data will be less than \$500,000 and will be paid for with federal funds.

D. New York's Public Reporting on the Plan, Progress Reports on Its Plan, Including The Nature and Frequency Of Updated Reports To The Public on Actions Taken Under The Plan and the Websites Where The Plan and Progress Reports Publicly Available

The New York State Education Department will report to the Governor and the Board of Regents on the status of the plan to ensure quality teachers and principals in all schools. The materials for all Regents meetings are posted publicly on the web and the meetings of the full board are web cast. The Regents meet monthly except for August. The reports will be posted on the following web sites and will provide updates on the status of meeting all milestones, and adopting regulatory and statutory changes. The following is a list of web sites available to the public.

Material and Agenda for Regents Meetings: <http://www.regents.nysed.gov/meetings/>

Department updates on the American Recovery and Reinvestment Act Funding: <http://usny.nysed.gov/ARRA>

Process and Timeline for Developing and Implementing the Remaining Plan Elements by September 30, 2011

A. Milestones and Dates

The State Education Department administers and reports on high quality assessments for all students. The State Education Department published annual State School Report Cards on the status of all schools and districts. Two elements are not yet in place. Indicator (c)(9) requires *“that the State’s annual State Report Card (under section 1111(h)(1) of the ESEA) contains the most recent available State reading and mathematics National Assessment of Educational Progress (NAEP) results as required by 34 CFR 200.11(c).”* The 2010 New York State School Report Card will contain NAEP results. The school report cards will be posted at: <http://www.emsc.nysed.gov/irts/reportcard/>.

Indicator (c)(10) requires the State to *“Provide, for the State, for each LEA in the State, for each high school in the State and, at each of these levels, by student subgroup (consistent with section 1111(b)(2)(C)(v)(II) of the ESEA), the number and percentage (including numerator and denominator) of students who graduate from high school using a four-year adjusted cohort graduation rate as required by 34 CFR 200.19(b)(1)(i).”* The 2010 New York State School Report Card will contain NAEP results. The school report cards will be posted at: <http://www.emsc.nysed.gov/irts/reportcard/>.

B. Obstacles that may prevent the State from developing and implementing the plan by September 30, 2011

The State Education Department is in the development process of revising the annual New York State Report Cards to include NAEP data. No obstacles are foreseen.

C. Reports that the State will provide to the public regarding its progress in developing and implementing those means

State Education Department communications and web postings regarding the annual New York State School Report Cards will mention that next year the State Report Cards will contain NAEP achievement data.

D. Funds New York is using to develop and implement the Plan

The costs of adding NAEP data and revising cohort graduation data will be less than \$500,000 and will be paid for with federal funds.

Assurance (d): Supporting Struggling Schools

While New York State currently collects and reports on most of the indicators required under assurance area (d), the State must update its definition and re-calculate measures for indicators (d)(1) and (d)(2). In addition, the State will calculate the measures for charter schools required for indicators (d)(9) and (d)(10). It is expected that these indicators will be in place prior to September 30, 2011.

General Requirements:

A. Agencies Responsible for the Development, Execution, and Oversight of the Plan, Including the Institutional Infrastructure: and Agency Capacities as They Relate to Each of Those Tasks

Key agencies responsible for the development, execution, and oversight of the plan are the New York State Education Department, State University of New York and the City University of New York. The State Education Department and Board of Regents are playing the lead role in the development of the strategy support struggling schools.

B. Agencies, Institutions, and Organizations, Providing Technical Assistance and Other Support in the Development, Execution, and Oversight of the Plan, and the Nature of Such Technical Assistance and Other Support

The New York State Education Department will oversee the implementation of the plan and provide technical assistance to LEAs.

C. Overall Budget for the Development, Execution, and Oversight of the Plan

The overall budget for the development, execution, and oversight of the plan to addressing the four indicators is included in the cost of the P-20 data system discussed in *assurance (b) Improving Collection and Use of Data*.

D. New York's Public Reporting on the Plan, Progress Reports on Its Plan, Including The Nature and Frequency Of Updated Reports To The Public on Actions Taken Under The Plan and the Websites Where The Plan and Progress Reports Publicly Available

The New York State Education Department will report to the Governor and the Board of Regents on the status of the plan to ensure quality teachers and principals in all schools. The materials for all Regents meetings are posted publicly on the web and the meetings of the full board are web cast. The Regents meet monthly except for August. The reports will be posted on the following web sites and will provide updates on the status of meeting all milestones, and adopting regulatory and statutory changes. The following is a list of web sites available to the public.

Materials and agenda for Regents Meetings:

<http://www.regents.nysed.gov/meetings/>

Department updates on the American Recovery and Reinvestment Act Funding:

<http://usny.nysed.gov/ARRA>

Process and Timeline for Developing and Implementing the Remaining Plan Elements by September 30, 2011

A. Milestones and Dates

The Board of Regents has strengthened the State's response to assist struggling schools. Four elements are not yet publicly reported but will be available on the Department's web site by September 1, 2011. Indicator (d)(1) requires the State to *"Provide, for the State, the average statewide school gain in the "all students" category and the average statewide school gain for each student subgroup (as under section 1111(b)(2)(C)(v) of the ESEA) on the State assessments in reading/language arts and for the State and for each LEA in the State, the number and percentage (including numerator and denominator) of Title I schools in improvement, corrective action, or restructuring that have made progress (as defined in this notice) on State assessments in reading/language arts in the last year."* The State is in the process of updating its definition to comply with recent Education Department Guidance and will recalculate student achievement gains.

Indicator (d)(2) requires the State to “Provide, for the State, the average statewide school gain in the “all students” category and the average statewide school gain for each student subgroup (as under section 1111(b)(2)(C)(v) of the ESEA) on State assessments in mathematics and for the State and for each LEA in the State, the number and percentage (including numerator and denominator) of Title I schools in improvement, corrective action, or restructuring that have made progress on State assessments in mathematics in the last year.” The State is in the process of updating its definition to comply with recent Education Department guidance.

Indicator (d)(9) requires the State to “Provide, for the State and for each LEA in the State that operates charter schools, the number and percentage of charter schools that have made progress on State assessments in reading/language arts in the last year.” The State is in the process of updating its methodology for defining progress on state assessments. The Office of Information Reporting Services will calculate the number and percent of charter schools that have made progress and will post the information on the Department web site prior to September 30, 2011.

Indicator (d)(10) requires the State to “Provide, for the State and for each LEA in the State that operates charter schools, the number and percentage of charter schools that have made progress on State assessments in mathematics in the last year.” The New York State Education Department Office of Information Reporting Services will calculate the number and percent of charter schools that have made progress and will post the information on the Department web site prior to September 30, 2011.

B. Obstacles that may prevent the State from developing and implementing the plan by September 30, 2011

Plans are well underway to implement the required reporting changes by September 30, 2011. No major obstacles are foreseen.

C. Reports that the State will provide to the public regarding its progress in developing and implementing those means

State Education Department communications and web postings regarding the annual New York State School Report Cards will mention that next year the State Report Cards will contain NAEP achievement data.

D. Funds New York is using to develop and implement the Plan

The costs of revising the publicly available student achievement reports will be less than \$500,000 and will be paid for with federal funds.

II. INDICATOR (b)(1)

Plan Instructions

If (as indicated in Part 3A) the State does not have a statewide longitudinal data system that fully includes all 12 elements of the America COMPETES Act, as addressed in indicator **(b)(1)**, please attach a plan that provides the process and timeline for developing and implementing, as soon as possible, but no later than September 30, 2011, a statewide longitudinal data system that includes all 12 elements of the America COMPETES Act, including the following information:

- The milestones that the State establishes toward developing and implementing those means;
- The date by which the State expects to reach each milestone;
- Any obstacles that may prevent the State from developing and implementing those means by September 30, 2011, including but not limited to requirements and prohibitions of State law and policy;
- The nature and frequency of reports that the State will provide to the public regarding its progress in developing and implementing those means; and
- The amount of funds the State is using or will use to develop and implement those means, and whether the funds are or will be Federal, State, or local funds.

Furthermore, the plan must satisfy the following general requirements:

- (A) Describe the agency or agencies in the State responsible for the development, execution, and oversight of the plan, including the institutional infrastructure and describe the capacity of the agency or agencies as they relate to each of those tasks;
- (B) Describe the agency or agencies, institutions, or organizations, if any, providing technical assistance or other support in the development, execution, and oversight of the plan, and describe the nature of such technical assistance or other support;
- (C) Provide the overall budget for the development, execution, and oversight of the plan; and
- (D) Describe the way the State will publicly report the plan and the State's progress reports on its plan, including the nature and frequency of updated reports to the public on State actions taken under the plan and the website where the State will make the plan and progress reports publicly available (as defined in the Notice of Final Requirements, Definitions, and Approval Criteria for the SFSF Phase II).

Plan Element Verification: Please mark which elements, per the instructions in Part 1, must be addressed in your state plan:

<u>COMPETES</u> <u>Element</u>	<u>Must be</u> <u>addressed in</u> <u>plan</u>	<u>Does not</u> <u>need to be</u> <u>addressed in</u> <u>plan</u>
1	✓	
2	✓	
3	✓	
4	✓	
5	✓	
6		✓
7		✓
8	✓	
9	✓	
10	✓	
11	✓	
12	✓	

Notes:

- New York State currently collects data elements 1, 2, 3, 5, 6 and 7 for K-12 but not at the student level for students in higher education.

Assurance (b): Improving Collection and Use of Data

NEW YORK STATE DATA COLLECTION & PUBLIC REPORTING PLAN

Overview

The New York State Board of Regents and the State Education Department have recognized the need for data to support informed decision-making and continuous improvement at all levels of the education system. The Board of Regents and the Department have made extensive use of their existing statewide network to build a strong system of education data collection and reporting. This longitudinal data system provides important information on student progress in New York State K-12 schools, in addition to creating the accountability reports required for State and federal programs.

New York is in an excellent position to expand our K-12 data system to cover the full education spectrum, including student performance in higher education and into the workforce. The Department has engaged its public institutions of higher education, SUNY and CUNY; the New York City Department of Education; and the city school districts of Yonkers and Syracuse in a memorandum of understanding (MOU) for expansion and governance of the current system to incorporate student-level higher education data. The BOCES and Regional Information Centers provide a wide range of support and technical assistance to schools in managing and applying data to improve education outcomes. The Board has sought input from school leaders, teachers, and technical advisory groups to identify best practices in the use of education data. The Department is working with other State agencies to create linkages with workforce, health, and social services data. These data will help policy makers and educators identify effective programs and pathways that encourage students to succeed in school, enter postsecondary education, and move on to become effective workers and citizens.

The New York State Education Department, in partnership with the twelve Regional Information Centers across the State and the Big Five City school districts (New York City, Yonkers, Syracuse, Rochester, and Buffalo) has built an effective P-12 longitudinal data system (LDS). This data collection and reporting network has provided reports required for State and federal accountability, including the annual New York State School Report Cards and information that meets the Federal No Child Left Behind Act.

In 2007, the State began a strategic planning process to expand the LDS to a full P-16 system. This strategic plan set clear goals for the system, identified the data and infrastructure necessary to meet those goals, and developed cost estimates for building a P-16 system.

In 2009, the State was awarded a four-year grant from the Institute of Education Science (IES-1) to improve the current LDS, and expand the capacity of school districts to manage and use education data. This \$7.8 million grant is targeted for:

- Creation of a Technical Assistance Center to assist schools and districts in managing and reporting their data;
- Creation of a State Reporting Center to expand the capacity of the State to design, develop, and distribute education reports, both for accountability and for policy analysis;

- Expansion of data quality processes to improve the validity and usefulness of education data as it is collected; and
- Setting standards and certification for Student Management Systems used by school districts, in order to improve data quality and cycle times for collection and reporting.

The Federal America COMPETES Act requires that state longitudinal data systems include certain elements – primarily the 10 key data elements described by the Data Quality Campaign. These elements create a strong foundation for states to examine the quality of education programs across the full P-20 education continuum. New York has six of the 10 key elements for K-12 students: a statewide unique student identifier; student-level enrollment and demographic information; student-level test data; information on untested students; graduation and dropout data; and a state audit system.

In order to complete data and technical infrastructure for a P-20 system, New York has applied for the Institute of Education Sciences ARRA grant (IES-2); a total of \$245 million is available, with up to \$20 million for the largest states. New York’s proposal would achieve six key objectives:

- Expansion of the current LDS to include student-teacher matching, course codes, and full transcript information.
- The creation of building blocks for the full P-20 system, including LDS for the state’s public university systems (CUNY, SUNY), and an outreach to other State agencies housing workforce, health, and social services data.
- Build the initial framework for an instructional support system that provides teachers and other education professional with information to support continuous improvement.
- Creation of a database for research and policy analysis.
- Linkages that create a system for tracking student progress and outcomes over time, including student preparation for postsecondary education, workforce, and the Armed Forces.
- Additional process to ensure quality and integrity of data across all systems.

These initiatives – the P-12 LDS, strategic planning for P-16, the improvements in data reporting and technical assistance through the first IES grant, and the expansion to a P-20 network – provides the foundation for improvements in educational outcomes set by the America COMPETES Act and Race to the Top. However, it should be emphasized that the funding would only enable New York to add key data elements. It will not enable the State to create a comprehensive instructional data reporting and improvement system.

Next Steps

As a keystone educational reform to raise achievement and close the achievement gap, the New York State Board of Regents has decided to create a P-20 longitudinal data system. This greatly expanded system will be used to identify very early whether students are on track to succeed in school, help teachers and school leaders improve instruction and school climate, and identify best practices and models of excellence that can be replicated statewide. This expanded LDS requires the following steps:

- Reform the current P-12 data system so it is faster, more efficient, and easier to use.
- Add additional data elements needed to make the system more complete and useful.
- Meet the criteria set by the Federal AMERICA COMPETES Act and other requirements, which include seven key capabilities and 12 key data system elements.
- Apply for and obtain resources through the ARRA IES grant program and Race to the Top funding.

Current Status of Capabilities and Data Elements

New York State already has 6 of the 12 key data elements for state P-12 LDS systems:

- Statewide unique student identifier
- Student-level enrollment data
- Student-level assessment data
- Information on untested students
- Student-level graduation and dropout data
- State data audit system.

New York has teams and work plans to incorporate the following key data elements:

- Matching teachers and students. The State already collects information on teachers, including a unique identifier, when teachers receive certification. New York is working on ways to match teacher and student information; this information, coupled with information on course descriptions and assessments, will be crucial in creating an instructional reporting and improvement system.
- College readiness data (SAT, PSAT, AP, and ACT results). New York is currently developing a memorandum of understanding (MOU) with the College Board and ACT to provide us with individual student data and help in matching Department student identifiers.
- Course information. New York will begin with courses that relate to Regents Exams and Grade 3-8 assessments and then expand the system to include other data. The goal is to work toward an electronic transcript.

Goals of the P-20 Data System

New York State has completed a comprehensive planning process for development of a P-20 Data System. The Plan sets out the following high-level goals:

- The system will be comprehensive and authoritative, in that it will collect data on children from early childhood to postsecondary, including higher education, workforce, military, as well as health, social services, and criminal justice.
- The system will be useful and relevant, in that it will track key performance indicators, including: data that link student performance to the teachers responsible for instruction; data that identify achievement gaps for students with disabilities and other

underperforming groups; information on courses of study, including electronic student transcripts and early warning signs for those in need of remediation or at risk of dropout; indicators of college readiness; and information on postsecondary success, including credits earned, course repetition/withdrawal, and enrollment in remediation courses.

- The system will provide complete and efficient access to information for students, parents, teachers, other school leaders, members of boards of education, union leaders, executive and legislative levels of government, researchers, and the general public through online portals. These portals will allow users to customize the user experience, prioritize the display of useful information, and utilize the latest social media technologies to save and share information with others. Data sharing with the public and research community will be transparent and inclusive, while also adhering to FERPA guidelines.
- The system will ensure rapid collection and monitoring of data that ensure timely insight so that teachers can provide targeted instruction to students, principals can provide operational support and performance feedback to teachers, and policy leaders can evaluate program effectiveness and resource allocation, in particular to help close the achievement gap for underperforming groups.
- The system will ensure that educators are well-equipped to access and analyze the information contained in the system to improve instruction and increase student learning

SUNY and CUNY Current State and Plan

The State University of New York (SUNY) and the City University of New York (CUNY) are key partners in the development of the P-20 data system. CUNY's 23 institutions are tightly integrated through a strong system office and chancellery. Undergraduate applications to all CUNY colleges are processed in a central application processing center, which receives high school transcript data electronically from all New York City's public high schools, stores this information, and disseminates the data electronically to the colleges. SUNY has begun a large initiative to integrate all of its 64 campuses. Currently, only a few campuses are connected to a central database, and SUNY has a plan in place to integrate all 64. To accelerate this integration process and create a fully integrated P-20 system, SED will support SUNY to integrate data from its campuses more quickly.

In addition to the above, SED will work with SUNY and CUNY to:

1. Link data through the use of a statewide unique ID. Once a statewide unique ID is implemented in a P-20 longitudinal system, SUNY/CUNY will draw upon the new data resources for the following purposes: improve the linkage between high school and college transcript data to further discussions of curriculum alignment between the University and the schools; develop accountability metrics both for the high schools and SUNY/CUNY colleges; refine indicators of college readiness; and improve the Universities' ability to track students who move between CUNY and SUNY as well as to independent colleges in New York State.
2. Integrate the data resources needed to evaluate teacher education programs. To allow SUNY/CUNY's teacher education programs to easily track the postgraduate outcomes of

their students, including placement into schools, retention in the teaching profession, and student performance, SUNY/CUNY will integrate with the statewide longitudinal data system. When student and teacher data become linked in a statewide P-20 system, SUNY/CUNY will draw down this information for the graduates of its teacher education programs, integrate it into its own decision support warehouse, which already includes complete transcript information for teacher education, and use the new resources to enhance the assessment of its programs through the use of growth models.

3. Create early alert system. SUNY/CUNY plans to design and build a data warehouse refreshed daily from its Enterprise Resource Planning (ERP) system that can provide close to real-time data on student performance. These new data resources would be used to create an effective early alert system, which identifies students who begin to exhibit signs of academic difficulty and refers them to advisers and other resources for academic support.
4. Standardize Course Codes. Course curriculum is more diverse in higher education than P-12. Reporting course information to a P-20 system will require SUNY/CUNY to develop common data structures to characterize and describe the courses each system teaches.
5. Develop Standardized Electronic Transcripts. An electronic transcript containing the student's unique identifier is the most effective method for tracking students in a P-20 system. An electronic transcript could be passed between P-12 and higher education at each point of transition, and between colleges at the point of transfer. Each sector would use the transcript to uniquely identify students in the next LEA that serves the student. This information would be reported to the P-20 system, eliminating the need for a state-level matching process and minimizing the burden of resolving mismatches and near matches by the LEAs.

State Plan for Meeting all Capabilities and Required Data Elements

The State plan for meeting the required capabilities and data elements of a statewide LDS are summarized in the following document. Table 1, below, reflects current status and source material for Data Elements 1-12 listed in the AMERICA COMPETES Act.

New York State Longitudinal Data System (LDS)

The Board of Regents and the New York State Education Department are committed to creating a Longitudinal Data System that supports their education goals for the State. They are further committed to assuring quality by authorizing the creation of a system that incorporates the seven data system capabilities and twelve data system elements defined by NCES.

The proposal that follows contains the blueprint for New York State's continuing journey towards the creation of a comprehensive P-20 Longitudinal Data System. This proposal incorporates all seven data system capabilities and 12 data system elements in six overarching objectives:

1. The expansion of the Current LDS to include student-teacher matching along with the collection of a new set of data elements to support continuous improvement.
2. The creation of the “building blocks” for a full P-20 system, including a re-engineering of the current P-12 system, the creation of Longitudinal Data Systems for the state’s public university systems, and an outreach to State agencies housing workforce, health, and social service data.
3. The creation of an Instructional Support System providing teachers and other education professionals with information to support continuous improvement.
4. The creation of a Data Base to support research and policy analysis.
5. The creation of a system for tracking student progress and outcomes over time, including students’ preparation to meet the demands of postsecondary education, the 21st century workforce and the Armed Forces.
6. The creation of processes to ensure quality and integrity of data across all systems.

The outcomes, products, and processes that will result from these activities will provide New York State and its residents with a rich resource. Properly deployed and supported, this resource will enhance the education of children in the State, create an environment for supporting research and policy analysis, and form a foundation for the continuous analysis and improvement of the State’s education structure.

Table 1: Status and Next Steps
America COMPETES ACT

Data Elements Required under the America COMPETES Act: Current Status

Data Element	Description of Required Element	Does State Collect Required Element?	Description of State's Current Capacity	New York State Steps to Expand Capacity
#1	Unique statewide student identifier for P-20	No	<p>The State has had a P-12 student identifier system in place since 2005. The existing New York State Student Identification System (NYSSIS) is an electronic information system that assigns a Unique Statewide Identifier (ID) to students in New York State public schools, including charter schools. The ID assigned by NYSSIS is used by LEAs to report student-level data to the Student Information Repository System (SIRS).</p> <p>See the New York State Student Identification System Users Guide at http://www.emsc.nysed.gov/irts/sirs/</p>	<p>The State will expand its current ID system to include higher education institutions, beginning with SUNY and CUNY. Memorandums of Understanding have been signed by SUNY, CUNY, and the City School districts of New York City, Syracuse, and Yonkers. BOCES Regional Information Centers (RICs) will provide technical support and assistance to LEAs.</p> <p>The P-20 statewide unique student identifier system is expected to be completed by the 2010-11 school year.</p>
#2	Student-level enrollment, demographic, and program participation information for P-20	No	<p>The New York State Student Information Repository System (SIRS) system currently collects the following information about P-12 students:</p> <ol style="list-style-type: none"> 1. Student Demographic 2. Enrollment 3. Programs 4. Assessment 5. Special Education <p>On a separate system, the State also collects education demographic and program participation data on students enrolled in higher education programs.</p> <p>See the 2009-10 New York State Student Information Repository System (SIRS) Manual at http://www.emsc.nysed.gov/irts/sirs/</p>	<p>Once the unique student identifier is established for the P-20 system, the separate data elements from the existing P-12 system will be linked with the higher education system.</p> <p>This element of the P-20 data system is expected to be completed by the 2010-11 school year.</p>
#3	Student-level information about the points at which students exist, transfer in, transfer out,	No	<p>Exit, Transfer, and drop out data are available for K-12 at the individual student level and collected through the New York State Student Information Repository System (SIRS).</p> <p>On a separate system, aggregate data is</p>	<p>Once the unique student identifier is established for the P-20 system, the separate data elements from the existing P-12 system will be linked with the higher education system.</p> <p>This element of the P-20 data system is</p>

Table 1: Status and Next Steps
America COMPETES ACT

Data Element	Description of Required Element	Does State Collect Required Element?	Description of State's Current Capacity	New York State Steps to Expand Capacity
	drop out, or complete P-20		also collected at the higher education level, and is self-reported by colleges and universities.	expected to be completed by the 2010-11 school year.
#4	The capacity to communicate with higher education data systems	No	New York State does not currently have the capacity to link P-12 and higher education data systems.	<p>The New York State Education Department (SED) is issuing a Request for Information to solicit data from vendors of educational data system implementation services. This vendor should be able to lead the design, development, implementation and post-implementation of a comprehensive longitudinal data warehouse and decision support system.</p> <p>See the P-20 Longitudinal Data System Request for Information at http://www.emsc.nysed.gov/irts/sirs/rfi-lds/</p> <p>This element of the P-20 data system is expected to be completed by the 2010-11 school year.</p>
#5	An audit system assessing data quality, validity, and reliability	No	<p>For the existing P-12 system, New York State has developed an audit system for assessing data quality, validity and reliability.</p> <p>Once the higher education system data is introduced, the audit system will be applied to that data as well.</p> <p>See Data Validation Rules at http://www.emsc.nysed.gov/irts/vendors/validation-rules.html</p>	<p>Once the unique student identifier is established for the P-20 system, the separate data elements from the existing P-12 system will be linked with the higher education system and the audit system can apply to both sets of data.</p> <p>In addition, the State will continue to refine data element definitions, create a statewide technical assistance center to assist LEAs with data collection and reporting, create a statewide certification program for student management systems, continue to collaborate with regional data systems, refine and develop audits and reasonableness checks at state and LEA levels.</p>

Table 1: Status and Next Steps
America COMPETES ACT

Data Element	Description of Required Element	Does State Collect Required Element?	Description of State's Current Capacity	New York State Steps to Expand Capacity
				This element of the P-20 data system is expected to be completed by the 2009-10 school year.
#6	For P- 12, State collects yearly assessment records of individual students	Yes	State currently collects this data	N/A
#7	For P- 12, State collects information on students not tested, by grade and subject	Yes	State currently collects this data	N/A
#8	For P-12, State has a teacher identifier system with the ability to match teachers to students.	No	<p>New York State currently has two individual data systems that collect student and teacher data. These systems are not currently linked.</p> <p>The State TEACH System collects information on teachers that include information on: certification, fingerprint, professional development and employment history. See list of TEACH system features at http://www.highered.nysed.gov/tcert/teach/features.html</p>	<p>Beginning in the 2009-10 school year, New York State has already begun to link these two data systems. The State intends to develop a principal data element as well, standardize course codes, and standardize student/course/teacher/principal data reporting in LEAs.</p> <p>This element of the P-20 data system is expected to be completed by the 2010-11 school year.</p>
#9	For P-12, State collects information on student-level transcript information, including courses completed and grades earned	No	The State does not currently collect this information.	<p>Beginning in the 2009-10 school year, New York State has already begun to develop the capacity to collect this information. The State will work towards standardizing course codes and standardize student transcript data reporting for LEAs.</p> <p>This element of the P-20 data system is expected to be completed by the 2010-11 school year.</p>

Table 1: Status and Next Steps
America COMPETES ACT

Data Element	Description of Required Element	Does State Collect Required Element?	Description of State's Current Capacity	New York State Steps to Expand Capacity
#10	For P-12, State collects student-level college readiness test scores	No	The State does not currently collect this information.	<p>The State will expand its existing student data system to include data on AP, SAT, ACT and RCT exam scores. The State will sign a Memorandum of Understanding with College Board in development to share college prep test scores.</p> <p>This element of the P-20 data system is expected to be completed by the 2010-11 school year.</p>
#11	For post-secondary education, the State collects information regarding the extent to which students transition successfully from secondary to post-secondary schools, including whether students enroll in remedial course work	No	The State does not currently collect this information.	<p>Collection of this data requires the existing P-12 and higher education data systems to be joined, and will require the collection of additional data elements. SUNY and CUNY will provide leadership for other higher education institutions to participate in this project.</p> <p>This element of the P-20 data system is expected to be completed by the 2010-11 school year.</p>
#12	For post-secondary education, the State collects other information determined necessary to address alignment and adequate preparation for success in post-	No	The State will assess what other information is necessary to address alignment and adequate preparation for success in post-secondary education.	N/A

Table 1: Status and Next Steps
America COMPETES ACT

Data Element	Description of Required Element	Does State Collect Required Element?	Description of State's Current Capacity	New York State Steps to Expand Capacity
	secondary education			

General Requirements:

A. Agencies Responsible for the Development, Execution, and Oversight of the Plan, Including the Institutional Infrastructure: and Agency Capacities as They Relate to Each of Those Tasks

The New York State Education Department is responsible for overall development, execution, and oversight of the State Plan. The Department provides project management for the full Plan and its multiple component plans. The Department is responsible for governance through a project steering committee comprised of programmatic and technology staff. Application development for centralized reporting will be done at the Department.

The 2009 IES grant (IES-1) provides money for an additional 5 FTE at the Department, including project oversight and technical staff. The 2010 ARRA Infrastructure for Education Sciences Grant (IES-2) will provide money for nine additional FTEs at the Department.

The State University of New York (SUNY) and City University of New York (CUNY) are partners in the P-20 initiative. CUNY has a well-established central data warehouse of student and institutional data, and shares data with the New York City Department of Education. SUNY has a centralized student data system for certain functions, but lacks standardized student data management across the individual campuses. The 2009 ARRA IES will provide additional dollars for enhancements to the CUNY and SUNY infrastructure to meet the P-20 requirements.

At the K-12 level, the 12 computer Regional Information Centers (RICs) are the key component in collecting, managing, and storing student performance data across the State. The Big Five City school districts – New York City, Yonkers, Syracuse, Rochester, and Buffalo – have also developed capacity to manage and report the necessary data for state and federal accountability. The State manages the statewide data repository of student data through the Western New York Regional Information Center (WNYRIC). RIC staff has also developed many of the student and school performance reports being used at the State and local level.

The Board of Regents and the Department are in discussions with the private higher education institutions to enlist them as partners in the P-20 initiative.

B. Agencies, Institutions, and Organizations, Providing Technical Assistance and Other Support in the Development, Execution, and Oversight of the Plan, and the Nature of Such Technical Assistance and Other Support

The following organizations will provide additional support:

- SUNY, CUNY, the city school districts of New York City, Yonkers, and Syracuse, which, along with the Board of Regents, comprise the P-20 Executive Committee. These organizations have signed an MOU which defines roles and responsibilities over the use of the P-20 system.
- The Regional Information Centers, as described above.
- The Boards of Cooperative Education Services (BOCES), which provide programmatic and analysis assistance to K-12 schools in using data to improve instruction.

- The New York City Department of Education, which has developed important models and methods for instructional support systems.
- Governance bodies: the Statewide Project Managers Group and the Statewide Technical Standards Team, which have developed and overseen standards and business processes for collection, management, and reporting of data.

C. Overall Budget for the Development, Execution, and Oversight of the Plan

The overall budget is \$27.7 million.

D. New York's Public Reporting on the Plan, Progress Reports on Its Plan, Including The Nature and Frequency Of Updated Reports To The Public on Actions Taken Under The Plan and the Websites Where The Plan and Progress Reports Publicly Available

The New York State Education Department will report to the Governor and the Board of Regents on the status of the plan to ensure quality teachers and principals in all schools. The materials for all Regents meetings are posted publicly on the web and the meetings of the full board are web cast. The Regents meet monthly except for August. The reports will be posted on the following web sites and will provide updates on the status of meeting all milestones, and adopting regulatory and statutory changes. The following is a list of web sites available to the public.

Material and Agenda for Regents Meetings: <http://www.regents.nysed.gov/meetings/>

Department updates on the American Recovery and Reinvestment Act Funding: <http://usny.nysed.gov/ARRA>

Process and Timeline for Developing and Implementing the Remaining Plan Elements by September 30, 2011

A. Milestones and Dates

As noted in Table I above all elements of the America COMPETES Act will be in place by September 30, 2011.

B. Obstacles that May Prevent the State from Developing and Implementing the Plan by September 30, 2011

Obtaining funding through IES-2 grant is critical to completing all elements of the America COMPETES Act. The timetable is very aggressive, particularly if all partners are unable to provide full resources to the development and implementation.

C. Reports that the State will provide to the public regarding its progress in developing and implementing those means

Reports posted on the web will include proposed regulatory and policy changes, and instructions for providing comments. The Governor and the Board of Regents will also receive periodic updates on development and implementation; these reports are available to the public.

D. Funds New York is using to develop and implement the Plan

New York will use funds from two grants from the Institute for Education Sciences, \$7.8 IES-1 million and \$19.98 million IES-2, to complete all required elements of the America COMPETES Act.

III.INDICATOR (b)(2) Not Applicable

Instructions: If (as indicated in **Part 3A, Indicator (b)(2)**) the State does not provide student growth data on their current students and the students they taught in the previous year to, at a minimum, teachers of reading/language arts and mathematics in grades in which the State administers assessments in those subjects, in a manner that is timely and informs instructional programs, please attach a plan that provides:

The process and timeline for developing and implementing the means to provide teachers with such data by September 30, 2011, including:

- The milestones that the State establishes toward developing and implementing those means and the date by which the State expects to reach each milestone;
- Any obstacles that may prevent the State from developing and implementing those means by September 30, 2011 (including but not limited to requirements and prohibitions of State law and policy);
- The nature and frequency of reports that the State will provide to the public regarding its progress in developing and implementing those means; and
- The amount of funds the State is using or will use to develop and implement those means, and whether the funds are or will be Federal, State, or local funds.

Furthermore, the plan must satisfy the following general requirements:

- (A)** Identify the agency or agencies in the State responsible for the development, execution, and oversight of the plan, including the institutional infrastructure and describe the capacity of the agency or agencies as they relate to each of those tasks;
- (B)** Identify the agency or agencies, institutions, or organizations, if any, providing technical assistance or other support in the development, execution, and oversight of the plan, and describe the nature of such technical assistance or other support;
- (C)** Provide the overall budget for the development, execution, and oversight of the plan; and
- (D)** Describe the way the State will publicly report the plan and the State's progress reports on its plan, including the nature and frequency of updated reports to the public on State actions taken under the plan and the website where the State will make the plan and progress reports publicly available (as defined in the Notice of Final Requirements, Definitions, and Approval Criteria for the SFSF Phase II).

IV. INDICATOR (b)(3) Not Applicable

Instructions: If (as indicated in **Part 3A, Indicator (b)(3)**) the State does not provide teachers of reading/language arts and mathematics in grades in which the State administers assessments in those subjects with reports of individual teacher impact on student achievement, please attach a plan that provides:

The process and timeline for developing and implementing the means to provide teachers with such data, including:

- The milestones that the State establishes toward developing and implementing those means and the date by which the State expects to reach each milestone;
- Any obstacles that may prevent the State from developing and implementing those means (including but not limited to requirements and prohibitions of State law and policy);
- The nature and frequency of reports that the State will provide to the public regarding its progress in developing and implementing those means; and
- The amount of funds the State is using or will use to develop and implement those means, and whether the funds are or will be Federal, State, or local funds.

Furthermore, the plan must satisfy the following general requirements:

- (A) Identify the agency or agencies in the State responsible for the development, execution, and oversight of the plan, including the institutional infrastructure and describe the capacity of the agency or agencies as they relate to each of those tasks;
- (B) Identify the agency or agencies, institutions, or organizations, if any, providing technical assistance or other support in the development, execution, and oversight of the plan, and describe the nature of such technical assistance or other support;
- (C) Provide the overall budget for the development, execution, and oversight of the plan; and
- (D) Describe the way the State will publicly report the plan and the State's progress reports on its plan, including the nature and frequency of updated reports to the public on State actions taken under the plan and the website where the State will make the plan and progress reports publicly available (as defined in the Notice of Final Requirements, Definitions, and Approval Criteria for the SFSF Phase II).

INDICATORS (c)(11) AND (c)(12)

Important note regarding this section:

In the case of new Indicators (c)(11) and (c)(12), regarding the data States will collect from IHEs, the State is required to, at a minimum, possess the ability to collect and report the data. In such circumstances, a State plan need only address the development of capacity, and not implementation and reporting for the relevant indicators.

If the State will develop and implement the means to collect and publicly report the data (i.e., the State will collect and publicly report the data) for either of these indicators by September 30, 2011, the full plan requirements for this section **do** apply. If that is the case, please report all elements of that plan in Part 3B, Section I above.

State Plan Instructions: For each of *Indicators (c)(11) and (c)(12)* for which the State is not able to fully collect or publicly report annually the required data or information (as indicated in Part 3A), please attach a plan that provides:

- (1) The process and timeline for achieving the ability to implement the means to fully collect and/or publicly report (as required) the data or information by September 30, 2011, including:
 - The milestones established toward developing those means;
 - The date by which the State expects to reach each such milestone; and any obstacles that may prevent the State from developing those means by September 30, 2011, including but not limited to requirements and prohibitions of State law and policy;
 - The nature and frequency of reports that the State will provide to the public regarding its progress in developing those means; and
 - The amount of funds the State is using or will use to develop those means, and whether the funds are or will be Federal, State, or local funds.
- (2) A description of the evidence that the State will provide to the Department of Education to demonstrate that it has developed the means to collect and publicly report the data for each indicator for which the State is not able to fully collect or publicly report annually the required data, by September 30, 2011.

Furthermore, the plan must satisfy the following general requirements:

- (A) Identify the agency or agencies in the State responsible for the development, execution, and oversight of the plan, including the institutional infrastructure and describe the capacity of the agency or agencies as they relate to each of those tasks;
- (B) Identify the agency or agencies, institutions, or organizations, if any, providing technical assistance or other support in the development, execution, and oversight of the plan, and describe the nature of such technical assistance or other support;
- (C) Provide the overall budget for the development, execution, and oversight of the plan; and
- (D) Describe the way the State will publicly report the plan and the State’s progress reports on its plan, including the nature and frequency of updated reports to the public on State actions taken under the plan and the website where the State will make the plan and progress reports publicly available (as defined in the Notice of Final Requirements, Definitions, and Approval Criteria for the SFSF Phase II).

Plan Element Verification: Please check only the boxes that apply in the following chart to indicate which elements must be addressed in this section of your state plan:

<u>Element</u>	<u>Not Applicable: The State will develop and implement the means to collect and publicly report the data (Complete Plan in Section I).</u>	<u>Applicable: The State will develop but not implement the means to collect and publicly report the data (Complete Plan in this section).</u>
Indicator (c)(11)	✓	✓
Indicator (c)(12)	✓	✓

State Plan

A. Agencies Responsible for the Development, Execution, and Oversight of the Plan, Including the Institutional Infrastructure: and Agency Capacities

Indicator (c)(11): "Provide, for the State, for each LEA in the State, for each high school in the State and, at each of these levels, by student subgroup (consistent with section 1111(b)(2)(C)(v)(11) of the ESEA), students who graduate from high school consistent with 34 CFR 200.19(b)(1)(i), the number and percentage (including numerator and denominator) who enroll in an institution of higher education (IHE) (as defined in section 101(a) of the Higher Education Act of 1965, as amended (HEA)) within 16 months of receiving a regular high school diploma."

Indicator (c)(12): "Provide, for the State, for each LEA in the State, for each high school in the State, and at each of these levels, by student subgroup (consistent with section 1111(b)(2)(C)(v)(II) of the ESEA, of the students who graduate from high school consistent with 34 CFR 200.19(b)(1)(i) who enroll in a public IHE (as defined in section 101(a) of the HEA) in the State within 16 months of receiving a regular high school diploma, the number and percentage (including numerator and denominator) who complete at least one year's worth of college credit (applicable to a degree) within two years of enrollment in the IHE."

SED's Office of Higher Education (OHE) receives from the State University of New York (SUNY) and The City University of New York (CUNY) the number of entering students, by high school, by racial/ethnic category and other ESEA subgroups. OHE does not currently receive comparable data from independent and proprietary IHEs.

B. Agencies, Institutions, and Organizations, Providing Technical Assistance and Other Support in the Development, Execution, and Oversight of the Plan, and the Nature of Such Technical Assistance and Other Support

SUNY, CUNY, selected independent and proprietary IHEs and data using organizations are represented on SED's Research and Information System Advisory Committee (RISAC). RISAC advises SED on collection of data for SED's Higher Education Data System (HEDS) and reporting of data to institutions, interested parties and data users, and the public. RISAC will be consulted on the manner of implementing the collection and reporting of these data; however, it is not a decision-making body, its recommendations are advisory only. RISAC is scheduled to hold an initial discussion of this data collection requirement at its February 2010 meeting.

C. Overall Budget for the Development, Execution, and Oversight of the Plan

The costs for implementing these changes are included in the development of the P-20 data system described in *assurance (b) Improving the Collection and Use of Data* above.

D. New York’s Public Reporting on the Plan, Progress Reports on Its Plan, Including The Nature and Frequency Of Updated Reports To The Public on Actions Taken Under The Plan and the Websites Where The Plan and Progress Reports Publicly Available

SED will report to the Governor and the Regents on the status of the plan to ensure quality teachers and principals in all schools. The materials for all Regents meetings are posted publicly on the web and the meetings of the full board are web cast. The Regents meet monthly except for August. The reports will be posted on the following web sites and will provide updates on the status of meeting all milestones, and adopting regulatory and statutory changes. The following is a list of web sites where the public will be able to view

- Material and Agenda for Regents Meetings: <http://www.regents.nysed.gov/meetings/>
- Department updates on the American Recovery and Reinvestment Act Funding: <http://usny.nysed.gov/ARRA>

Process and Timeline for Developing and Implementing the Remaining Plan Elements by September 30, 2011

A. Milestones and Dates

The Regents adopted the new cohort rules for the 2007 cohort through August 2011, to be reported for accountability purposes with the 2011-12 school year results. This cohort will be expected to complete high school by August 2011. New York will have 16-month higher education outcome data by September 30, 2012.

SUNY and CUNY are committed to the comprehensive data system described in SED’s IES grant applications and have sent letters of endorsement. SUNY and CUNY will modify their student record systems to collect, compute, and report the required data no later than September 30, 2011.

SED will revise the Higher Education Data System (HEDS) to capture the data from independent and proprietary colleges by September 30, 2011. SED has the authority in statute (Education Law §215) to require these reports.

B. Obstacles that will prevent the State from developing and implementing the plan by September 30, 2011

By September 2011, SED will have the required data on enrollment and credit accumulation by entering student by high school and by racial/ethnic group and other ESEA sub-groups. However, the Regents adopted the new cohort rules for the 2007 cohort through August 2011, to be reported by LEAs for accountability purposes only beginning with the 2011-12 school year results. This cohort will be expected to complete high school by August 2011, and therefore New York will not be able to report the proportions of graduates of each high school entering higher education by September 2011.

C. Reports that the State will provide to the public regarding its progress in developing and implementing those means

Reports posted on the web will include proposed regulatory and policy changes, and instructions for providing comments.

D. Funds New York is using to develop and implement the Plan

The costs of reporting on indicators (c)(11) and (c)(12) is included in the cost of the Longitudinal Data System described above. New York plans to use federal funds from the IES-1, IES-2 and RTTT grants.

PART 3C-- GENERAL REQUIREMENTS

- (1) Describe the processes the State employs to review and verify the required data and other information on the indicators and descriptors.*

The State uses a system of built-in within- and cross-domain edit checks, as well as multiple levels of review to ensure that data and other information are complete and accurate. The State directs District Superintendents to investigate cases where there are questions about data or information provided by districts. In addition, the State has utilized peer reviews and consultants to recommend changes to data collection and reporting systems.

- (2) Describe the processes the State employs to ensure that, consistent with 34 CFR 99.31(b), the required data and other information are not made publicly available in a manner that personally identifies students, where applicable.*

If a school/district at the elementary or middle level does not test 30 continuously enrolled students in ELA or mathematics in 2009–10, the scores of continuously enrolled students tested in 2008–09 and 2009–10 will be combined to determine the Performance Index (PI). If a school/district at the secondary level does not have 30 or more students in its 2006 accountability cohort, the 2005 and 2006 cohorts will be combined to determine the PI (assessment performance and graduation rate). If a school/district still does not have 30 or more students on which to base a decision and

does not have to meet the participation criterion because of small student counts, the school is subject to special procedures for determining AYP.

The State does not publicly display the performance of small subgroups. If a subgroup has fewer than five students, the performance of that subgroup and the next largest subgroup will be suppressed in all public reports.

New York State
ATTACHMENTS

Attachment 1: Funding Level Data Sources

Funding Level Data Sources

(a) Identify and describe the data sources used in determining the levels of State support for elementary and secondary education; - and -

In accordance with the guidance provided with the Application for Initial Funding under the State Fiscal Stabilization Fund Program, New York State elected to compute its Maintenance of Effort based on the data that is included as “Revenue from State Sources” in the National Public Education Finance Survey (NPEFS). Because the USDOE has not yet provided the guidance and software for the 2009 School Year, the State is unable to provide comparable data for that period. The estimate provided for the 2009 School Year represents a subset of that total, namely the amount of funds provided to LEAs through the State’s computerized funding formulae. This will be revised at such time as the NPEFS data become available.

The calculation of the levels of state support for New York State elementary and secondary education for 2006 is based on data that is included as “Revenue from State Sources” in the National Public Education Finance Survey (NPEFS), as recommended in the Appendix C instructions for this application.

See <http://nces.ed.gov/pubs2008/2008328.pdf> (Table 1, Page 6 of NCES report)

(b) Identify and describe the data sources used in determining the levels of State support for public IHEs.

The calculation of the levels of state support for New York State's public institutions of higher education (IHE) is based upon appropriations and transfers (excluding those related to tuition, fees and capital projects) as adjusted by administrative actions, made available to: the State University of New York's (SUNY) state-operated, statutory and community college campuses; SUNY's three teaching hospitals; and the City University of New York's (CUNY) senior and community colleges. The operative appropriations and other references include:

For 2006 (AFY 2005-06)

- Chapter 53 of the Laws of 2005
- Chapter 61 of the Laws of 2005

For 2009 (AFY 2008-09)

- Chapter 53 of the Laws of 2008

- Chapter 57 of the Laws of 2008
- Chapter 10 of the Laws of 2008
- Chapter 114 of the Laws of 2008
- Chapter 113 of the Laws of 2008
- Chapter 219 of the Laws of 2008
- Chapter 287 of the Laws of 2008
- Chapter 496 of the Laws of 2008
- Chapter 1 of the Laws of 2009
- New York State Budget Policy & Reporting Manual B-1178
- New York State Budget Policy & Reporting Manual B-1183

For 2010 (AFY 2009-10)

- 2009-10 Executive Budget (S/53-A/A.153-A)
- 2009-10 Deficit Reduction Legislation (Chapter 502 of the Laws of 2009 - S.66022/A.40022)

End of Application