RACE
TO THE
TOP

New York Report

Year 2: School Year 2011–2012

U.S. Department of Education
Washington, DC 20202

February 1, 2013

Race to the Top overview

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009 (ARRA), historic legislation designed to stimulate the economy, support job creation, and invest in critical sectors, including education. ARRA provided $4.35 billion for the Race to the Top fund, of which approximately $4 billion was used to fund comprehensive statewide reform grants under the Race to the Top program.[1] In 2010, the U.S. Department of Education (Department) awarded Race to the Top Phase 1 and Phase 2 grants to 11 States and the District of Columbia. The Race to the Top program is a competitive four-year grant program designed to encourage and reward States that are creating the conditions for education innovation and reform; achieving significant improvement in student outcomes, including making substantial gains in student achievement, closing achievement gaps, and improving high school graduation rates; and ensuring students are prepared for success in college and careers.

Since the Race to the Top Phase 1 and 2 competitions, the Department has made additional grants under Race to the Top Phase 3, Race to the Top – Early Learning Challenge, and Race to the Top – District. In 2011, the Department awarded Phase 3 grants to seven additional States, which were finalists in the 2010 Race to the Top Phase 1 and Phase 2 competitions. Also in 2011, the Department made seven awards under the Race to the Top – Early Learning Challenge to improve quality and expand access to early learning programs, and close the achievement gap for children with high needs. In 2012, four more States received Early Learning Challenge grants. Most recently, in 2012, the Department made awards to 16 applicants through the Race to the Top – District competition to support local educational agencies (LEAs) implementing locally developed plans to personalize and deepen student learning, directly improve student achievement and educator effectiveness, close achievement gaps, and prepare every student to succeed in college and career.

The Race to the Top program is built on the framework of comprehensive reform in four education reform areas:

- Adopting rigorous standards and assessments that prepare students for success in college and the workplace;

- Building data systems that measure student success and inform teachers and principals how they can improve their practices;

- Recruiting, developing, retaining, and rewarding effective teachers and principals; and

- Turning around the lowest-performing schools.

Since education is a complex system, sustained and lasting instructional improvement in classrooms, schools, LEAs, and States will not be achieved through piecemeal change. Race to the Top requires that States and LEAs participating in the State's Race to the Top plan (participating LEAs)[2] take into account their local context to design and implement the most effective and innovative approaches that meet the needs of their educators, students, and families.

Race to the Top program review

As part of the Department's commitment to supporting States as they implement ambitious reform agendas, the Department established the Implementation and Support Unit (ISU) in the Office of the Deputy Secretary to administer, among others, the Race to the Top program. The goal of the ISU is to provide assistance to States as they implement unprecedented and comprehensive reforms to improve student outcomes. Consistent with this goal, the Department has developed a Race to the Top program review process that not only addresses the Department's responsibilities for fiscal and programmatic oversight, but is also designed to identify areas in which Race to the Top grantees need assistance and support to meet their goals. Specifically, the ISU works with Race to the Top grantees to differentiate support based on individual State needs, and helps States work with each other and with experts to achieve and sustain educational reforms that improve student outcomes. In partnership with the ISU, the Reform Support Network (RSN) offers collective and individualized technical assistance and resources to Race to the Top grantees. The RSN's purpose is to support Race to the Top grantees as they implement reforms in education policy and practice, learn from each other, and build their capacity to sustain these reforms.

Grantees are accountable for the implementation of their approved Race to the Top plans, and the information and data gathered throughout the program review help to inform the Department's management and support of the Race to the Top grantees, as well as provide appropriate and timely updates to the public on their progress. In the event that adjustments are required to an approved plan, the grantee must submit a formal amendment request to the Department for consideration. States may submit for Department approval amendment requests to a plan and budget, provided such changes do not significantly affect the scope or objectives of the approved plans. In the event that the Department determines that a grantee is not meeting its goals, activities, timelines, budget, or annual targets, or is not fulfilling other applicable requirements, the Department will take appropriate enforcement action(s), consistent with 34 CFR section 80.43 in the Education Department General Administrative Regulations (EDGAR).[3]

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[1] The remaining funds were awarded under the Race to the Top Assessment program. More information about the Race to the Top Assessment program is available at www.ed.gov/programs/racetothetop-assessment.

[2] Participating LEAs are those LEAs that choose to work with the State to implement all or significant portions of the State's Race to the Top plan, as specified in each LEA's Memorandum of Understanding with the State. Each participating LEA that receives funding under Title I, Part A will receive a share of the 50 percent of a State's grant award that the State must subgrant to LEAs, based on the LEA's relative share of Title I, Part A allocations in the most recent year, in accordance with section 14006(c) of the ARRA.

[3] More information about the ISU's program review process, State APR data, and State Scopes of Work can be found at http://www2.ed.gov/programs/racetothetop/index.html.

State-specific summary report

The Department uses the information gathered during the review process (*e.g.*, through monthly calls, onsite reviews, and Annual Performance Reports (APRs)) to draft State-specific summary reports.[4] The State-specific summary report serves as an assessment of a State's annual Race to the Top implementation. The Year 2 report for Phase 1 and 2 grantees highlights successes and accomplishments, identifies challenges, and provides lessons learned from implementation from approximately September 2011 through September 2012.

State's education reform agenda

New York developed an ambitious Race to the Top reform agenda that integrates into other statewide goals, such as the Regents Reform Agenda. The State aims to better prepare all students for college and career success, help teachers use high-quality data to inform instruction, evaluate educators and preparation programs based on performance, and put low-achieving schools on the path to success. To these ends, the State adopted the Common Core State Standards (CCSS), initiated major improvements to its data systems, and worked to develop a new educator evaluation system. In addition, it implemented interventions in low-achieving schools and provided professional development to support all of its initiatives. To support this extensive agenda, the State aligned a variety of funding sources in addition to its $696,000,000 Race to the Top grant, including School Improvement Grant (SIG) funds, State funds, funds from a class-action lawsuit, and funds from other Federal grants.

State Year 1 summary

New York increased its capacity to provide support to its LEAs by creating a Performance Management Office (PMO) to oversee the implementation of Race to the Top and to support its LEAs. New York State Education Department's (NYSED) Office of School Innovation partnered with other agency offices to assist in turning around low-achieving schools through supports and accountability. To directly support its schools, New York established three-person Network Teams of curricular, data, and instruction experts. In addition, the State launched several competitive grant programs for LEAs, including the Clinically Rich Graduate Teacher Preparation Pilot program and the School Innovation Fund (SIF), and completed grant award decisions for two cohorts (both new and continuation) under the Federal SIG program.

In Year 1, New York faced a challenge in coordinating and communicating with the large number and variety of LEAs and stakeholders participating in its Race to the Top plan. The number of LEAs compounded the complexity of NYSED's review and approval of LEA Scopes of Work, budgets, and expenditures. During Year 1, the New York State United Teachers (NYSUT) filed a lawsuit against the State pertaining to the teacher and principal evaluation system. The State noted that this lawsuit resulted in a lack of clarity in the field regarding the lawsuit's impact on implementation timelines, creating a communication challenge for the State. New York also faced challenges with overall timeliness in completing project activities, including challenges with procurements.

State Year 2 summary

Accomplishments

New York completed its first year of transition to the CCSS, encouraging educators to implement at least one CCSS-aligned unit each semester. It field tested items that it will use on CCSS-aligned Year 3 assessments and provided curricular documents through the EngageNY.org website, including thirteen LEA-developed exemplar curriculum modules.

EngageNY.org helped support the State's vision of a college- and career-ready education for all students by providing teachers and school leaders with tools and resources that relate to New York State P-12 Common Core Learning Standards, data-driven instruction, and teacher and leader effectiveness. EngageNY.com has had over eight million views and nearly one million unique visitors, indicating that it has reached a broad audience and that many educators return to the site to find content to support their work.

New York reached an agreement on educator evaluations with the NYSUT and codified requirements for a new educator evaluation system that will incorporate student growth measures for 40 percent of the rating and other measures (including teacher classroom observations) for 60 percent of the rating. The State also reviewed educator evaluation plans, called Annual Professional Performance Review (APPR) plans. The State worked to develop Student Learning Objectives (SLO) for the evaluation system and created a new Strengthening Teacher and Leader Effectiveness grant program to fund LEAs that wish to create teacher career ladders, performance-based compensation for effective educators, or recruitment and placement initiatives that distribute highly effective and effective teachers more equally. Additionally, the State launched two new clinically-rich teacher preparation programs, and another nine institutions of higher education (IHEs) planned such programs.

NYSED made progress on its comprehensive P-20 data system, deploying a new higher education data warehouse and a Teacher Roster Verification application. It awarded two SIF grants to support schools that were at risk of receiving a persistently low-achieving (PLA) designation. NYSED began to roll out its Diagnostic Tool for School and District Effectiveness (DTSDE), a new tool that measures

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[4] Additional State-specific data on progress against annual performance measures and goals reported in the Year 2 APRs can be found on the Race to the Top Data Display at www.rtt-apr.us.

performance against the conditions that the State has determined are optimal for effective schools and LEAs. It also awarded grants for the Systemic Supports for District and School Turnaround grants, which allow LEAs to enter into partnerships for targeted assistance to promote school improvement.

Challenges

New York struggled to stay on track with timeframes in its approved Race to the Top plan in Year 2. The State made numerous adjustments to timelines and approach to account for delays and other issues, which are described in further detail in this report and in the approved amendment letters posted on the Department's website. By the end of its Year 2 budget period, June 30, 2012, the State reported expenditures totaling 7.59 percent of its Race to the Top grant. The slow pace of spending is reflective of delays in the work, and indicative of the accelerated pace that will be required for New York to complete key grant activities prior to the end of the grant period.

The lawsuit filed by NYSUT over NYSED's interpretation of educator evaluation regulations in Year 1 created delays in initiating local negotiations of educator evaluation systems. As of September 30, 2012, 114 of 691 LEAs had approved plans. Additionally, NYSED made other Race to the Top competitive grants contingent on NYSED approval of the LEA's educator evaluation plan, thereby limiting the pool of LEAs eligible to receive such grants.

New York continued to face challenges in keeping on track with its timelines for procurements. For example, New York experienced a one-year delay with the Education Data Portal (EDP) due to a procurement issue. The State selected four vendors for the project in August 2012, meeting its revised timeline. The State did not release the request for proposals (RFP) for the grades six through eight (6-8) science and social studies assessments in Year 2, due to delays in revising the relevant standards. The Next Generation Science Standards and the National Arts Standards are still under development, and the State is participating in the review and development of both. Once the Standards are fully developed, the State's Board of Regents will determine whether the Standards should

be adopted for New York State. At the end of Year 2, the Board of Regents had not yet revised the State content frameworks for social studies. A draft of the K-8 Social Studies Frameworks was released for public comment in September 2012. A draft of the 9-12 Social Studies Frameworks was reviewed by the content advisory panel for social studies and will be released for public comment in early 2013. Both Frameworks will be revised after public comment. The RFP for curriculum modules for social studies, science, and the arts was not released in Year 2, due to the delays described above.

Of Race to the Top grantee States, New York has the most participating LEAs and most participating students. One of New York's greatest challenges has been coordinating its extensive agenda across diverse LEAs and schools. The Network Teams are the State's primary vehicles for connecting the reform agenda to the classroom. The State is using a "turnkey" training approach, in which individuals who are trained in the Network Team Institutes (NTIs) share their knowledge with others in their LEAs. This approach has created variability in the impact of the training on LEAs and schools. The State continues to work to ensure that Network Team initiatives are having the desired impact on instruction.

Looking ahead to Year 3

In Year 3, all New York LEAs will implement new teacher and principal evaluation systems. The State's grades three through eight (3-8) English language arts (ELA) and mathematics assessments will reflect the CCSS. In school year (SY) 2012-2013, the State has asked high school teachers to implement two CCSS units each semester. In SY 2013-2014, the State's Algebra I, Geometry, and English high school Regents exams will reflect the CCSS. In SY 2014-2015, the State's Algebra II high school Regents exam will reflect the CCSS. NYSED and LEAs will continue to develop curricular materials to support effective implementation. NYSED plans to launch the EDP and release EngageNY.org 2.0, an upgraded version of the current EngageNY.org website. Nine new clinically-rich graduate teacher preparation programs will join the two programs that launched in Year 2.

State Success Factors

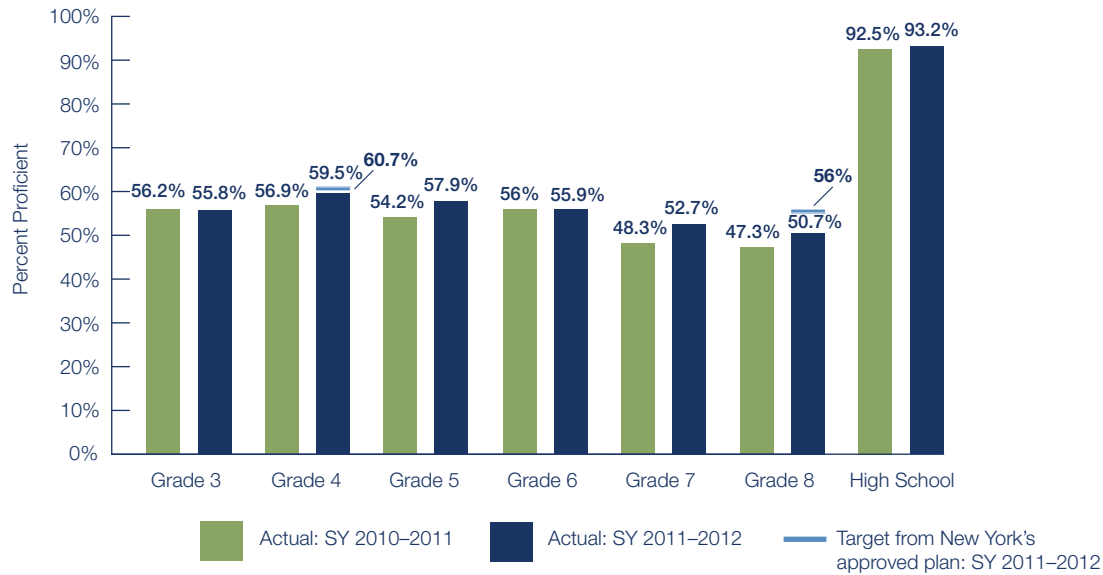## Building capacity to support LEAs

Performance management

NYSED's PMO has overseen Race to the Top implementation for most of the first two years of the grant. PMO staff worked with NYSED's "Assurance Area" teams, each of which focuses on one of the four education reform areas of the State's Race to the Top plan. NYSED, however, reorganized in summer 2012, breaking out the PMO into teams focused on key areas, such as NTI

implementation and content delivery, and monitoring and auditing. Project management staff members for each of the key education reform areas were embedded within the relevant NYSED program offices. In Year 2, NYSED staff working on the Race to the Top grant monitored contract costs and project schedules, ensured compliance with project terms and conditions, and facilitated internal decision-making and status meetings. All Race to the Top participating LEAs receive targeted professional development and support through three-person Network Teams of curriculum, data, and instruction experts.

Student Proficiency on New York's ELA Assessment

Percent Proficient

	Grade 3	Grade 4	Grade 5	Grade 6	Grade 7	Grade 8	High School
Actual: SY 2010–2011	56.2%	56.9%	54.2%	56%	48.3%	47.3%	92.5%
Actual: SY 2011–2012	55.8%	59.5% / 60.7%	57.9%	55.9%	52.7%	50.7% / 56%	93.2%

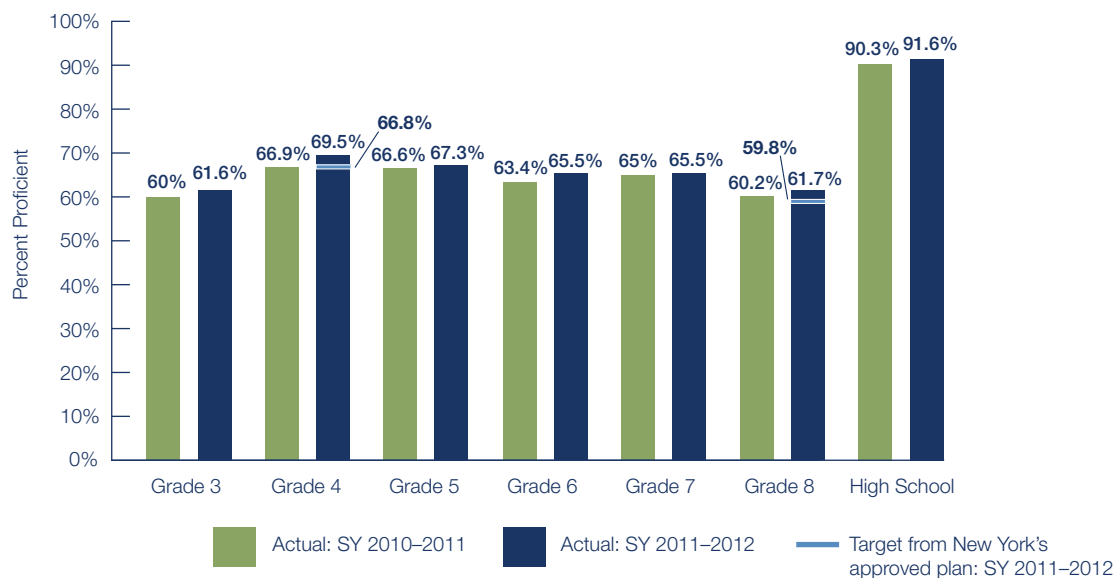■ Actual: SY 2010–2011   ■ Actual: SY 2011–2012   — Target from New York's approved plan: SY 2011–2012

Preliminary SY 2011–2012 data reported as of: September 17, 2012

NOTE: Over the last two years, a number of States adopted new assessments and/or cut scores.

For State-reported context, please refer to the Race to the Top APR at www.rtt-apr.us.

Student Proficiency on New York's Mathematics Assessment

Percent Proficient

	Grade 3	Grade 4	Grade 5	Grade 6	Grade 7	Grade 8	High School
Actual: SY 2010–2011	60%	66.9%	66.6%	63.4%	65%	59.8%	90.3%
Actual: SY 2011–2012	61.6%	69.5% / 66.8%	67.3%	65.5%	65.5%	60.2% / 61.7%	91.6%

■ Actual: SY 2010–2011   ■ Actual: SY 2011–2012   — Target from New York's approved plan: SY 2011–2012

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State Success Factors

Support and accountability for LEAs

As part of Year 2's targeted monitoring of Title I LEAs, NYSED deployed a data collection protocol for Race to the Top. The State asked each of the 50 LEAs undergoing monitoring visits to assess its Network Team's performance. It also asked each LEA to assess its own progress in implementing the CCSS, data-driven instruction, and new teacher and leader evaluation systems. NYSED also administered a statewide survey in April 2012 that assessed implementation progress and customer satisfaction with the Network Teams from multiple perspectives.

LEA participation

As depicted in the graphs below, New York reported 687 participating LEAs as of June 30, 2012. This represents over 95 percent of the State's kindergarten through twelfth grade (K-12) students and over 96 percent of its students in poverty.

Stakeholder engagement

Key activities and stakeholders

NYSED's methods to communicate directly with educators and LEA staff included conferences, training sessions, field visits, webinars, email updates, a Race to the Top website, and the EngageNY.org website. In Year 2, the State conducted outreach through Network Teams to build capacity in LEAs that the State determined needed additional support. New York also conducted outreach through Network Teams that the State determined in Year 2 needed additional capacity to support LEAs. In response, it hired three additional staff to manage Network Team communications and operations. Working directly with the Deputy Commissioner, these staff members draft content for the NYSED and EngageNY.org websites, create speeches and PowerPoints for the Commissioner to use, and assist with internal planning and logistics for NTI events.

NY provided professional development to Network Teams through NTIs, which occur every one to two months. The Network Teams then provide training to LEAs within their geographic regions. Each of the eight Year 2 NTIs attracted approximately 250 to 600 educators, focusing on different aspects of Race to the Top
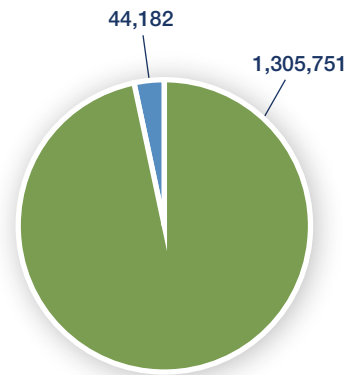

LEAs Participating in New York's Race to the Top Plan

237   687

- Participating LEAs (#)
- Other LEAs
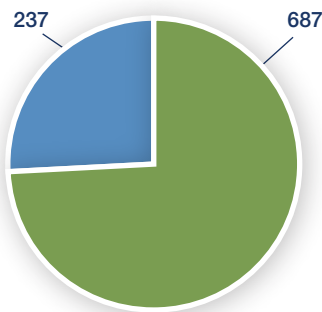
K-12 Students in LEAs Participating in New York's Race to the Top Plan

118,918   2,505,856

- K-12 Students (#) in participating LEAs
- K-12 Students (#) in other LEAs
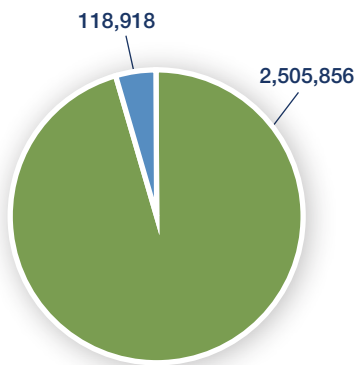
Students in Poverty in LEAs Participating in New York's Race to the Top Plan

44,182   1,305,751

- Students in Poverty (#) in participating LEAs
- Students in Poverty (#) in other LEAs

For State-reported context, please refer to the Race to the Top APR at www.rtt-apr.us.

EngageNY

Since the Year 1 launch of EngageNY.org, the website has had almost a quarter million unique visitors. On average, there are over 41,500 unique visits and about 300,000 page views each month. The State developed EngageNY.org 1.5 in Year 2 and launched the new site in fall 2012. EngageNY.org 1.5 improved navigation and access to curriculum modules and video resources. The site provides a filtering option on all audience landing pages that allows users to filter resources by grade level, subject area, and topic. NYSED also identifies the most sought-after content and elevates it to a "featured" status and displays this content across the website. EngageNY.org 1.5 also included limited social media e-communities functionality to help support the Network Teams' professional development initiative. EngageNY.org 2.0 will further expand the social media collaboration features.

reforms, including the CCSS, CCSS-aligned student assessments, and school-based inquiry training. All participating LEAs, either through Network Teams or Network Team Equivalents were represented. A five-day NTI in August 2012 introduced the content of new CCSS-aligned ELA and mathematics curriculum modules and was well-attended by LEA representatives from across the State (for more information on these modules, see *Standards and Assessments*). In addition, the State conducted NTIs on teacher and leader evaluation systems that included information about evidence-based observation and value-added measures. The State created a Network Team deliverables and performance targets document for SY 2011-2012, which can be found here: http://engageny.org/wp-content/uploads/2011/08/ntmetrics.pdf.

NYSED surveyed August 2012 participants by means of an online survey administered one week after the five-day training. NYSED analyzed the survey to determine whether the NTI met its objectives and to inform future trainings. In addition, daily feedback surveys were also administered to all participants at the August training. These formative assessments provided immediate feedback and allowed NYSED to make adjustments aligned with participants' expressed needs.

Continuous improvement

In response to delays in Year 1, the State revamped its process for developing Race to the Top RFPs in order to move them through the approval process more efficiently and expeditiously. The new process includes a cross-functional writing team with multiple checks by executive staff, counsel, and the NYSED contract unit. The PMO now maintains an RFP status report for all pending contracts and shares this information with program, administrative and executive staff. As implemented in Year 2, the new process improved coordination among Race to the Top projects at the State

level. In addition, the State reallocated funds to hire an attorney who assists with RFP reviews and prepares contracts with vendors and grantees. As of September 30, 2012, NYSED had posted 20 RFPs, Requests for Qualifications (RFQs), and Requests for Information (RFIs) related to its Race to the Top initiatives.

The NYSED School Turnaround Office (STO), in collaboration with the Office of Accountability, Policy and Administration Team, completed the programmatic review of SIG applications for 12 LEAs, including two new applicants. Seven LEAs received conditional approval, which was contingent upon submission of the required evaluation agreement for SY 2012-2013. LEAs must have NYSED-approved APPR plans for SY 2012-2013 in order to receive SIG funding for the year. As of September 30, 2012, all but 1 of the 12 LEAs have such a plan in place.
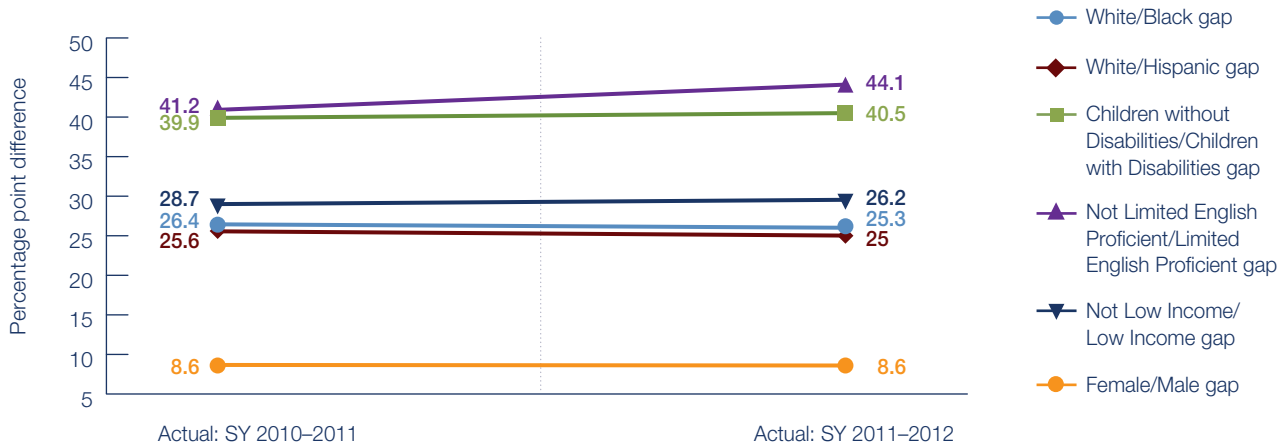
Successes, challenges, and lessons learned

Coordinating with a large number of participating LEAs and schools continued to prove difficult for New York. Due to the State's scale, NYSED has employed a "turnkey" training model to guide educators in implementing the components of the Regents Reform Agenda. In Year 2, the State worked to improve its stakeholder coordination through Network Teams, and it worked to refine its monitoring and communications plans. The State incorporated stakeholder feedback into its NTI planning, modifying agendas in response to educator needs and preferences. The State collected detailed survey data from Network Team stakeholders in summer 2012, which will be used to inform Network Team work in Year 3. The State continues to face challenges in ensuring fidelity of implementation in the field.

The State focused on providing more audio- and video-based resources in Year 3 to ensure that educators understand the CCSS shifts and the different elements of the new evaluation systems. In fall 2012, NYSED provided access to a video series to support teachers and principals in the development of SLOs. The EngageNY. org resource portal attracted nearly 500,000 unique visitors in Year 2, and the State expects that the new content will drive even more visitors to the site. Additionally, the State revamped its RFP process to reduce or avoid delays in future years.

In Year 2, the State continued to have a low level of expenditures against its approved Race to the Top budget, reporting expenditures of 7.59 percent of the total grant by June 30, 2012. In early Year 3, the State appeared to be increasing its rate of expenditure as major projects began to move forward. As of December 28, 2012, the State had drawn down nearly thirteen percent of its grant. New York will need to continue to accelerate project implementation and corresponding spending to stay on track to complete its projects during the grant period.

Achievement Gap on New York's ELA Assessment

Percentage point difference

	White/Black gap
	White/Hispanic gap
	Children without Disabilities/Children with Disabilities gap
	Not Limited English Proficient/Limited English Proficient gap
	Not Low Income/ Low Income gap
	Female/Male gap

41.2 → 44.1
39.9 → 40.5
28.7 → 26.2
26.4 → 25.3
25.6 → 25
8.6 → 8.6

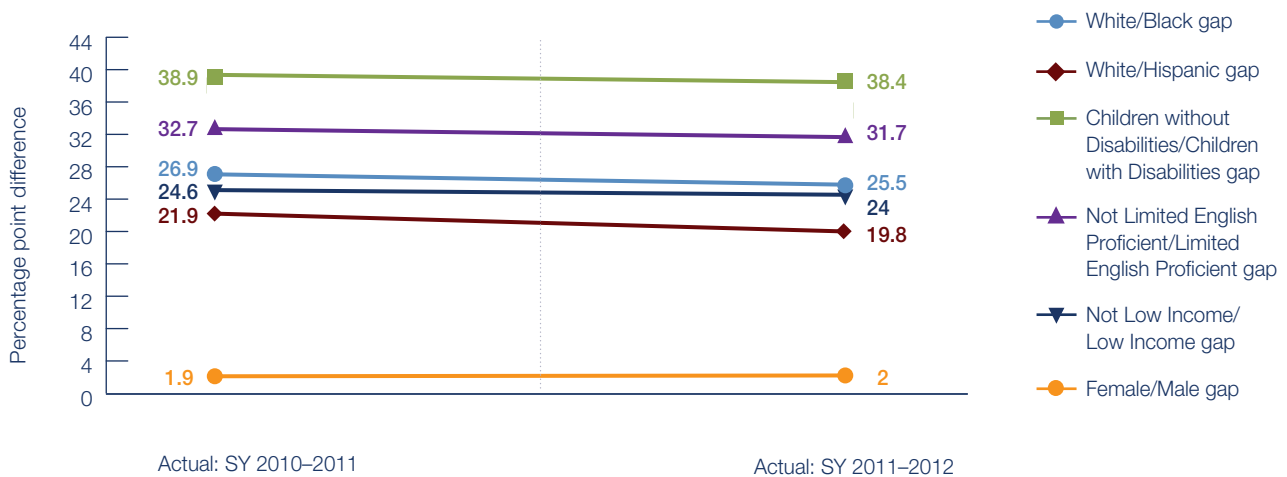Actual: SY 2010–2011   Actual: SY 2011–2012

Preliminary SY 2011–2012 data reported as of: September 17, 2012

NOTE: Over the last two years, a number of States adopted new assessments and/or cut scores.

Numbers in the graph represent the gap in a school year between two subgroups on the State's ELA assessment. Achievement gaps were calculated by subtracting the percent of students scoring proficient in the lower-performing subgroup from the percent of students scoring proficient in the higher-performing subgroup to get the percentage point difference between the proficiency of the two subgroups. If the achievement gap narrowed between two subgroups, the line will slope downward. If the achievement gap increased between two subgroups, the line will slope upward.

For State-reported context, please refer to the Race to the Top APR at www.rtt-apr.us.

Achievement Gap on New York's Mathematics Assessment

Percentage point difference

	White/Black gap
	White/Hispanic gap
	Children without Disabilities/Children with Disabilities gap
	Not Limited English Proficient/Limited English Proficient gap
	Not Low Income/ Low Income gap
	Female/Male gap

38.9 → 38.4
32.7 → 31.7
26.9 → 25.5
24.6 → 24
21.9 → 19.8
1.9 → 2

Actual: SY 2010–2011   Actual: SY 2011–2012

Preliminary SY 2011–2012 data reported as of: September 17, 2012

NOTE: Over the last two years, a number of States adopted new assessments and/or cut scores.

Numbers in the graph represent the gap in a school year between two subgroups on the State's ELA assessment. Achievement gaps were calculated by subtracting the percent of students scoring proficient in the lower-performing subgroup from the percent of students scoring proficient in the higher-performing subgroup to get the percentage point difference between the proficiency of the two subgroups. If the achievement gap narrowed between two subgroups, the line will slope downward. If the achievement gap increased between two subgroups, the line will slope upward.

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Standards and Assessments

Implementing rigorous college- and career-ready standards and assessments that prepare students for success in college and career is an integral aspect of education reform in all Race to the Top States.

Supporting the transition to college- and career-ready standards and high-quality assessments

New York adopted the CCSS in July 2010. The State's plan established SY 2011-2012 as the first of two transition years, working toward full implementation in SY 2013-2014. In Year 2, NYSED encouraged teachers to teach at least one CCSS-aligned unit each semester. One large LEA focused its Year 2 CCSS implementation requirement on students rather than teachers, requiring that each student participate in at least one CCSS-aligned unit each semester. The State facilitated the transition to the CCSS by providing curricular resources and professional development (see *Dissemination of Resources and Professional Development*, below). To meet its goal of fully implementing the CCSS in Year 4, the State is aligning its grades 3-8 ELA and mathematics assessments to CCSS. In Year 2, the State field tested CCSS-aligned items for grades 3-8 State assessments.

In November 2011, subject-specific Common Core Advisory Panels began to meet. Through the panels, approximately 80 educators, administrators, university staff, and curriculum/assessment experts advised NYSED staff on development and implementation of CCSS-aligned curricula and assessments.

New York is a governing member and active participant in the Partnership for Assessment of Readiness for College and Careers (PARCC), which is developing CCSS-aligned assessments in ELA and mathematics for SY 2014-2015. The State contributed staff time and expertise to PARCC for the development of content frameworks, and advised PARCC on the design of the PARCC assessments to ensure that they meet rigorous psychometric and validity criteria. The State actively engaged its IHEs in the design of high school assessments and the PARCC assessments. Postsecondary faculty provided feedback on college- and career-readiness determinations, performance level descriptors, and test design.

The State delayed the release of an RFP for new assessments in science and social studies for grades 6-8. The State planned to release the RFP in June 2012 and award the assessment contracts by mid-November 2012, with field tests in Year 4 preceding implementation of statewide assessments in SY 2014-2015. The State amended its timeframes to allow for additional time to revise the State's frameworks in science and social studies. The State's social studies frameworks are currently undergoing revision, and the State is awaiting final release of the Next Generation Science Standards and the National Arts Standards before aligning the State's current standards in those areas to the CCSS.

Dissemination of resources and professional development

In Year 2, New York worked to prepare its educators to implement the CCSS in their classrooms by developing new resources and providing professional development. The State delivered much of this professional development through NTIs (see *State Success Factors* section). In addition, State leaders, including the Commissioner, conducted regional events at least once a month, during which they traveled to LEAs around the State to discuss the CCSS.

New York continued to work toward its goal of providing educators with a resource library that supports CCSS implementation. The State already offers extensive CCSS information and materials through the EngageNY.org website, including curricular exemplars, which include sample lessons and instructional materials, sample assessment items, and the PARCC content frameworks.

In Year 2, the State continued to develop model curricular materials that will support educators as they transition to the CCSS. The State also encouraged LEAs to submit sample curriculum modules that could be placed in a repository at EngageNY.org. Additionally, NYSED established a multi-level review process for managing the EngageNY.org website and ensuring quality.

Also in Year 2, the State issued an RFP and selected vendors for CCSS-aligned curriculum modules in ELA, literacy, and mathematics. In summer 2012, the State began to roll-out P-12 scope and sequence documents for ELA and mathematics as well as the first vendor-produced pre-kindergarten through fifth grade curriculum modules. The State plans to continue to release ELA and mathematics curriculum modules during Year 3. The State faced delays in releasing the RFP for curriculum modules in science, social studies, and the arts, due to the timing of the State's revision of the social studies standards and the development of the Next Generation Science Standards and the National Arts Standards.

To further support educators' transition to new standards, New York is the pilot State for the Learning Resources Metadata Initiative. The project, a collaboration among education publishers, internet search engines, and CCSS vendors, aims to "tag" or label instructional resources based on their alignment to the CCSS. The project intends to make it easier for educators in all States to quickly access and use CCSS materials.

Additionally, in Year 2, the State developed a plan to create Higher Education Network Teams, which will help higher education faculty engage with the transition to the CCSS. Through professional development, higher education faculty will learn about the CCSS

transition shifts and determine how best to ensure that teacher and principal candidates are prepared for CCSS implementation (see *Great Teachers and Leaders* section).

Successes, challenges, and lessons learned

NYSED encouraged teachers to teach at least one CCSS-aligned unit in Year 2 each semester, the first of two transition years to the CCSS. To prepare for its planned use of CCSS-aligned assessments in Year 3, the State field tested CCSS-aligned test items in Year 2; however, the State experienced a delay in the release of the RFP for new science and social studies assessments that will align with new curricular standards in those content areas.

To support educators' transition to the CCSS, the State provided a growing collection of resources through EngageNY.org that included – as of summer 2012 – four exemplar curricular modules in mathematics and nine in ELA. A longer than expected RFP drafting process delayed the State's development of curricular modules, but NYSED was able to release its first vendor-produced curriculum modules in Year 2. These CCSS resources are of use not only to New York educators, but educators across the country.

Data Systems to Support Instruction

Statewide longitudinal data systems (SLDS) and instructional improvement systems (IIS) enhance the ability of States to effectively manage, use, and analyze education data to support instruction. Race to the Top States are working to ensure that their data systems are accessible to key stakeholders and that the data support educators and decision-makers in their efforts to improve instruction and increase student achievement.

Fully implementing an SLDS

New York continued to expand its SLDS into a comprehensive P-20 data system. The system will include an EDP that provides stakeholders access to data and resources that are tailored to each stakeholder group's needs, including tools for monitoring academic progress, curricular and instructional resources, and local school and LEA data. In Year 2, the State selected four vendors to support EDP development. Three vendors will provide options to LEAs for teacher, student, and parent dashboards that incorporate electronic student transcripts and an early warning system. The early warning system will use indicators to identify students at risk of academic failure or dropping out of school. LEAs will be able to select the solution that best meets the needs of their school community. One vendor will provide overall project management and other services to support the EDP, including a single sign-on portal for educators, students, and parents to access EDP and EngageNY.org resources. NYSED delayed EDP deployment until Year 3 because the State's initial proposed single source contract for the EDP was not approved.

The State further supported its SLDS upgrades through participation in Phase One of the Shared Learning Collaborative (SLC), an alliance that supports a shared technology infrastructure to support

implementation of the CCSS. In Year 2, the SLC nearly completed its development of the Shared Learning Infrastructure (SLI), an integrated data environment that includes curricula, assessments, and reporting tools. The State intends to integrate these tools into the EDP. In Year 3, the SLC will test the SLI through a pilot in New York City.

In Year 2, New York continued development of its P-20 data system. Once complete, this system will expand data collection and reporting linkages with the State's public colleges and universities, as well as other State agencies and data systems. To support data quality, the State implemented a number of data system governance practices. To date, the State has established technical capacity for P-20 data storage and direct access to its pre-kindergarten through twelfth grade data warehouse, which gave NYSED the technical ability to begin linking and sharing data. As part of its P-20 data system development, NYSED launched a higher education data warehouse that began collecting higher education data from the State's public IHEs in September 2012. NYSED has collected the data necessary to begin developing "Where are they now?" reports to provide postsecondary enrollment and outcome information to personnel in P-12 high schools and all LEAs.

Accessing and using State data

In March 2012, New York State launched the Teacher Roster Verification application, which enables teachers to view data reported to the State. The application allows teachers and principals to check the accuracy of class rosters to improve the accuracy of the teacher-student linkage data that inform student growth calculations. In Year 2, ELA and mathematics teachers for grades four through eight viewed the linkages and their student growth scores, and LEAs had access to growth scores for the schools in the LEA. As of May 2012, approximately 30,000 teachers in 600 LEAs had created accounts and accessed their reports.

The State sought stakeholder feedback to ensure that the EDP is easy to use and tailored to the needs of the stakeholder groups that will use it. NYSED received ongoing LEA input through weekly calls and monthly meetings with technical staff and project leads from each of the State's 12 Regional Information Centers, as well as the data system liaisons from the Big Five city districts. [5] These processes enabled the State to identify potential problems and tailor the system to users' needs.

Using data to improve instruction

The State aims to increase educators' use of data to improve instruction through new EDP tools, including data dashboards and early warning systems. New York understands that to achieve effective use of data to improve instruction, it must help educators use data rather than simply provide access. To this end, in Year 2, the State continued to train its Network Team members in the use of data to improve instruction. In turn, the Network Teams provided training to School-based Inquiry teams and Data Driven Instruction teams. Together, these teams will train and support educators on the use of data to improve instruction. In addition, the School-based Inquiry teams will analyze local data to create customized reports that detail specific issues in particular schools. The State trained 225,000 educators and administrators through the School-based Inquiry teams and Data Driven Instruction teams in Year 2.

Successes, challenges, and lessons learned

In Year 2, New York made solid progress toward building a comprehensive P-20 data system. The State's original EDP single source contract was not approved by the Office of the State Comptroller in Year 1, necessitating a revised timeline for EDP deployment. In response, New York decided to revise its approach by developing two RFPs for the EDP project: Data Dashboard Solutions and Content Management System Services Solutions. This approach resulted in awards to four vendors: three vendors to provide Data Dashboard Solutions and one vendor to provide Content Management System Services Solutions. In SY 2012-2013, LEAs will demonstrate the different dashboard options and select their preferred dashboard vendor. The State indicated that the EDP is on track for rollout in SY 2013-2014. The State also continues to engage with SLC efforts, with launch of the SLI planned for Year 3.

The State successfully expanded data collection and reporting linkages with the State's public colleges and universities, and also created reporting linkages with early childhood data. The State is awaiting legislation to link and share workforce data. In Year 3, New York will continue to work towards developing these linkages to better understand how prepared New York students are for college and careers.

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[5] The Big Five city school districts are Buffalo, New York City, Rochester, Syracuse, and Yonkers.

Great Teachers and Leaders

Race to the Top States are developing comprehensive systems of educator effectiveness by adopting clear approaches to measuring student growth; designing and implementing rigorous, transparent, and fair evaluation systems for teachers and principals; conducting annual evaluations that include timely and constructive feedback; and using evaluation information to inform professional development, compensation, promotion, retention, and tenure decisions. In addition, Race to the Top States are providing high-quality pathways for aspiring teachers and principals, ensuring equitable distribution of effective teachers and principals, improving the effectiveness of teacher and principal preparation programs, and providing effective supports to all educators.

Providing high-quality pathways for aspiring teachers and principals

New York is redesigning its teacher and school leader preparation programs by instituting clinically grounded instruction, performance-based assessments, and innovative new certification pathways for educators.

New York began to create new certification assessments for teachers and leaders. In Year 2, the State began designing two new assessments for teachers: the Educating All Students Test and Academic Literacy Skills Test. The State also worked to redesign the existing Content Specialty Tests. New York also piloted and field tested portfolios and other performance assessment frameworks for new school leaders in Year 2. The State executed a contract with a vendor to support the development of these assessments and convened committees of educator preparation experts. The State also convened expert committees to review drafts and provide feedback. The State's new teacher and leader assessments will be phased in starting in SY 2013-2014. NYSED also developed a communications and outreach plan to support implementation of the new assessments, which included a presentation to IHE faculty in summer 2012.

To further support effective educator preparation, New York launched new alternative certification programs for teachers. The State created "clinically-rich" teacher preparation programs, which recruit high-caliber candidates who are committed to teaching in high-need schools, incorporate an intensive residency, link theory to practice through a research-based curriculum, and focus on skills and practices that have been shown to make a difference in the classroom. In Year 2, the State awarded grants for 11 institutions to create graduate-level clinically-rich teacher preparation programs. Two of the institutions are currently running programs, and the remainder used Year 2 as a planning year and will implement in Year 3. The State also released the RFP for its undergraduate clinically-rich teacher preparation program in April 2012.

The State reallocated $10 million to support the Higher Education Faculty Development Program. These funds were formerly budgeted to improve principal preparation programs in the State. The new program has the same aim, but shifts emphasis towards supporting IHEs in preparing future educators for the reforms they will see in schools in the State, such as new educator evaluation systems and new college-and-career-ready standards. The program will engage both public and private teacher and principal preparation programs.

As part of the Higher Education Faculty Development Program, NYSED will work with the State's public university system and private IHEs to create Higher Education Network Teams composed of higher education faculty. Experts will provide professional development to program participants, who in turn, will train other faculty at their respective campuses. The trainings will focus on the transition to CCSS, performance assessments (*e.g.*, certification examinations, performance evaluations), data-driven instruction, and clinically rich teacher and leader preparation. Members of the Higher Education Network Teams will also collaborate with regional P-12 stakeholders and develop other resources that will support faculty in the same areas of focus as the trainings.

Improving teacher and principal effectiveness based on performance

LEAs in New York developed or are currently developing their APPRs, or educator evaluation systems, that use multiple measures of performance. APPRs must include student growth as a significant factor and separate educators into four distinct rating categories. The State faced a significant challenge in this area in June 2011 when NYSUT filed a lawsuit regarding the State's plans for using student growth data in teacher and principal evaluations. Until the lawsuit was resolved, LEAs were hindered in their ability to finalize collective bargaining agreements related to evaluation systems, since the lawsuit called into question how student growth was to be used in evaluations. These delays affected other programs that relied upon the new educator evaluation framework, including the competitive

grant programs that NYSED linked to APPR plan approval. As a result, New York used Year 1 and part of Year 2 to develop supports for LEAs for implementation of new evaluation systems.

After resolution of the lawsuit, the State finalized regulations based on its new agreement with NYSUT. In March, the Governor and legislative leaders reached an agreement to codify the elements of the NYSED-NYSUT agreement into State law. The regulations require that 20 percent of the APPR be based on student growth on State tests, 20 percent based on locally bargained growth measures, and 60 percent on other measures, including multiple classroom observations.

LEAs are required to develop APPR plans based on the State regulations and submit the plans and the relevant collective bargaining agreements for NYSED approval. The plans must include locally selected student growth measures, a proposal for how to use other measures, descriptions of how the LEA will assign points for each evaluation component, a method to ensure proper evaluator training, and a means to ensure that the LEA will handle appeals of evaluation results in a timely manner. LEAs statewide must have approved APPR plans by January 17, 2013 to receive their SY 2012-2013 State aid increase, per the State's 2012 budget. As of September 30, 2012, 114 LEAs had approved plans and more than 100 other LEAs had received feedback from NYSED on their APPR plans. New York posted 10 model APPR plans on its website to provide exemplars for LEAs that were developing their plans.

In Year 2, New York worked to support LEAs in the development of the locally determined student growth measure of the APPR. The State selected a vendor to develop methodologies and measures for the student growth component, including guidance on SLOs, which are one approved way of measuring student growth. In addition, the State posted a list of approved assessments for measuring the student growth component. The State's student growth model compared student achievement data from SY 2010-2011 and SY 2011-2012, controlling for multiple factors such as student demographic information. Under the model, each educator earned a score from one to 20, corresponding to one of four growth ratings that range from "ineffective" to "highly effective." Nine LEAs used these student growth data in their educator evaluations in SY 2011-2012 as part of SIG implementation.

Percentage of LEAs that Measure Student Growth
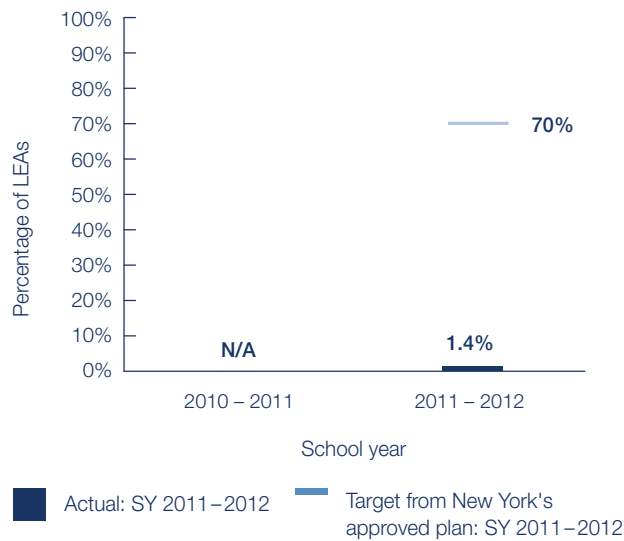
For State-reported context, please refer to the Race to the Top APR at www.rtt-apr.us.

The State requires LEAs to use approved rubrics for observation. While LEAs may submit their own rubrics for approval, the State also provided a list of approved rubrics for teacher and principal evaluations to assist LEAs. To ensure that evaluators apply rubrics consistently, the State awarded funding for vendors to develop trainings for teacher and principal evaluators.

The State introduced its educators to the APPR through professional development opportunities, monthly NTIs, and the EngageNY.org website, and an extensive portfolio of guidance resources. Additionally, NYSED created a survey aimed at helping it better understand all participating LEAs' status as it relates to implementation of the APPR.

New York actively participated in the ongoing RSN's SLO Working Group, composed of Race to the Top grantees that are interested in expanding their use of SLOs. The State also contributed to an RSN publication[6], released in July 2012, that informed peer States of their policy approaches, rules, and requirements governing their classroom observations used in teacher evaluations and supported States in drafting RFPs to procure video libraries.

[6] RSN publications can be found at http://www2.ed.gov/about/inits/ed/implementation-support-unit/tech-assist/index.html.

Great Teachers and Leaders

In Year 2, New York released an RFP to support LEAs in developing a full continuum of services related to teacher and leader effectiveness. The new Strengthening Teacher and Leader Effectiveness grant program aims to encourage and support LEAs that wish to use their new educator evaluation systems to develop, implement, and/or enhance a comprehensive systems approach to recruitment, development, retention, and equitable distribution of effective teachers and school leaders. Applicants were required to create initiatives that meet at least one of three criteria: (1) recruitment and placement initiatives that work toward equitable teacher distribution, (2) career ladders that enable educators who receive evaluation ratings of "effective" or "highly effective" to earn additional pay in exchange for increased responsibility, or (3) supplemental compensation for educators rated "effective" or "highly effective." New York released the RFP for the program in April 2012, and awards were announced in October 2012, with 17 LEAs awarded grants, and an additional 32 named eligible to receive grants upon approval of APPR plans. LEAs with grant awards began project implementation in fall 2012.

NYSED made progress in Year 2 in developing a concept for career ladder credentials for New York educators. The State worked with New York's Professional Standards and Practices Board for Teaching to assess the status of career ladders in New York (via a spring 2012 survey) and to study career ladder models from around the nation.

Ensuring equitable distribution of effective teachers and principals

New York's new Strengthening Teacher and Leader Effectiveness grant program was formulated by combining several related initiatives. New York has indicated that this approach will promote comprehensive initiatives that recognize and reward outstanding principals and teachers in hard-to-staff subjects; provide targeted financial incentives to bring highly effective teachers and principals into the State's neediest schools; and provide incentives to attract and retain effective teachers of science, technology, engineering, and mathematics (STEM) and other high-need subjects in the State's high-need middle and high schools.

Improving the effectiveness of teacher and principal preparation programs

To measure the effectiveness of teacher and principal preparation programs, New York adopted new educator preparation standards in January 2011. The State is creating performance profiles for preparation programs that include data on graduates' APPR ratings, with the first public release of profiles scheduled for fall 2014. The State intends to use the profiles to hold institutions accountable for the performance of their graduates. In Year 2, the State reached out to many IHEs to assist with the development of these profiles. To help teacher preparation programs meet the new standards, NYSED worked with the State's public university system to implement regional workshops for higher education faculty. Input sessions occurred in the summer of 2012 that focused on the CCSS, data-driven instruction, and educator evaluation.

Providing effective support to teachers and principals

In Year 2, NYSED issued the RFP for Model Teacher Induction Program grants NYSED has a requirement that all competitive grant recipients have approved APPR plans prior to receipt of funding. All three of the LEAs participating in this program have submitted APPR plans, and one LEA's APPR plan was approved in fall 2012. To support LEA implementation, NYSED extended the planning year for participants by two additional months, until August 2012, to allow more time for LEAs to train mentor teachers. This allowed the LEAs to better position themselves to implement the programs.

Successes, challenges, and lessons learned

In Year 2, New York worked to improve teacher preparation by revising new teacher and principal certification assessments and launching new clinically-rich teacher preparation programs. Two such programs opened in Year 2 and another nine prepared for Year 3 implementation. NYSED revised its plan to improve principal preparation by creating the Higher Education Faculty Development Program. It began developing new report cards for educator preparation programs in order to hold the programs accountable for their graduates' performance. New teachers in three LEAs will receive support through the Model Teacher Induction Program.
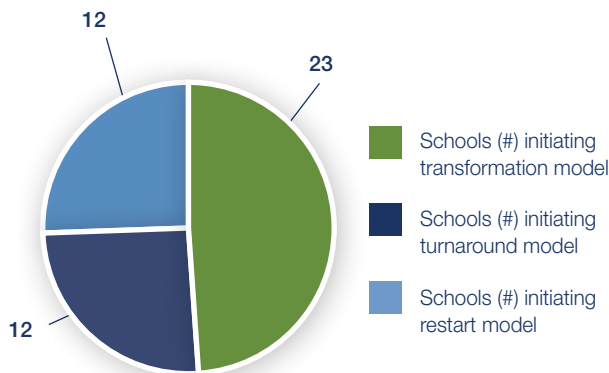
The State overcame a challenge in Year 2 when it resolved an NYSUT lawsuit regarding the teacher evaluation system. Following the lawsuit's resolution, New York codified requirements for the new teacher evaluation system, of which 40 percent will be based on student growth data and another 60 percent upon other measures that include classroom observations. NYSED worked to develop SLOs and began creating new certification assessments for teachers and leaders. The State developed a process to review and approve LEAs' APPR plans, and successfully implemented that process.

New York also consolidated several different smaller grant programs to create the new Strengthening Teacher and Leader Effectiveness program. The State indicated that this consolidation of funding represents a shift away from a "piecemeal" approach. The State believes that the new grant program incentivizes LEAs to align policies and practices along the entire career continuum. New York received a strong positive response from the field for this program, and made awards at the start of Year 3.

Turning Around the Lowest-Achieving Schools

Race to the Top States are supporting LEAs' implementation of far-reaching reforms to turn around lowest-achieving schools by implementing one of four school intervention models.[7]

School Intervention Models Initiated in New York in SY 2011–2012

- 12
- 23
- 12

- Schools (#) initiating transformation model
- Schools (#) initiating turnaround model
- Schools (#) initiating restart model

This data represents schools that initiated (that is, school(s) in the first year of implementation of) one of the four intervention models in SY 2011-2012.

For State-reported context, please refer to the Race to the Top APR at www.rtt-apr.us.

Support for the lowest-achieving schools

New York's Office of School Innovation (OSI) oversees the State's supports to low-achieving schools, school innovation, and safe and healthy schools, and houses the Board of Regents' charter school authorizing and oversight responsibilities for all public charter schools in the State. OSI manages the School Turnaround Office (STO), which disseminates information on best practices and proven models to educators in the field and distributes federal grants to re-structure and reframe schools and support district-level planning.

In Year 2, the STO hosted two meetings with LEA-level leaders, school principals, and instructional teachers and leaders that focused on best practices in the design and implementation of school intervention models. The meetings combined expert-led professional development with opportunities for educators to share best practices with one another. Over 100 educators attended each meeting. STO

hosted professional development related to school interventions throughout Year 2, following the NTI schedule. The State supported efforts to improve school performance through onsite visits to SIG recipients and other low-achieving schools. There, they met with educators and conducted focus groups. These visits informed NYSED's thinking related to the statewide school turnaround network and provided insight as to what elements of school turnaround need more intensive supports and assistance. In addition, the State launched the Academic Performance Plan, which is a tool for gathering performance indicators from SIG and PLA schools and LEAs. Representatives from the NYSED were active members of the RSN's Recruiting and Managing Third-Party Providers working group from February through May 2012. New York representatives led an RSN working group conference call on their State's approach to creating an internal understanding of State needs in order to best measure and assess vendor quality. The State representatives also shared the impact of vendor quality on the LEA and school level, particularly in the unique context of school turnaround.

In addition to Federal School Improvement Grant (SIG) and charter school funding (see *Charter Schools*), New York supports innovative school models through its School Innovation Fund grant. This fund enables LEAs to target low-performing schools that the State did not identify as PLA schools in order to change their performance trajectory. Grantee LEAs partner with external organizations to propose innovative and transformative new school models. The State made five preliminary awards in October 2011. Two schools accepted the funding in Year 2, while three schools withdrew due to their inability to reach an agreement on educator evaluation systems, a requirement of the grant. In June 2012, STO issued a second RFP and application kit. Nineteen priority schools submitted applications in August 2012 and NYSED anticipated making awards early in Year 3. Implementation for these five projects is on track to begin January of 2013. In the event that the State does not award all funds under this second competition, NYSED plans to issue additional RFPs and application kits until it fully expends the funds.

The STO further supports low-achieving schools through the Systemic Supports for District and School Turnaround grant program, targeted to the 18 LEAs that hold the State's identified priority schools. This grant opportunity helps LEAs build their capacity to reframe systems

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[7]Race to the Top States' plans include supporting their LEAs in turning around the lowest-achieving schools by implementing one of the four school intervention models:

- **Turnaround model:** Replace the principal and rehire no more than 50 percent of the staff and grant the principal sufficient operational flexibility (including in staffing, calendars/time and budgeting) to fully implement a comprehensive approach to substantially improve student outcomes.
- **Restart model:** Convert a school or close and reopen it under a charter school operator, a charter management organization, or an education management organization that has been selected through a rigorous review process.
- **School closure:** Close a school and enroll the students who attended that school in other schools in the district that are higher achieving.
- **Transformation model:** Implement each of the following strategies: (1) replace the principal and take steps to increase teacher and school leader effectiveness, (2) institute comprehensive instructional reforms, (3) increase learning time and create community-oriented schools, and (4) provide operational flexibility and sustained support.

and structures to both support and hold schools accountable. Capacity-building will take place through strategic and out-year planning at the LEA level, combined with Board development and budgeting work. In addition, this grant provides school building leadership assistance in designing and implementing the school-level conditions necessary to support the implementation of the CSSS, a system of teacher effectiveness, and a cycle of data-driven inquiry and action. In Year 2, NYSED requested applications for the program and made awards to seven districts. Eight additional districts met programmatic requirements and may receive awards once their APPR plans are approved.

NYSED worked to provide additional support to low-performing schools through the Commissioner's Schools Dissemination Grants. The program identified schools that are high-achieving or rapidly closing achievement gaps and seeks to scale these schools' best practices throughout the State. NYSED received eight applications for this program in Year 2 and awarded five grants in October 2012. A grant application will be issued inviting schools to apply to 'replicate' these self-identified best practices.

In Year 2, New York completed its first round of school evaluation visits to SIG recipient LEAs. In January 2012, the State suspended funds for 10 LEAs that did not meet New York's SIG program requirements. In addition to the Department's requirements for SIG schools, NYSED requires that these schools negotiate and implement teacher and principal contracts that permit evaluations based in part on student growth – in other words, that they submit to NYSED approvable APPR plans. As of summer 2012, 9 of the 10 LEAs had reached agreements with their local unions that allowed for restoration of funding for SY 2011-2012. The LEA that did not reach an agreement was New York City.

New York's approved Elementary and Secondary Education Act (ESEA) flexibility request[8] includes several important updates to the State's accountability system. Priority schools identified under the State's ESEA flexibility request will be eligible for the SIG 4 competition in Year 3.

Through a reorganization that occurred in July 2012, NYSED consolidated all school/LEA review activities within the School Improvement Team under the Office of Accountability. This team will use the Diagnostic Tool for School and District Effectiveness (DTSDE) to conduct site visits to priority schools, which include previously funded SIG schools. The State will implement DTSDE, which synthesizes NYSED's various diagnostic tools into a single tool that measures school and LEA performance against optimal conditions for effective schools and LEAs. Through DTSDE, the State aims to make State and Federal accountability efforts more cohesive. NYSED staff received four days of training on the DTSDE protocol in Year 2, and LEA staff and outside educational experts are expected to receive training in November and December 2012. New York piloted the DTSDE in summer 2012.

Diagnostic Tool for School and District Effectiveness (DTSDE)

DTSDE allows NYSED staff and members of LEA and school communities to assess school and district effectiveness. It is grounded in six tenets that are aligned to proven practices of effective schools: District Leadership and Capacity, School Leadership Practices and Decisions, Curriculum Development and Support, Teacher Practices and Decisions, Student Social and Emotional Developmental Health, and Family and Community Engagement. Reviews will be conducted by an Integrated Intervention team that includes NYSED staff, an outside educational expert selected by the LEA and approved by NYSED, an LEA representative, and, in some cases, experts in the education of English learners and/or students with disabilities. Implementation of DTSDE begins in SY 2012-2013.

To support its plan to deploy the DTSDE in Year 3, the State plans to issue a contract to a vendor for professional development assistance, creating a team to oversee the work and provide job-embedded coaching and support during DTSDE site visits. New York planned to begin this project in December 2012, but, at the end of Year 2, was delayed in releasing this RFP.

Successes, challenges, and lessons learned

New York faced serious challenges in implementation of SIG grants, School Innovation Fund grants, and Systemic Supports for District and School Turnaround grants due to LEA challenges in meeting the educator evaluation system requirements. Still, many LEAs identified as eligible for the grants were ultimately able to submit approvable APPR plans, and the State expects this work to get back on track in Year 3, given that NYSED was reviewing and approving APPR plans on a rolling basis during fall 2012.

The State began to provide funding to support LEAs in boosting student achievement at low-performing schools through several different grant programs, but faced some delays in making awards. New York amended its plan to provide additional support for training of evaluators for the DTSDE, supporting its theory of action that LEAs are in need of concrete, actionable feedback.

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[8] On September 23, 2011, the Department offered each interested State educational agency (SEA) the opportunity to request flexibility ("ESEA flexibility") on behalf of itself, its LEAs, and its schools, regarding specific requirements of the No Child Left Behind Act of 2001 (NCLB), in exchange for rigorous and comprehensive State-developed plans designed to improve educational outcomes for all students, close achievement gaps, increase equity, and improve the quality of instruction. For more information on ESEA Flexibility, see www.ed.gov/esea/flexibility.

In Year 2, New York made progress in approving new charter schools and met its milestones for new charter school authorization and accountability. From a pool of 80 applicants, the Board of Regents approved nine new public charter schools in September 2011. The 2012 RFP cycle (charter awards made in June and November 2012), authorized 11 additional charter schools that will begin operations in Year 4. The Regents are scheduled to make 2 additional charter awards in December 2012, bringing the 2012 RFP cycle award total to 13 new schools approved to open in fall 2013. In addition, the Board of Regents issued 15 new public school charters authorized by the State's other charter authorizer, the SUNY Board of Trustees. Further, the SUNY Board of Trustees authorized nine new public charter schools that will begin operation in Year 4. In SY 2012-2013, 209 charter schools are operating in New York State.

In Year 2, NYSED released a new, uniform charter school application for all public charter schools in the State. In June 2012, the Board of Regents adopted charter school enrollment and retention targets, as prescribed in the 2010 updates to the State's Charter Schools Act. In November 2012, the Board of Regents adopted a charter school renewal policy that clearly sets forth the process, priorities, and possible outcomes that will be considered in charter school renewal decisions. The policy established student performance as the primary consideration in renewal decisions, as required by the terms of the federal Charter Schools Program multi-year grant. Renewal decisions will be aligned with a Charter School Performance Framework that establishes qualitative and quantitative benchmarks for the evaluation of charter school performance. The Board of Regents endorsed the use of the Charter School Performance Framework in renewal decisions and charter school oversight.

Successes, challenges, and lessons learned

The Board of Regents was the most selective it has been in its history of authorizing charter schools, in alignment with the State's goal of ensuring that the State invest in programs likely to have a positive impact on student academic performance. The State also promoted high-quality charter schools through its new charter school renewal policy.

Emphasis on Science, Technology, Engineering, and Mathematics (STEM)

State's STEM initiatives

In Year 2, New York adopted regulations to create two new certification options for individuals with secondary teaching experience who also hold an advanced degree in STEM areas: the STEM pathway and the Transitional G certificate. These new pathways will expedite the path to certification for such candidates. The STEM pathway requires candidates to hold a graduate degree in their subject or a related field, while the Transitional G certificate allows individuals to teach mathematics or science without the ordinarily required two years of pedagogical coursework. After two years of successful experience, Transitional G certificate holders will become eligible for full certification.

After a year-long delay, the State selected a vendor to provide STEM professional development to secondary educators in high-poverty and low-performing schools. The workshops are targeted to teachers in high-need LEAs, in order to help them improve their content knowledge and pedagogical skills. More than 750 teachers attended the STEM summer intensive workshops in seven locations around New York State. The workshops delivered 30 hours of advanced virtual and face-to-face professional development training. Teachers participating in the professional development program will receive an additional training of 40 hours during SY 2012-2013 and SY 2013-2014. To meet its goal of serving 1,500 educators, NYSED is working with the vendor to recruit additional teachers to the program.

NYSED also combined its Virtual Schools/Digital Learning and Virtual Schools/Technical Assistance projects into a single project in order to fund three RFPs to support the development of: the Virtual Advanced Placement (VAP) Program, a Statewide Repository for Virtual Courses, and VAP Program Monitoring and Evaluation. The VAP Program goals are to provide incentives for larger and more diverse groups of students to participate and succeed in virtual learning advanced placement (AP) programs, and to increase the numbers of low-income and other disadvantaged students who receive AP credits. Strategic investments are made in: providing professional development for teachers to develop, conduct, and support virtual learning AP courses; improving targeted student access to virtual learning AP courses through the development of adequate programming infrastructure (*e.g.* hardware, software, courseware, licenses); and developing more virtual learning Advanced Placement courses for a repository to be shared statewide.

Emphasis on Science, Technology, Engineering, and Mathematics (STEM)

VAP Program grantees will be able to select from a menu of allowable activities, including offering new courses, converting existing AP courses to an online format, and purchasing curricular materials and assessments. NYSED released the RFP in August 2012, delayed from June 30, 2012. Awards were made and program start-up is planned to begin in January 2013.

NYSED planned to release its VAP Program Monitoring and Evaluation procurement RFP in July 2012, but was delayed and now plans to release the RFP in early Year 3. The vendor will inventory, monitor, collect, and analyze quantitative and qualitative data on VAP program efficacy. New York plans to release its Statewide Repository RFP and select a vendor in Year 3. The Statewide Repository will provide the support and services to capture, tag, and publish highly effective content to a statewide repository for the sharing of virtual courses.

Successes, challenges, and lessons learned

The State adopted regulations that provide eligible candidates with advanced degrees in STEM subject areas and teaching experience at the postsecondary level with two certification options: the Transitional G certificate and the Initial certificate. It awarded funds to provide professional development for secondary STEM educators in the State's highest-poverty and lowest-performing LEAs to equip them with skills and tools necessary to develop curricula and instructional strategies to teach advanced STEM courses. The State modified its plan to create three new RFPs that will fund a Statewide Repository for Virtual Courses, a VAP program, and monitoring and evaluation for the VAP program. The State, however, faced challenges in meeting the timeframes established for these three VAP projects.

Progress Updates on Invitational Priorities

Innovations for improving early learning outcomes

New York developed a long-term early childhood strategy that addresses curricula, assessment, and instruction. To inform this work, the State administered an extensive educator survey, conducted site visits to schools, and gathered input from a group of more than 7,000 educators. In Year 2, the State worked to implement several aspects of this strategy, including the development of curriculum modules, guidance on early learning assessments, and a rating system for early childhood programs.

The Office of Early Learning (OEL) developed and implemented a four-day professional work session for early learning teachers that focused on aligning instructional practice and experiences to the Common Core ELA standards. NYSED also implemented several initiatives aimed to improve the transition and alignment between early childhood education and later grades. To help early childhood educators align their instruction to the CCSS, the Board of Regents approved a Pre-kindergarten Foundation for the Common Core in October 2011. To support this work, the State published an RFP

for curriculum modules that cover all subjects and domains for pre-kindergarten through second grade; this RFP was published six months later than initially planned. This project includes the development of a self-assessment tool for LEAs to use to evaluate the effectiveness of their pre-kindergarten to kindergarten transitions. The State is on track to pilot this tool in Year 3.

Parents and caregivers will be able to assess the quality of early childhood programs based on the QUALITYstars rating system, which New York plans to implement for all programs that feed into its PLA schools. In February 2012, the State finalized a Memorandum of Understanding between NYSED and the CUNY Early Childhood Professional Development Institute to implement the rating system. In spring 2012, NYSED conducted 39 QUALITYstars information sessions throughout the State. The sessions were intended to help eligible programs understand the program and application requirements.

NYSED posted the applications for family daycare providers and center-based programs to participate in QUALITYstars on May 21, 2012. Approximately 370 early childhood programs applied from the identified high-need areas of the State.

Looking Ahead to Year 3

In Year 3, New York plans to use CCSS-aligned assessments in ELA and mathematics for grades 3-8 in preparation for full CCSS implementation during Year 4. The State will continue to develop and release CCSS curriculum modules and other resources for educators. NYSED will continue to conduct professional development for educators on CCSS and other initiatives through NTIs, and will expand the EngageNY.org resource portal. Surveys and educator feedback will continue to inform improvements to NTIs and other projects.

The grantees for the Strengthening Teacher and Leader Effectiveness program will begin implementation of their plans to recruit, support, and retain effective educators. Additionally, the State has indicated that all LEAs in New York must have approved teacher and principal evaluation plans by January 17, 2013 to receive their 2012-2013 State aid increase. LEAs will begin implementation of the evaluation plans in SY 2012-2013.

In Year 3, the State will pilot the SLI, develop the EDP, and train educators on data-informed instruction. LEAs will select a data dashboard solution for the EDP, the first step toward leveraging the resources to be provided through the EDP.

In Year 3, IHEs will implement the undergraduate clinically-rich teacher preparation programs and the final nine graduate clinically-rich teacher preparation programs. Three LEAs will implement model teacher induction programs, and the Higher Education Faculty Development Program will help teacher and principal preparation programs stay abreast of new initiatives and requirements. In addition, the State will continue development of new educator certification assessments.

New York will continue to support and evaluate its low-achieving schools. In addition, the State will award additional SIG and SIF grants. DTSDE reviewers will be trained to use the DTSDE to provide clearer and more consistent direction to LEAs on how to improve student performance. The Dissemination Grant recipients will support low-performing schools receiving Replication Grant funds in replicating best practices in order to raise student achievement.

NYSED will promote college- and career-readiness through a competitive grant program to develop LEA capacity to provide virtual learning AP coursework.

Budget

For the State's expenditures through June 30, 2012, please see the APR at www.rtt-apr.us.

For State budget information, see http://www2.ed.gov/programs/racetothetop/state-scope-of-work/index.html.

For the State's fiscal accountability and oversight report, please see http://www2.ed.gov/programs/racetothetop/performance.html.

Alternative routes to certification: Pathways to certification that are authorized under the State's laws or regulations that allow the establishment and operation of teacher and administrator preparation programs in the State, and that have the following characteristics (in addition to standard features such as demonstration of subject-matter mastery, and high-quality instruction in pedagogy and in addressing the needs of all students in the classroom including English learners and students with disabilities): (a) can be provided by various types of qualified providers, including both institutions of higher education and other providers operating independently from institutions of higher education; (b) are selective in accepting candidates; (c) provide supervised, school-based experiences and ongoing support such as effective mentoring and coaching; (d) significantly limit the amount of coursework required or have options to test out of courses; and (e) upon completion, award the same level of certification that traditional preparation programs award upon completion.

Amendment requests: In the event that adjustments are needed to a State's approved Race to the Top plan, the grantee must submit an amendment request to the Department for consideration. Such requests may be prompted by an updated assessment of needs in that area, revised cost estimates, lessons learned from prior implementation efforts, or other circumstances. Grantees may propose revisions to goals, activities, timelines, budget, or annual targets, provided that the following conditions are met: the revisions do not result in the grantee's failure to comply with the terms and conditions of this award and the program's statutory and regulatory provisions; the revisions do not change the overall scope and objectives of the approved proposal; and the Department and the grantee mutually agree in writing to the revisions. The Department has sole discretion to determine whether to approve the revisions or modifications. If approved by the Department, a letter with a description of the amendment and any relevant conditions will be sent notifying the grantee of approval. (For additional information please see http://www2.ed.gov/programs/racetothetop/amendments/index.html.)

America COMPETES Act elements: The twelve indicators specified in section 6401(e)(2)(D) of the America COMPETES Act are: (1) a unique statewide student identifier that does not permit a student to be individually identified by users of the system; (2) student-level enrollment, demographic, and program participation information; (3) student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P–16 education programs; (4) the capacity to communicate with higher education data systems; (5) a State data audit system assessing data quality, validity, and reliability; (6) yearly test records of individual students with respect to assessments under section 1111(b) of the ESEA (20 U.S.C. 6311(b)); (7) information on students not tested by grade and subject; (8) a teacher identifier system with the ability to match teachers to students; (9) student-level transcript information, including information on courses completed and grades earned; (10) student-level college-readiness test scores; (11) information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework; and (12) other information determined necessary to address alignment and adequate preparation for success in postsecondary education.

American Recovery and Reinvestment Act of 2009 (ARRA): On February 17, 2009, President Obama signed into law the ARRA, historic legislation designed to stimulate the economy, support job creation, and invest in critical sectors, including education. The Department of Education received a $97.4 billion appropriation.

Annual Performance Report (APR): Report submitted by each grantee with outcomes to date, performance against the measures established in its application, and other relevant data. The Department uses data included in the APRs to provide Congress and the public with detailed information regarding each State's progress on meeting the goals outlined in its application. The final State APRs are found at www.rtt-apr.us.

College- and career-ready standards: State-developed standards that build toward college and career readiness by the time students graduate from high school.

Common Core State Standards (CCSS): Kindergarten through twelfth grade (K-12) English language arts and mathematics standards developed in collaboration with a variety of stakeholders including States, governors, chief State school officers, content experts, teachers, school administrators, and parents. The standards establish clear and consistent goals for learning that will prepare America's children for success in college and careers. As of December 2011, the CCSS were adopted by 45 States and the District of Columbia.

The **education reform areas** for Race to the Top: (1) Standards and Assessments: Adopting rigorous college- and career-ready standards and assessments that prepare students for success in college and career; (2) Data Systems to Support Instruction: Building data systems that measure student success and support educators and decision-makers in their efforts to improve instruction and increase student achievement; (3) Great Teachers and Great Leaders: Recruiting, developing, retaining, and rewarding effective teachers and principals; and (4) Turning Around the Lowest-Achieving Schools: Supporting LEAs' implementation of far-reaching reforms to turn around lowest-achieving schools by implementing school intervention models.

Effective teacher: A teacher whose students achieve acceptable rates (*e.g.*, at least one grade level in an academic year) of student growth (as defined in the Race to the Top requirements). States, LEAs,

or schools must include multiple measures, provided that teacher effectiveness is evaluated, in significant part, by student growth (as defined in the Race to the Top requirements). Supplemental measures may include, for example, multiple observation-based assessments of teacher performance.

High-minority school: A school designation defined by the State in a manner consistent with its Teacher Equity Plan. The State should provide, in its Race to the Top application, the definition used.

High-poverty school: Consistent with section 1111(h)(1)(C)(viii) of the ESEA, a school in the highest quartile of schools in the State with respect to poverty level, using a measure of poverty determined by the State.

Highly effective teacher: A teacher whose students achieve high rates (*e.g.*, one and one-half grade levels in an academic year) of student growth (as defined in the Race to the Top requirements). States, LEAs, or schools must include multiple measures, provided that teacher effectiveness is evaluated, in significant part, by student growth (as defined in the Race to the Top requirements). Supplemental measures may include, for example, multiple observation-based assessments of teacher performance or evidence of leadership roles (which may include mentoring or leading professional learning communities) that increase the effectiveness of other teachers in the school or LEA.

Instructional improvement systems (IIS): Technology-based tools and other strategies that provide teachers, principals, and administrators with meaningful support and actionable data to systemically manage continuous instructional improvement, including such activities as instructional planning; gathering information (*e.g.*, through formative assessments (as defined in the Race to the Top requirements), interim assessments (as defined in the Race to the Top requirements), summative assessments, and looking at student work and other student data); analyzing information with the support of rapid-time (as defined in the Race to the Top requirements) reporting; using this information to inform decisions on appropriate next instructional steps; and evaluating the effectiveness of the actions taken. Such systems promote collaborative problem-solving and action planning; they may also integrate instructional data with student-level data such as attendance, discipline, grades, credit accumulation, and student survey results to provide early warning indicators of a student's risk of educational failure.

Invitational priorities: Areas of focus that the Department invited States to address in their Race to the Top applications. Applicants did not earn extra points for addressing these focus areas, but many grantees chose to create and fund activities to advance reforms in these areas.

Involved LEAs: LEAs that choose to work with the State to implement those specific portions of the State's plan that necessitate full or nearly-full statewide implementation, such as transitioning to a common set of K-12 standards (as defined in the Race to the Top requirements). Involved LEAs do not receive a share of the 50 percent of a State's grant award that it must subgrant to LEAs in accordance with section 14006(c) of the ARRA, but States may provide other funding to involved LEAs under the State's Race to the Top grant in a manner that is consistent with the State's application.

Participating LEAs: LEAs that choose to work with the State to implement all or significant portions of the State's Race to the Top plan, as specified in each LEA's agreement with the State. Each participating LEA that receives funding under Title I, Part A will receive a share of the 50 percent of a State's grant award that the State must subgrant to LEAs, based on the LEA's relative share of Title I, Part A allocations in the most recent year at the time of the award, in accordance with section 14006(c) of the ARRA. Any participating LEA that does not receive funding under Title I, Part A (as well as one that does) may receive funding from the State's other 50 percent of the grant award, in accordance with the State's plan.

The **Partnership for Assessment of Readiness for College and Careers (PARCC):** One of two consortia of States awarded grants under the Race to the Top Assessment program to develop next-generation assessment systems that are aligned to common K-12 English language and mathematics standards and that will accurately measure student progress toward college and career readiness. (For additional information please see http://www.parcconline.org/.)

Persistently lowest-achieving schools: As determined by the State, (i) any Title I school in improvement, corrective action, or restructuring that (a) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and (ii) any secondary school that is eligible for, but does not receive, Title I funds that (a) is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years. To identify the lowest-achieving schools, a State must take into account both (i) the academic achievement of the "all students" group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and (ii) the school's lack of progress on those assessments over a number of years in the "all students" group. (For additional information please see http://www2.ed.gov/programs/sif/index.html.)

Qualifying evaluation systems: Educator evaluation systems that meet the following criteria: rigorous, transparent, and fair evaluation

systems for teachers and principals that: (a) differentiate effectiveness using multiple rating categories that take into account data on student growth as a significant factor, and (b) are designed and developed with teacher and principal involvement.

Reform Support Network (RSN): In partnership with the ISU, the RSN offers collective and individualized technical assistance and resources to grantees of the Race to the Top education reform initiative. The RSN's purpose is to support the Race to the Top grantees as they implement reforms in education policy and practice, learn from each other and build their capacity to sustain these reforms.

The **School Improvement Grants (SIG)** program is authorized under section 1003(g) of Title I of the ESEA. Funds are awarded to States to help them turn around persistently lowest-achieving schools. (For additional information please see http://www2.ed.gov/programs/sif/index.html.)

School intervention models: A State's Race to the Top plan describes how it will support its LEAs in turning around the lowest-achieving schools by implementing one of the four school intervention models:

- *Turnaround model:* Replace the principal and rehire no more than 50 percent of the staff and grant the principal sufficient operational flexibility (including in staffing, calendars/time and budgeting) to fully implement a comprehensive approach to substantially improve student outcomes.

- *Restart model:* Convert a school or close and reopen it under a charter school operator, a charter management organization, or an education management organization that has been selected through a rigorous review process.

- *School closure:* Close a school and enroll the students who attended that school in other schools in the district that are higher achieving.

- *Transformation model:* Implement each of the following strategies: (1) replace the principal and take steps to increase teacher and school leader effectiveness, (2) institute comprehensive instructional reforms, (3) increase learning time and create community-oriented schools, and (4) provide operational flexibility and sustained support.

Single sign-on: A user authentication process that permits a user to enter one name and password in order to access multiple applications.

The **SMARTER Balanced Assessment Consortium (Smarter Balanced):** One of two consortia of States awarded grants under the Race to the Top Assessment program to develop next-generation assessment systems that are aligned to common K-12 English language and mathematic standards and that will accurately measure student progress toward college and career readiness. (For additional information please see http://www.k12.wa.us/SMARTER/default.aspx.)

The **State Scope of Work:** A detailed document for the State project that reflects the grantee's approved Race to the Top application. The State Scope of Work includes items such as the State's specific goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures. (For additional information please see http://www2.ed.gov/programs/racetothetop/state-scope-of-work/index.html.) Additionally, all participating LEAs are required to submit Scope of Work documents, consistent with State requirements, to the State for its review and approval.

Statewide longitudinal data systems (SLDS): Data systems that enhance the ability of States to efficiently and accurately manage, analyze, and use education data, including individual student records. The SLDS help States, districts, schools, educators, and other stakeholders to make data-informed decisions to improve student learning and outcomes, as well as to facilitate research to increase student achievement and close achievement gaps. (For additional information please see http://nces.ed.gov/Programs/SLDS/about_SLDS.asp.)

Student achievement: For the purposes of this report, student achievement (a) for tested grades and subjects is (1) a student's score on the State's assessments under the ESEA; and, as appropriate, (2) other measures of student learning, such as those described in paragraph (b) of this definition, provided they are rigorous and comparable across classrooms; and (b) for non-tested grades and subjects, alternative measures of student learning and performance such as student scores on pre-tests and end-of-course tests; student performance on English language proficiency assessments; and other measures of student achievement that are rigorous and comparable across classrooms.

Student growth: The change in student achievement (as defined in the Race to the Top requirements) for an individual student between two or more points in time. A State may also include other measures that are rigorous and comparable across classrooms.

Value-added models (VAMs): A specific type of growth model based on changes in test scores over time. VAMs are complex statistical models that generally attempt to take into account student or school background characteristics in order to isolate the amount of learning attributable to a specific teacher or school. Teachers or schools that produce more than typical or expected growth are said to "add value."