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# Implementation of Title I and Title II-A Program Initiatives: Results From 2013–14

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## **Disclosure of Potential Conflicts of Interest**

The study team for this project consists of a prime contractor, Westat and a subcontractor, Mathematica Policy Research. Neither of these organizations or their key staff has financial interests that could be affected by findings from this study, *Implementation of Title I and Title II-A Program Initiatives: Results from 2013–14*.

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## Acknowledgments

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## Executive Summary

### A. Introduction

This report describes the implementation of policies and initiatives supported by Title I and Title II-A of the federal Elementary and Secondary Education Act (ESEA)<sup>1</sup> during the 2013–14 school year. Title I is one of the U.S. Department of Education’s largest programs, accounting for \$15 billion in the 2016 federal budget. Historically, Title I has provided financial assistance to schools and districts with a high percentage of students from low-income families to help increase these students’ achievement.

Title II-A of ESEA (Improving Teacher Quality State Grants) likewise provides substantial federal resources to support the education of low-income students, focusing specifically on improving educator quality. Title II-A funds may be used for teacher recruitment and retention, professional development, mentoring, induction, or class-size reduction. State grants under Title II-A amount to over \$2 billion in the 2016 federal budget.

Over the past decade, there have been notable changes in federal and state education policies to increase the rigor of content standards and develop richer assessments; the use of student achievement growth (alongside proficiency levels) in school accountability measures; additional federal funds (as part of the American Recovery and Reinvestment Act<sup>2</sup>) to support the turnaround of chronically low-performing schools; and initiatives to promote educator effectiveness, particularly through the development of new educator evaluation systems (promoted by Race to the Top and the Department of Education’s ESEA flexibility initiative). Titles I and II-A of ESEA were major vehicles for providing federal funding supporting these initiatives and establishing regulations to promote them.

ESEA was subsequently re-authorized in December 2015 with the Every Student Succeeds Act (ESSA).<sup>3</sup> ESSA departs in substantial ways from prior federal policy, giving states more discretion to design and implement their own policies regarding the use of funds from Titles I and II-A..

This report uses nationally representative data collected during the 2013–14 school year to examine the implementation of policies promoted through Title I and Title II-A of ESEA. Using surveys of states, districts, principals, and teachers alongside extant data and documents, this report describes trends in student achievement as well as policy and practice in 2013–14 in three core areas: (1) state content standards and assessments in math and reading/ELA, (2) school accountability, and (3) teacher and principal evaluation and support. Several prior studies have examined one or more of these areas (Hyslop 2013; Rentner 2013; Achieve 2015; Pennington 2014; Doherty & Jacobs 2015); however, these studies use data collected only from states, or in one case from a non-nationally representative sample of schools. This report provides policymakers with detailed information on how ESEA provisions in these

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<sup>1</sup> The Elementary and Secondary Education Act as reauthorized by the No Child Left Behind Act of 2001 (2002), P.L. 107-110, 20 U.S.C. § 6301 *et seq.*

<sup>2</sup> American Recovery and Reinvestment Act of 2009, P.L. 111-5, 26 U.S.C. § 1 *et seq.*

<sup>3</sup> Every Student Succeeds Act of 2015, P.L. 114-95, 20 U.S.C. § 6301 *et seq.*

three areas have been playing out in states, districts, schools, and classrooms across the country. Prior to examining implementation, the report describes trends in student outcomes, particularly on the National Assessment of Educational Progress (NAEP), to provide context for the implementation findings.

### ***Key Findings***

- **Proficiency rates on the NAEP slightly increased from 2005 to 2015.** For example, the percentage of public school students proficient in 4th-grade math was 35 percent in 2005 and increased to 39 percent in 2015. Increases in proficiency between 2005 and 2015 were evident in reading and math; in elementary, middle, and high school grades; across racial and ethnic groups; and in the large majority of individual states.
- **Most states adopted and most principals and teachers reported implementing state standards that focused on college- and career-readiness in 2013–14.** All 43 states with ESEA flexibility committed to having college- and career-ready standards in place by 2013–14 and seven of the eight states without flexibility had adopted college- and career-ready standards through the Common Core State Standards. Sixty-nine percent of principals reported fully implementing state content standards in ELA in all grades in their schools; in math, 67 percent of principals reported full implementation. Most teachers (79 percent) reported receiving professional development related to state content standards, and a large majority (92 percent) reported weekly use of instructional activities likely to promote the attainment of college- and career-ready standards. High school principals and teachers reported less implementation of standards and more challenges to implementation, relative to elementary and middle school principals and teachers.
- **Many state assessments incorporated more sophisticated response formats to better assess students' college- and career-readiness.** In their reading/ELA summative assessments, 24 to 36 states (depending on grade level) reported using extended constructed-response formats, a type of response format intended to assess higher-order thinking skills. Nineteen states used this response format in math assessments.
- **States used ESEA flexibility to move away from the 100 percent proficiency goal required under the 2002 reauthorization of ESEA (known as the No Child Left Behind Act (NCLB)) and to target a narrower set of schools—those with persistently lowest performance or substantial student achievement gaps—for additional support.** Twenty-eight of the 43 states with ESEA flexibility adopted a goal of reducing by half the percentage of students and subgroups not proficient in 6 to 8 years. States with ESEA flexibility identified 5 percent of Title I schools as lowest performing and an additional 10 percent of Title I schools with substantial student achievement gaps, while states still operating under NCLB identified 43 percent of Title I schools as lowest performing. Schools identified as lowest-performing in states with flexibility were more likely to implement resource-intensive strategies than schools identified as lowest-performing in states without flexibility. Few of the lowest-

performing schools adopted the most-aggressive available interventions, regardless of the state's flexibility status.

- **Almost all states adopted new laws or regulations related to educator evaluation systems between 2009 and 2014, and 60 percent of districts reported full or partial implementation in 2013–14.** Overall, 32 percent of districts reported fully implementing a new teacher evaluation system, and an additional 27 percent were piloting or partially implementing a new system. However, only 18 percent of the districts reported using system characteristics consistent with emerging research (e.g., Kane & Staiger 2012; Kane, McCaffrey, Miller, & Staiger 2013; Whitehurst, Chingos, & Lindquist 2014), such as student achievement growth using statistical adjustments for student characteristics, multiple observations conducted by trained and certified observers using a professional practice rubric, and at least three performance categories.

## **B. Data Sources, Sample Design, Data Collection, and Analysis Methods**

To examine the implementation of Titles I and II-A, the study team administered surveys to state administrators, district administrators, principals, and teachers in spring and summer 2014. We also reviewed state documents; information on school improvement status, school Title I status, and proficiency on state assessments from *EDFacts*; achievement data from NAEP; and information on school characteristics from the Common Core of Data.

The study sample included all states plus the District of Columbia and nationally representative samples of districts, schools, and core academic<sup>4</sup> and special education teachers. All states, 99 percent of districts, 87 percent of principals, and 80 percent of teachers responded. In total, survey responses were received from all 50 states and the District of Columbia, 562 districts, 1,091 schools, and 6,346 teachers.

The study addresses five research questions:

1. How has student achievement changed over time?
2. What content standards and high school graduation requirements are states adopting, and what materials and resources do states, districts, and schools provide to help teachers implement the state content standards?
3. What assessments do states and districts use (in terms of assessment format and coverage of grade levels and content areas), and what materials and resources do states, districts, and schools provide to support the implementation of assessments and use of assessment data?
4. What elements are included in states' accountability systems? How do states and districts identify and reward their highest-performing schools, identify and support their lowest-

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<sup>4</sup> Core academic teachers are those whose primary subject taught was general elementary, reading/ELA, math, science, or social studies.

performing schools, and offer differentiated support for schools that are neither highest-performing nor lowest-performing?

5. How do states and districts evaluate teacher and principal effectiveness and assess equitable distribution of teachers and principals, and what supports do states, districts, and schools provide to improve teacher and principal effectiveness?

Descriptive statistics (e.g., means, frequencies, percentages) and simple statistical tests (e.g., tests for differences of proportions) were used to answer the research questions. The study was not designed to produce causal inferences, and all comparisons should be interpreted as purely descriptive. In particular, the research design does not support claims about the effects of federal policies.

In addition to examining implementation of Titles I and II-A policies and practices nationally, we looked for differences by state, district, school, and teacher characteristics to determine if some types of respondents were more likely than others to report implementing particular reforms. For selected questions, we examined differences by school grade span, Title I status, district size, state or district ESEA flexibility status, state or district teacher/principal evaluation system implementation status, teacher's primary subject taught, and school poverty.

### **C. Trends in Student Proficiency and Graduation Rates**

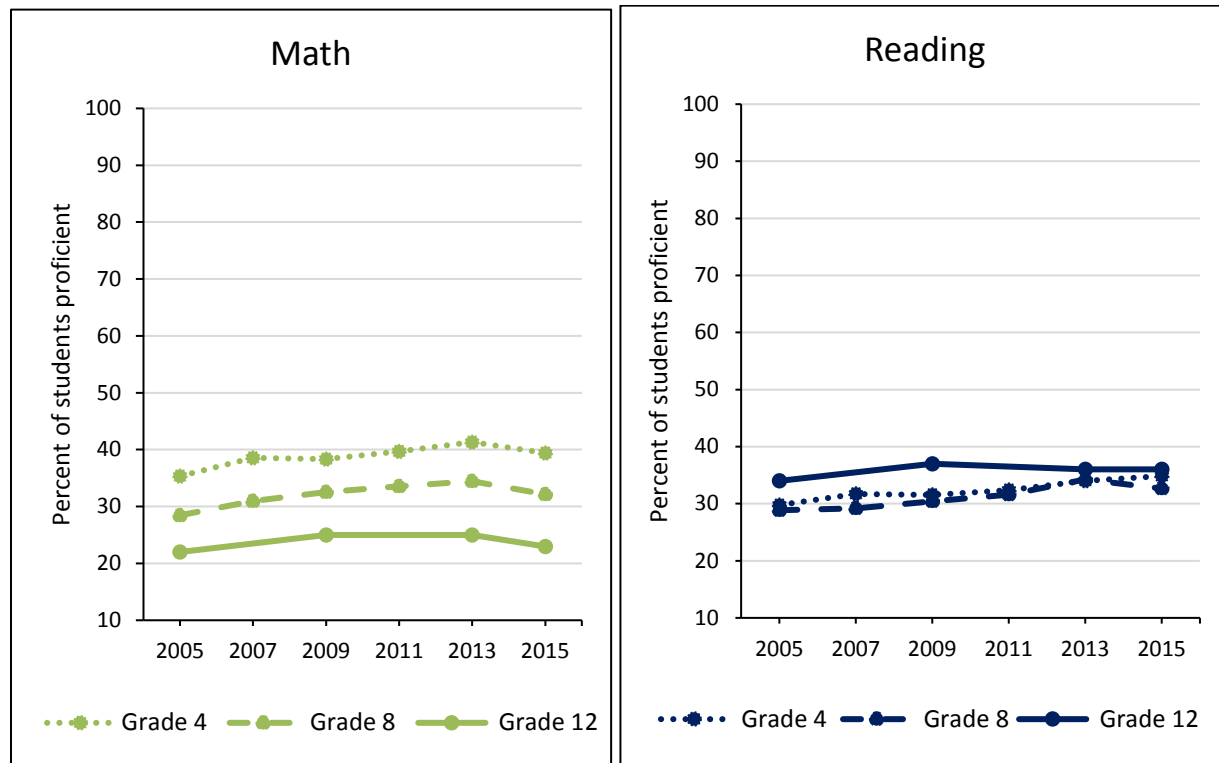
We examined trends in student proficiency in reading and math according to NAEP and according to states' own assessments as well as high school graduation rates.<sup>5</sup> Changes in student achievement cannot be attributed to any particular policy or practice examined in this report, but they provide context for the report's implementation findings.

**Nationally, NAEP proficiency rates increased slightly from 2005 to 2015 in reading and math, in elementary, middle, and high school grades.** Although proficiency levels declined slightly in some grades and subjects between 2013 and 2015, they remained higher than 2005 levels across the board, by 1 to 2 percentage points in 12th grade and 4 to 5 percentage points in 4th and 8th grades.

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For most of the trend analyses, we begin with 2005, which is the final year included in the previous National Assessment of Title I (Stullich, Eisner, & McCrary 2007). This allows us to extend the analysis of student proficiency on NAEP and state assessments.

**Exhibit ES.1. Percentage of public school students proficient in math and reading, by grade: NAEP, 2005–15**



Note: Percentages include students who scored at or above proficient. The 23 percent of 12th-grade students who were proficient in math in 2015 was not statistically different from the 22 percent who were proficient in 2005. In all other grades and subjects, 2015 proficiency rates exceeded 2005 proficiency rates by statistically significant margins.

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), selected years, 2005–15 Math and Reading Assessments, NAEP Data Explorer. See *Digest of Education Statistics 2015*, tables 222.50, 222.60, 221.40, and 221.60.

**NAEP proficiency rates rose from 2005 to 2015 for economically disadvantaged, African American, Hispanic, and White students.** African American students, Hispanic, and White students all showed increases in proficiency in both reading and math in 4th and 8th grades on NAEP assessments. Economically-disadvantaged and Hispanic 12th grade students also showed increases in proficiency in both reading and math. Meanwhile, changes in proficiency rates for African American and White 12th grade students and for English learners and students with disabilities were mixed and often not statistically significant during the same period. Interpreting trends in the scores for English learners and students with disabilities is difficult, however, because students can move in and out of the categories, and criteria for inclusion in the category may not be identical across years.

**NAEP proficiency rates increased in most states.** Improvements in NAEP proficiency rates were widespread across states. Proficiency rates on NAEP math and reading exams in 4th and 8th grades improved for 46 or more states (depending on grade and subject) from 2005 to 2015. (State-specific results for 12th grade are not consistently available.)

**Many states saw nominal declines in proficiency on their own assessments, perhaps because they were raising their proficiency expectations, bringing them closer to NAEP levels.** Proficiency changes on state assessments were often negative. NAEP used consistent scales and proficiency expectations over time, but many states did not. Changes in proficiency rates on state assessments reflect changes in content standards, assessments, and proficiency thresholds as well as true changes in the achievement of successive cohorts of students. In consequence, changes in proficiency rates on state assessments often do not track changes in proficiency rates on NAEP. Two recent studies (Achieve, 2016; Peterson, Barrows, & Gift 2016) found that a large number of states recently raised their proficiency standards. In those states, the number of students deemed proficient on their own assessments went down, bringing their proficiency expectations more in line with those of NAEP.

**The national high school graduation rate rose from 75 percent in 2004–05 to 83 percent in 2014–15.** By state, 4-year adjusted cohort graduation rates in 2013–14 varied from 69 percent in the District of Columbia to nearly 91 percent in Iowa.

## **D. Content Standards and Assessments**

Since 1994, ESEA has required states to adopt content standards in reading/ELA and math and administer student assessments aligned to those standards.<sup>6</sup> Early content standards and proficiency expectations varied widely, and advocates argued that high schools needed to raise standards to meet increased demands of college and the workplace (Achieve, 2004). The National Governors Association, the Council of Chief State School Officers, and Achieve began developing the Common Core State Standards (CCSS) with an aim to identify skills that students would need to be college- and career-ready. New tests were needed in order for assessments to be aligned with these new common standards and for the assessments to better measure higher-order thinking skills. The study describes state and local efforts as of spring 2014 related to content standards and assessments.

State policies related to standards and assessments have continued to change in the last few years.<sup>7</sup> In addition, under ESSA, states will have more flexibility regarding the content standards they adopt, but will still be required to have challenging standards that promote college- and career-readiness. ESSA continues to require states to assess students annually in math and ELA in each of grades 3 through 8 and once in grades 9 through 12 and in science at least once during each of three grade ranges (3–5, 6–9, and 10–12). ESSA provides greater flexibility in the types of assessments used (including the option to combine scores from multiple interim assessments) and allows states to set a limit on the percentage of instructional time devoted to assessments.

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<sup>6</sup> See Improving America's Schools Act of 1994, P.L. 103-382, 20 U.S.C. § 6301 *et seq.*

<sup>7</sup> More than 25 states that had adopted the CCSS renamed the standards as of September 2014 (Salazar & Christie 2014). As of 2015, three states had replaced the CCSS standards; seven states were reviewing the standards; and the legislatures in 21 states were considering bills to stop implementing the standards. The number of states committed to using the new, CCSS-aligned assessments has changed as well, with many states withdrawing from the testing consortia. For the 2015–16 testing period, 21 states planned to use the Smarter Balanced or PARCC assessments (Gewertz 2016).

## **1. Implementation of State Content Standards in ELA and Math**

In order for new content standards adopted at the state level to have an effect on student achievement, they must be supported with aligned instructional materials and professional development at the school and classroom levels.

**Most states adopted and implemented state content standards that focused on college and career readiness in 2013–14.** All 43 states that received ESEA flexibility committed to having college- and career-ready standards in place by 2013–14. In addition, seven of the eight states without flexibility had adopted college- and career-ready standards through the Common Core State Standards.

**A majority of principals reported full implementation of reading/ELA and math state content standards in their schools during 2013–14.** Twenty-five to 26 states (depending on grade spans) reported requiring districts to fully implement reading/ELA and math curricula aligned with state content standards in 2013–14. Full implementation of the reading/ELA or math standards was reported at significantly higher rates by elementary (71–72 percent) and middle school (73–74 percent) principals than by high school (58–59 percent) principals.

**Most teachers reported receiving professional development related to state content standards for reading/ELA or math.** Teachers in elementary schools (84 percent) were significantly more likely than teachers in high schools (70 percent) and middle schools (74 percent) to report receiving professional development on standards. Eighty percent of teachers worked with other teachers across grades or courses in 2013–14 to make connections between the state content standards, curricula, and lesson plans. Forty-four percent reported engaging with teachers of the same grade or subject at least weekly to plan lessons or courses.

**Nearly half of teachers reported using instructional activities consistent with college- and career-ready reading/ELA and math standards every day, and more reported using these practices at least weekly.** Forty-four percent of teachers reported daily use of instructional activities that incorporated literary and informational texts, applied math concepts in real-world situations, or had students demonstrate math understanding through complex problem solving. Over 90 percent of teachers reported using these practices at least weekly.

**Few teachers found incorporating the state content standards into their instruction to be a major challenge.** Although, only 20 percent of teachers reported that incorporating the state content standards into their instruction as a major challenge, when asked about specific challenges, teachers reported higher percentages for one or more issues. For example, lack of time for lesson planning was reported as a major challenge by 56 percent of teachers and 40 percent of teachers reported professional development as a major challenge.

**Almost two-thirds of teachers reported classroom visits by an administrator, a mentor, or a coach to see how the teacher's instruction aligned with state content standards.** Overall, 63 percent of teachers reported classroom visits to observe alignment of instruction with state content standards, and a higher percentage of elementary teachers (70 percent) than other teachers (61 percent of middle

school teachers and 52 percent of high school teachers) reported these visits. Teachers reported more monitoring of alignment in states with ESEA flexibility and a Race to the Top grant (72 percent) compared to states without ESEA flexibility (45 percent). The data do not allow us to determine whether the patterns reflect the influence of the federal program or pre-existing differences between the states.

## **2. *Types of State Assessments and Ways Educators Prepared Students for Assessments***

Assessments provide a measure for how well students are meeting standards. The adoption of college- and career-ready standards required new assessments in order to be aligned with content standards and to better assess higher-order thinking skills.

**In 2013–14, a majority of states participated in piloting the PARCC or Smarter Balanced assessments.** Thirty-one states piloted the PARCC or Smarter Balanced summative assessments in spring 2014. Since this study’s data collection, some of these states no longer belong to the PARCC or Smarter Balanced consortia and are administering different assessments. In spring 2015, 30 states participated in full-scale PARCC or Smarter Balanced assessments, and 21 states planned to use these assessments for 2015–16 testing.<sup>8</sup>

**Many state assessments incorporated more sophisticated response formats to better assess students’ college- and career-readiness.** In 2013–14, 24 to 36 states (depending on grade level) reported using extended constructed-response formats, a type of response format intended to assess higher-order thinking skills, in their reading/ELA summative assessments. Nineteen states used this response format in math assessments. Many states that reported using extended constructed-response formats were states that reported participating in the PARCC or Smarter Balanced pilot in spring 2014. However, 8 to 14 states (depending on grade level) not in the pilot reported using this type of response format in their reading/ELA summative assessments, and 5 to 6 states (depending on grade level) not in the pilot reported using this format for their math summative assessments.

**A majority of districts reported administering summative assessments or assessment items in reading/ELA or math in addition to the required state summative assessments.** Depending on the grade level, 48–60 percent of districts required administering additional summative assessments or assessment items in reading/ELA, and 46-57 percent of districts did so in math. Twenty-one percent of districts reported not requiring any additional districtwide reading/ELA summative assessments or assessment items across all grades, while 24 percent of districts reported not requiring any additional districtwide math summative assessments or assessment items.

**All states provided some type of accommodations for English learners and students with disabilities.** Nearly all (48) states reported that English learners could be given extra time to take assessments. Most states allowed a range of assessment accommodations for students with disabilities. For example, all states allowed students with disabilities to be given flexibility in timing or scheduling, to respond in a different manner, and to be assessed in a different setting.

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<sup>8</sup> See Gewertz (2015) for information on states that participated in the full-scale 2015 consortia assessments. See the Boston Foundation (2015) for information on Massachusetts’ participation. See Gewertz (2016) for information on state plans for 2015–16.



### **3. *Resources to Support Implementation of Assessments and Use of Assessment Data***

Both PARCC and Smarter Balanced summative assessments are administered on computers, resulting in new technology requirements and a need for support in using data from these assessments.

**In spring 2014, most districts expected students to use computers for 2015 state assessments, but many lacked needed technology.** Seventy-two percent of districts reported in spring 2014 that they expected their students to use computers for assessments the following year. This percentage was nearly 90 percent of districts in states that subsequently administered PARCC or Smarter Balanced assessments in spring 2015. Among districts where students would be required to use computers, 64 percent of all districts and 59 percent of those in the consortia assessment states reported in 2014 having both sufficient computer resources and sufficient Internet bandwidth for the 2015 assessments.

**Most teachers reported receiving professional development on analyzing and using student assessment data to support instruction.** Seventy-seven percent of teachers reported receiving professional development for using assessment data, and thirty-seven percent of teachers reported working with an instructional coach on assessment data. Teachers in elementary and middle schools were significantly more likely than teachers in high schools to receive these supports. For example, 45 percent of teachers in elementary schools and 33 percent of teachers in middle schools reported working with an instructional coach on assessment data compared to 25 percent of teachers in high schools.

**Most teachers reported using assessment data for instruction, especially in elementary schools.** More than 80 percent of teachers reported that they used assessment data for a variety of purposes, including setting measurable learning objectives (91 percent), evaluating the effectiveness of a lesson/unit (89 percent), planning instruction (88 percent), and monitoring the progress of different groups of students (81–95 percent, depending on the subgroup). For almost every purpose, teachers in elementary schools (84–97 percent) were most likely and high school teachers (69–91 percent) were least likely to use assessment data.

### **4. *State High School Graduation Requirements***

High school graduation requirements provide an additional way for states and stakeholders to promote students' college- and career-readiness. In the last decade, many states have increased their high school graduation requirements.

**A majority of states required students graduating in 2014 to take 4 years of reading/ELA, but fewer years of other core academic subjects to receive a standard high school diploma.** Forty-four states required graduating high school students to take 4 years of reading/ELA. States with minimum coursework requirements for a standard high school diploma in 2014 required an average of 3.9 years of reading/ELA, 3.3 years of math, and approximately 3 years of science and social studies. Most states (36) did not report changes to core academic course requirements for students entering high school in 2013 relative to those entering high school in 2010.

**Most states required graduating students to take some kind of an exam.** Thirty-nine states required students graduating in 2014 with a standard high school diploma to take some kind of exam, although some did not require them to pass the exam. Nine states required students not only to take but to pass end-of-course/grade subject tests, and 10 states required students to pass a comprehensive, exit, or grade-specific exam. The most common testing requirement involved subject-specific tests at the end of a course or grade, which was required by 23 states.

## **E. Accountability and Support for Schools and Districts**

Outcome-based accountability systems for schools are designed to establish goals for student achievement, inform stakeholders about the progress and performance of schools, and identify struggling schools for support and improvement. NCLB required states to establish goals for student proficiency on state-mandated assessments, with annual targets rising over time so that by 2014, all students would be proficient. Schools that fell short of targets were identified for improvement and were subject to an increasingly aggressive set of interventions. ESEA flexibility regulations were introduced in 2012, inviting states to reset their proficiency goals and broaden the scope of their accountability measures. In 2013–14, when the surveys for this study were conducted, 42 states and the District of Columbia had been granted ESEA flexibility. Eight states continued to operate under NCLB policies.

ESSA gives all states substantially more discretion to design their own accountability systems in the future. States must still set long-term goals and report student achievement, and they must identify persistently low-performing schools and schools with low-performing subgroups. But ESSA directs states to design their own long-term goals, measures of school performance, and strategies for improving low-performing schools.

### **1. Measures of School Performance and Progress**

Under NCLB, states had to adopt a long-term goal of 100 percent student proficiency in math and ELA by 2014. ESEA flexibility allowed states to re-set their long-term proficiency goals, and allowed them to use a wider range of student achievement measures than was required under NCLB. States receiving flexibility identified high- and low-performing schools based on their success in meeting annual school performance targets.

**Most states with ESEA flexibility adopted a long-term proficiency goal that differed from NCLB’s 100 percent proficiency goal.** Twenty-eight of the 43 states with ESEA flexibility adopted a goal of reducing by half the percentage of students and subgroups not proficient in 6 to 8 years. Fifteen states (seven states with ESEA flexibility and eight states without ESEA flexibility) sought to achieve proficiency for 75–100 percent of their students. Eight states with ESEA flexibility established other goals for proficiency.

**About half of the states with ESEA flexibility set annual school performance targets that varied across schools.** NCLB required all schools to meet the same annual school performance targets, but states with ESEA flexibility were permitted to vary the targets for different schools. In 21 of 23 states

that allowed targets to vary, targets were based on the school’s initial proficiency rate, so that schools with lower initial proficiency rates would have lower initial targets that increased more rapidly.

Under NCLB, schools that missed proficiency targets for two years were identified for improvement; after four years, they were required to implement more aggressive interventions. ESEA flexibility, in contrast, required states to identify 3 categories of schools—(1) the persistently lowest-performing 5 percent of Title I schools (priority schools), (2) 10 percent of Title I schools with the greatest achievement gaps (focus schools), and (3) highest-performing and high-progress schools (reward schools). To identify these categories of schools, many states rank ordered schools by the level of performance and the size of achievement gaps using a broader set of measures than were used for annual school performance targets.

**To identify high- and low-performing schools, some states with flexibility used a wider range of assessments and other measures than were required under NCLB.** Sixteen of the 43 states with ESEA flexibility expanded the assessments used to identify high- and low-performing schools to include science or social studies. Some states used additional academic measures, including college entrance exam participation or scores (16 states), career or technical courses or certification (7 states), and enrollment in college courses or dual enrollment (6 states). Two states included enrollment in college post-high school and one used student and parent engagement surveys. States also used measures beyond proficiency levels and graduation rates to identify low-performing schools. For example, 17 states with ESEA flexibility examined the achievement growth of individual students to identify priority schools and 21 states used subgroup achievement gaps to identify focus schools.

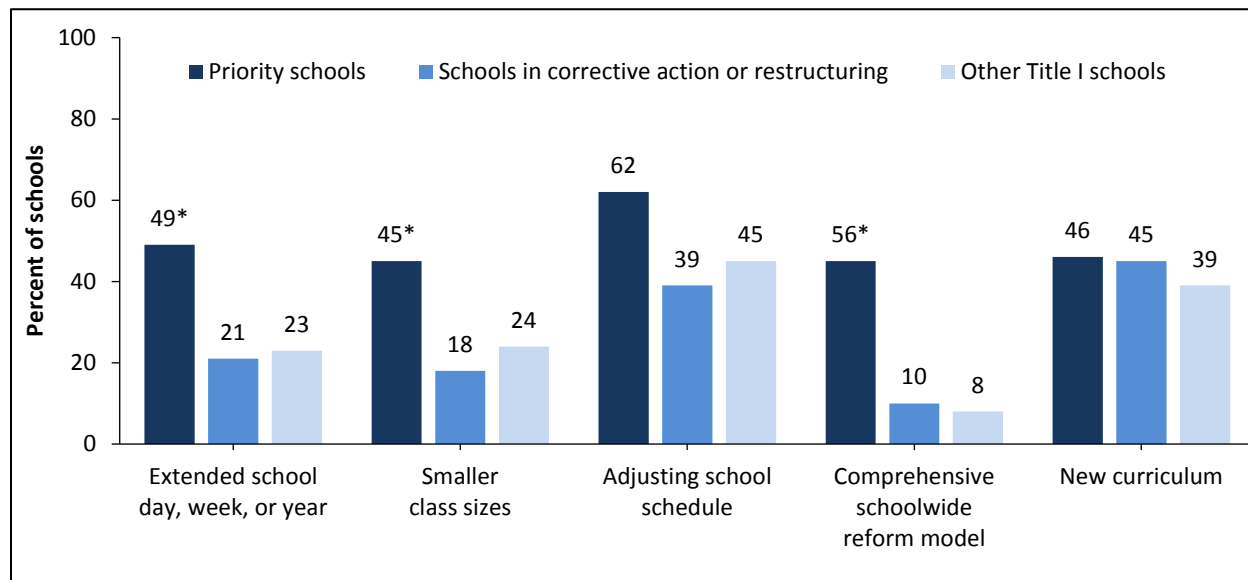
## **2. *Identifying and Supporting the Lowest-Performing Schools, and Identifying and Rewarding the Highest-Performing Schools***

Under NCLB, aggressive interventions for schools began after they missed school performance targets for four years; at this point, they were classified as “in corrective action” and after five years, schools were “in restructuring.” As the annual school performance targets rose toward 100 percent proficiency, the number of schools in corrective action and restructuring increased substantially. ESEA flexibility eliminated these NCLB requirements and instead allowed states to concentrate resources and attention on a smaller group of the lowest-performing Title I schools, known as priority schools. States with ESEA flexibility identified a smaller number of persistently low-performing Title I priority schools, which were required to adopt a set of turnaround practices that included replacing low-performing principals and teachers, providing job-embedded professional development, increasing learning time, and using data to support instruction. States with ESEA flexibility also identified focus schools with subgroup achievement gaps for interventions designed to address the gaps.

**States with ESEA flexibility identified a narrower set of Title I schools as those with persistently lowest performance compared to states operating under NCLB.** States identified 6,957 schools as lowest performing in 2013–14, including 5 percent of Title I schools in states with ESEA flexibility (priority schools) and 43 percent of Title I schools in states still operating under NCLB rules (schools in corrective action or restructuring).

**Title I priority schools were more likely than other Title I schools to adopt resource-intensive strategies of extending school time, reducing class sizes, or implementing a comprehensive schoolwide reform model.** Substantial percentages of principals of priority schools reported that they had adopted extended school time (49 percent in Title I priority schools vs. 23 percent in other Title I schools), or reduced class sizes (45 percent vs. 24 percent)—strategies that entail additional staffing costs. Many priority schools also adopted a comprehensive schoolwide reform model (56 percent vs. 8 percent), a strategy that requires working with the model’s developer over a lengthy period and extensive professional development (Exhibit ES.2). Schools in corrective action and restructuring usually offered school choice (78 percent) and supplemental educational services (88 percent), as required by NCLB, but were not more likely than other Title I schools to implement many other reforms.

**Exhibit ES.2. Percentage of lowest-performing and other Title I schools implementing instructional interventions to support student achievement: 2013–14**



\* Percentage is statistically different from percentage for other Title I schools ( $p < .05$ ).

Note: The category, “other Title I schools,” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I/II Program Initiatives: Spring 2014 Principal Survey.

**Most of the lowest-performing Title I schools did not adopt the most aggressive governance and staffing interventions available to them.** Much like low-performing schools under NCLB and SIG (Hurlburt et al., 2011; Scott, 2008; Scott & Kober, 2009; Taylor et al., 2010; Troppe et al., 2015), most Title I priority schools and schools in corrective action and restructuring did not experience closure, re-opening under new management, or replacement of most of the staff. More priority schools replaced their principals than replaced teachers: 18 percent of Title I priority schools replaced their principals before the start of the 2013–14 school year as part of the school improvement plan.

**A majority of Title I priority school principals reported that the school’s progress was monitored by site visits and collection of student data.** Eighty-six percent of Title I priority school principals reported that they were monitored by site visits, and 75 percent said their student data were

collected for monitoring purposes. About half of Title I priority schools experienced each of these monitoring activities quarterly or more often (49 percent for site visits and 47 percent for collection of student data).

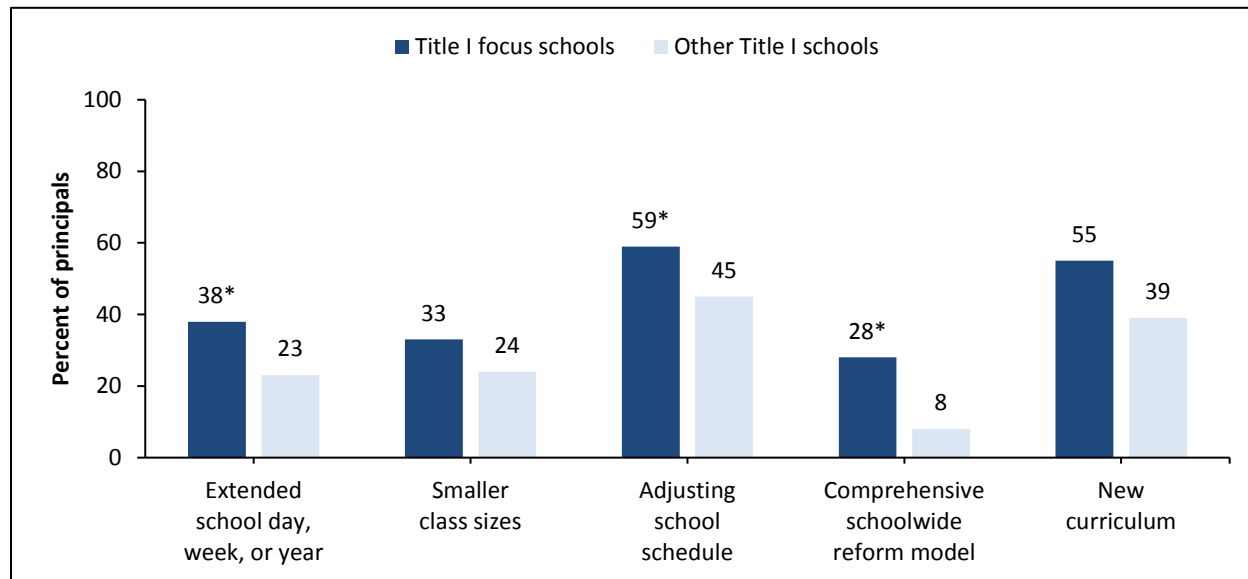
**Compared to the level of monitoring in priority and focus schools, monitoring was much less common in Title I schools in corrective action and restructuring.** In priority and focus schools, 26 percent of principals reported no monitoring by the state or districts, whereas in Title I schools in corrective action and restructuring, three-quarters of principals reported no monitoring of any kind.

ESEA flexibility required that states identify not only low-performing schools, but also schools with substantial subgroup achievement gaps (focus schools) and provide additional support to those schools.

**Consistent with federal requirements, all states with ESEA flexibility identified 10 percent of their Title I schools with low subgroup achievement as focus schools.** In 2013–14, states with ESEA flexibility identified 4,571 schools as Title I focus schools, comprising 10 percent of all Title I schools both overall and within each state.

**A majority of principals of Title I focus schools reported implementing several activities consistent with state requirements and the level of support for such schools.** Nearly all (97 percent) focus school principals reported developing a school improvement plan. A majority of Title I focus schools adopted a new curriculum (55 percent) (Exhibit ES.3). Fewer than half of focus schools adopted the more resource-intensive interventions, such as extending school time (38 percent), reducing class sizes (33 percent), or implementing a comprehensive schoolwide reform model (28 percent). However, a larger proportion of focus schools compared with other Title I schools adopted each of these interventions except class size reduction. There were few differences between Title I focus schools and other Title I schools in the proportions of principals and teachers receiving professional development or technical assistance on a range of topics.

**Exhibit ES.3 Percentage of principals reporting that they implemented instructional interventions, by low-performing Title I school status: 2013–14**



\* Percentage is statistically different from percentage for other Title I schools ( $p < .05$ ).

Note: The category, “Other Title I schools,” excludes priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I/II Program Initiatives: Spring 2014 Principal Survey.

Both NCLB and ESEA flexibility sought not only to identify and support the lowest-performing schools, but also to identify and support high-performing schools.

**Almost all states identified highest-performing or high-progress schools.** Of the 48 states that identified highest-performing or high-progress schools in 2013–14, all of the states publicly recognized high-performing Title I schools, and 17 states provided financial rewards. Only five states provided more operating flexibility and autonomy to these schools.

**F. Teacher and Principal Evaluation, Support, and Equity of Distribution**

NCLB required all teachers of core academic subjects to be highly qualified, which was defined as having a bachelor’s degree, full state certification, and competency in the core areas in which they teach. Starting in 2012, states granted ESEA flexibility were allowed to abandon the “highly qualified” teacher requirement and instead were required to implement teacher and principal evaluation systems consistent with emerging research. States were also encouraged to use evaluation results to make personnel decisions, assess the equity of students’ access to effective educators, and inform individualized professional development for educators.

This study documents the state of educator evaluation policies and practices and related supports in 2013–14. It also looks at how states and districts assess the equity of students’ access to effective educators. ESSA allows Title II-A funds to be used for evaluation systems, but does not have any requirements for those systems. ESSA also requires that teachers meet state certification

requirements but eliminates NCLB's requirement of staffing core subjects with "highly qualified" teachers. Thus, it reduces the federal role in educator evaluation and teacher certification in the future.

## **1. Educator Evaluation Systems**

The evolving research on measuring teacher effectiveness (e.g., Kane & Staiger 2012; Kane et al. 2013; Whitehurst, et al. 2014; Chaplin, Gill, Tompkins, & Miller 2014) supports evaluation systems that include: (1) student achievement growth, measured with statistical methods such as value-added models (VAMs) or student growth percentiles (SGPs) that can account for differences in the students served by different teachers; (2) multiple observations of practice conducted by trained and certified observers using a professional practice rubric; and (3) at least three performance rating categories. Our findings on the implementation of educator evaluation systems in 2013–14 focus on these three elements commonly associated with valid and reliable measures of teacher performance that are intended to identify higher and lower performing teachers.

**Since 2009, almost all states adopted new laws or regulations governing teacher evaluation, but only a few required all of the practices that might validly and reliably differentiate among teachers.** In 2013–14, most states (36) included some measure of student achievement growth in their teacher evaluation system, but only 19 required VAM or SGP statistical methods based on a teacher's own students. A majority of states (39) required at least one classroom observation using a professional practice rubric, and most states (37) also required using at least three performance categories. Only 7 states required all three elements: (1) achievement growth measures using VAMs or SGPs based on a teacher's own students, (2) practice ratings based on at least one observation by a trained and certified observer using a professional practice rubric, and (3) at least three performance categories.

**While some elements of evaluation systems were present in nearly all districts, districts varied in the use of evaluation practices consistent with valid and reliable differentiation of teacher performance.** The overwhelming majority of districts (95 percent) used at least three performance categories, and nearly all (92 percent) required at least one classroom observation using a professional practice rubric. But only 29 percent of districts required at least two observations by trained and certified observers. Half of districts used student achievement growth in teacher evaluations, but only 37 percent used a VAM or SGP to assess the teacher's contribution to the achievement of his/her own students. Only 18 percent of districts used evaluation systems with all three key elements.

**In 2013–14, about one-third of districts were fully implementing a teacher evaluation system established since 2009.** Thirty-two percent of districts reported fully implementing a new teacher evaluation system, and an additional 27 percent were piloting or partially implementing a new system. New evaluation systems were far more prevalent among districts in states that had adopted new laws or regulations for teacher evaluation.

**The vast majority of teachers viewed the observation component of their performance evaluation favorably in 2013–14.** Most teachers who had recently been evaluated agreed (somewhat or strongly) that the observer was well qualified (89 percent) and that the feedback was a fair assessment

of their teaching (87 percent). Seventy-three percent of responding teachers reported receiving specific ideas of how they could improve their instruction.

**More than half of teachers evaluated using student achievement growth agreed that it was a fair and beneficial measure.** Sixty-one percent of responding teachers indicated that student achievement growth was included in their evaluations, and 59 percent of them somewhat or strongly agreed that it was a fair measure of their contribution to student achievement. A similar percentage (56 percent) somewhat/strongly agreed that, in the long run, students would benefit from including growth in teacher evaluations (Exhibit ES.4).

**Exhibit ES.4. Percentage of teachers who somewhat/strongly agreed with statements about their evaluation: 2013–14**

Statement	Percent of teachers somewhat/strongly agreeing
<b>Observer<sup>1</sup></b>	
The people who observed my teaching are well qualified to evaluate it	89
<b>Feedback based on formal observations<sup>1</sup></b>	
The feedback was a fair assessment of my teaching	87
The feedback provided specific ideas about how I could improve my instruction	73
<b>Student achievement growth used in teacher's evaluation<sup>2</sup></b>	
Student achievement growth for my students is a fair way to assess my contribution to student achievement	59
In the long run, students will benefit from including measures of student achievement growth in the evaluations of teachers	56

<sup>1</sup> Row is limited to teachers evaluated in 2012–13 or 2013–14 and who were formally observed at least once in 2012–13 or 2013–14 (n=5,429). Ninety-seven percent of teachers were observed at least once during these years.

<sup>2</sup> Row is limited to teachers evaluated in 2012–13 or 2013–14 whose evaluation included a measure of student achievement growth (VAM/SGP based on own students or a broader group, or SLOs, SGOs) (n=3,400). Sixty-one percent of teachers reported student achievement growth used in their evaluation.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I/II Program Initiatives: 2014 Teacher Survey.



## **2. *Supports Provided by States and Districts to Improve Educator Effectiveness***

Title II-A has been the primary source of federal funds provided to states and districts to improve educator effectiveness since its creation as part of NCLB. This section describes how districts were using Title II-A funds, including to support the development and implementation of new teacher evaluation systems—a purpose that ESSA now explicitly authorizes as an allowable use of funds. We then turn to the ways that evaluation results have been used to promote improvements in educator effectiveness.

**Professional development to support instruction was a commonly reported use of Title II-A funds.** The majority of districts reported using Title II-A funds to provide professional development related to state content standards (75 percent of districts) and analyzing student assessment data (62 percent of districts). Some districts used Title II-A funds to support using teacher evaluation results, with those implementing new evaluation systems most likely to do so.

**Many districts reported using teacher evaluation results to inform professional development decisions, decisions related to professional rewards for effective teachers, and tenure loss/termination/layoff for low-performing teachers.** Nearly all districts (96 percent) said they used teacher evaluation results to inform professional development. Seventy-eight percent of districts reported using evaluation results to determine any type of professional reward, such as recognizing high-performing teachers (56 percent), granting tenure (46 percent), career advancement opportunities (39 percent), or salary increases (14 percent). Eighty percent of districts reported using teacher evaluation results to inform any tenure loss/termination/layoff decision for low-performing teachers. Districts were more likely to report using the evaluation results for professional development or professional reward decisions if they were fully implementing a new system than if they were not.

**Only half of teachers reported access to professional development resources specifically linked to their performance evaluation results.** Fifty-one percent of teachers reported access to professional development resources such as an online resource or a principal or school leader identifying professional development opportunities, or a video library or self-paced, Internet-based modules linked to specific areas of improvement. This percentage did not differ significantly for districts that were implementing new evaluation systems and those that were not.

**More than half of states reported examining the effectiveness of their teacher preparation programs.** Twenty-nine states reported that they examined the effectiveness of their teacher preparation programs in the 12 months prior to the survey administration in 2014. One state reported using only teacher evaluation ratings or VAMs/SGPs to assess program effectiveness. Eight states reported using evaluation ratings or VAMs/SGPs and other factors; and 20 states reported using only other factors such as teacher certification, placement or retention, qualitative reviews of the program, classroom observations ratings, and staff feedback on graduates.

### **3. *Equitable Distribution of Effective Educators***

Under NCLB and ESEA flexibility, states were expected to ensure that disadvantaged students covered by Title I would have the same access to high-quality teachers as more advantaged students.

**Thirty states reported examining the equitable distribution of teacher quality or effectiveness.** Eleven states examined the distribution using some type of performance information, most commonly teacher evaluation ratings (used in 10 states). Twelve states examined the distribution of “highly qualified” teachers as defined by NCLB. Twenty-one of the 30 states examining the equitable distribution of teachers reported finding substantial inequities.

**The most common state action to address inequities in the distribution of teacher quality or effectiveness was to provide additional resources to support teachers.** Thirteen of the 21 states that found substantial inequities provided resources such as professional development or coaching to improve the effectiveness of less-qualified or less-effective teachers, and 6 states established financial incentives to improve disadvantaged students’ access to effective teachers. Six of the 21 states reported taking no action despite identifying inequities.

As a result of ESSA, the first statutory changes in ESEA since NCLB will be initiated. ESSA departs in substantial ways from NCLB and from the Department of Education’s policies in the years since the passage of NCLB. Under ESSA, states will have more discretion to design and implement their own policies related to the use of federal funds from Title I and Title II-A. It remains to be seen which of the current efforts by states and districts will continue.

## Contents

Chapter	Page
Executive Summary.....	ix
List of Exhibits .....	xxx
1. Introduction .....	1
A. Content Standards and Assessments .....	2
B. Accountability and Support for Schools and Districts .....	3
C. Teacher and Principal Evaluation, Support, and Equity of Distribution .....	4
D. Study Questions .....	5
E. Data Sources, Sample Design, and Data Collection.....	6
F. Analysis Methods .....	8
G. Report Contents .....	9
2. Trends In Student Proficiency and Graduation Rates.....	11
A. Data on Proficiency and Graduation .....	12
B. Changes in Proficiency Rates Nationally on NAEP .....	13
C. Changes in Proficiency on State Assessments.....	16
D. High School Graduation Rate .....	19
E. Summary .....	21
3. Content Standards and Assessments.....	23
A. State Content Standards in Reading/ELA and Math .....	26
B. Classroom Implementation of State Content Standards .....	29
1. Professional Development.....	29
2. Teacher Planning Time.....	31
3. Use of Instructional Activities Designed to Promote College- and Career-Ready Standards .....	32
4. Monitoring Alignment of Instruction With Standards.....	34
5. Challenges Implementing State Content Standards.....	35
C. Types of State Assessments and Ways Educators Prepare Students for Assessments .....	37
1. Teachers’ Actions to Prepare Students for Assessments .....	39
2. District Use of Additional Summative Assessments or Assessment Items .....	40
3. State Accommodations for English Learners and Students With Disabilities .....	40
D. Resources to Support Implementation of Assessments and Use of Assessment Data .....	42
1. Technology for State Assessments .....	43
2. Access to Data.....	45
3. Challenges Using Assessment Data .....	48

Chapter	Page
E.	State High School Graduation Requirements..... 49
1.	State Coursework Requirements by Subject ..... 49
2.	State Exam Requirements..... 50
F.	Summary ..... 51
4.	Accountability and Support for Schools and Districts ..... 53
A.	Measures of School Performance and Progress ..... 53
1.	Long-Term Proficiency Goals and Annual School Performance Targets ..... 54
2.	Differentiating Schools Based on Performance ..... 58
B.	Identifying and Improving the Lowest-Performing Schools..... 62
1.	Identifying the Lowest-Performing Title I Schools..... 62
2.	Interventions and Support in the Lowest-Performing Title I Schools ..... 64
3.	Identifying and Supporting the Lowest-Performing Non-Title I Schools ..... 71
4.	Monitoring and Supporting Low-Performing Schools ..... 72
C.	Differentiated Support, Consequences, and Rewards Based on School Performance and Progress ..... 76
1.	Identifying and Supporting Schools With Low-Performing Subgroups ..... 76
2.	Consequences and Support for Schools Not Meeting AMOs ..... 79
3.	Identifying and Rewarding High-Performing Schools..... 83
D.	Summary ..... 84
5.	Teacher and Principal Evaluation, Support, and Equity of Distribution ..... 87
A.	Educator Evaluation Systems ..... 87
1.	State Policy and Support for Evaluation Systems ..... 88
2.	District Implementation..... 92
a.	<i>Evaluation System Characteristics</i> ..... 92
b.	<i>Implementation Status</i> ..... 93
3.	Educator Perceptions of Evaluation Systems ..... 94
a.	<i>Perceptions of Feedback Based on Using a Teacher Professional Practice Rubric in Teacher Evaluations</i> ..... 95
b.	<i>Perceptions of Student Achievement Growth in Teacher Evaluations</i> . 97

<b>Chapter</b>	<b>Page</b>
B. Supports Provided by States and Districts to Improve Educator Effectiveness	100
1. Use of Title II-A Funds to Improve Educator Effectiveness.....	101
2. Using Evaluation Results to Improve Teacher Effectiveness .....	103
<i>a. Linking Evaluation Results to Professional Development and             Personnel Actions .....</i>	<i>103</i>
<i>b. Assessing Teacher Preparation Programs .....</i>	<i>108</i>
C. Equitable Distribution of Effective Educators .....	109
1. State Assessment of Equity.....	109
2. District Assessment of Equity .....	112
D. Summary .....	113
References .....	115
 <b>Appendix</b>	
A    ESEA Waiver Provisions .....	A-1
B    Methodology and Survey Instruments .....	B-1
C    Exhibits for Trends In Student Proficiency Rates .....	C-1
D    Exhibits for Content Standards and Assessments.....	D-1
E    Exhibits for Accountability and Support for Schools and Districts .....	E-1
F    Exhibits for Teacher and Principal Evaluation, Support, and Equity of Distribution	F-1

## List of Exhibits

---

Exhibit		Page
ES.1	Percentage of public school students proficient in math and reading, by grade: NAEP, 2005–15 .....	xiii
ES.2	Percentage of lowest-performing and other Title I schools implementing instructional interventions to support student achievement: 2013–14 .....	xx
ES.3	Percentage of principals reporting that they implemented instructional interventions, by low-performing Title I school status: 2013–14.....	xxii
ES.4.	Percentage of teachers who somewhat/strongly agreed with statements about their evaluation: 2013–14 .....	xxiv
1.1	Topic areas, policies and practices, and data sources .....	7
2.1	Student proficiency data used in this chapter .....	12
2.2	Percentage of public school students proficient in 4th-grade math and reading: NAEP, 2005–15 .....	13
2.3	Percentage of public school students proficient in 8th-grade math and reading: NAEP, 2005–15 .....	14
2.4	Percentage of public school students proficient in 12th-grade math and reading: NAEP, 2005–15 .....	14
2.5	Percentage of public school 4th-grade students proficient in math and reading, by subgroup: NAEP, 2005 and 2015 .....	15
2.6	Percentage of public school 8th-grade students proficient in math and reading, by subgroup: NAEP, 2005 and 2015 .....	15
2.7	Percentage of public school 12th-grade students proficient in math and reading, by subgroup: NAEP, 2005 and 2015 .....	16
2.8	Number of states with increases in NAEP math and reading proficiency between 2005 and 2015 .....	16
2.9	Changes in public school 4th-grade math proficiency rates between 2007 and 2013, by state .....	18
2.10	Averaged freshman graduation rate for public high school students: 2005–12 and 4-year adjusted cohort graduation rate for public high school students: 2010–15 .....	19
2.11	Public high school 4-year adjusted cohort graduation rates, by state: 2014–15 .....	20

<b>Exhibit</b>		<b>Page</b>
3.1	States by ESEA flexibility and Common Core State Standards (CCSS) adoption as of fall 2013.....	27
3.2	Composition of reading/ELA and math standards in Common Core State Standards (CCSS) states: 2013–14 .....	28
3.3	Percentage of principals who reported full implementation of reading/ELA and math state content standards in all grades in their school, overall and by school grade span: 2013–14 .....	29
3.4	Percentage of teachers who received professional development on selected topics related to state content standards for reading/ELA or math during summer 2013 or the 2013–14 school year, overall and by school grade span ..	30
3.5	Percentage of teachers who reported working with other teachers to make connections between the state content standards in reading/ELA or math, curricula, and lesson plans across grades or courses, overall and by school grade span: 2013–14 .....	31
3.6	Percentage of teachers who reported planning lessons or courses with teachers of the same grade or subject at least weekly, overall, and by school grade span: 2013–14 .....	32
3.7	Percentage of teachers by daily and weekly use of instructional activities aligned with college- and career-ready (CCR) reading/ELA or math standards, overall and by teacher's primary subject taught: 2013–14 .....	33
3.8	Percentage of teachers who reported classroom visits to observe alignment of instruction with state reading/ELA or math content standards, overall and by school grade span: 2013–14 .....	34
3.9	Percentage of teachers who reported classroom visits by staff to observe alignment of instruction with state reading/ELA or math content standards, overall and by state ESEA flexibility and Race to the Top status: 2013–14.....	35
3.10	Percentage of teachers reporting major challenges to implementing the state content standards in reading/ELA or math, overall and by school grade span: 2013–14 .....	36
3.11	Number of states by question response format used on state reading/ELA or math summative assessments and high school end-of-course and exit exams in grades used for accountability testing: 2013–14.....	38
3.12	Percentage of teachers who took selected actions to prepare students for required state summative assessments in reading/ELA or math: 2013–14.....	39
3.13	Percentage of districts that required districtwide administration of additional summative assessments or summative assessment items in reading/ELA or math, by grade: 2013–14 .....	40
3.14	Number of states that reported selected accommodations for state summative assessments for English learners in reading/ELA and math: 2013–14 .....	41

<b>Exhibit</b>		<b>Page</b>
3.15	Number of states that reported accommodations allowed for state summative assessments or alternate assessments for students with disabilities in reading/ELA and math: 2013–14 .....	42
3.16	Number of states that made investments in technology for state assessments in 2013–14, by participation in the PARCC or Smarter Balanced consortia testing in spring 2015.....	44
3.17	Percentage of districts by computer requirements for 2015 state summative assessments and reports of sufficient technological resources, overall and by state participation in spring 2015 consortia assessments: 2013–14.....	45
3.18	Number of states with longitudinal data systems that allow tracking of individual students on various outcomes: 2013–14.....	46
3.19	Percentage of teachers reporting that they received various supports for using assessment data: 2013–14 .....	46
3.20	Percentage of teachers reporting that they used assessment data for various purposes, overall and by school grade span: 2013–14.....	47
3.21	Percentage of teachers reporting major challenges to using assessment data to inform instruction, overall and by school grade span: 2013–14.....	48
3.22	High school coursework requirements for students graduating in 2014 with a standard high school diploma, by subject: 2013–14 .....	49
3.23	Number of states that increased high school graduation requirements for a standard diploma for students entering in fall 2013, by increased requirement: 2013–14.....	50
3.24	Number of states with an exam requirement for a standard or regular high school diploma: 2013–14.....	51
4.1	Number of states with goals for student achievement under ESEA, by state ESEA flexibility status: 2013–14 .....	55
4.2	Number of states using measures for AMOs beyond those required by NCLB, by state ESEA flexibility status: 2013–14 .....	56
4.3	Number of states with approaches to setting AMOs across schools, by state ESEA flexibility status: 2013–14 .....	57
4.4	Number of states changing the minimum subgroup size and combining subgroups, by state ESEA flexibility status: 2013–14 .....	58
4.5	Number of states using selected measures to identify high- and low-performing schools: 2013–14 .....	60
4.6	Number of states using measures of proficiency, growth, and gaps based on reading/ELA and math assessments to identify high- and low-performing schools: 2013–14 .....	61
4.7	State reports of the number and percentage of Title I lowest-performing schools, by state ESEA flexibility status: 2013–14 .....	63



<b>Exhibit</b>		<b>Page</b>
4.8	States' frequency of identifying lowest-performing schools, by state ESEA flexibility status: 2013–14 .....	64
4.9	Number of states providing extra professional development and assistance for lowest-performing Title I schools and their districts, by state ESEA flexibility status: 2013–14 .....	66
4.10	Percentage of lowest-performing and other Title I schools implementing instructional interventions to support student achievement: 2013–14 .....	67
4.11	Percentage of lowest-performing and other Title I schools implementing instructional interventions and school choice to support student achievement: 2013–14 .....	68
4.12	Principal and teacher receipt of professional development (PD) and technical assistance (TA) by lowest-performing school status and Title I status: 2013–14 .....	69
4.13	State reports of the percentage of lowest-performing Title I schools implementing SIG turnaround models: 2013–14 .....	70
4.14	State reports of the percentage of lowest-performing Title I schools with governance or personnel changes, by state ESEA flexibility status: 2013–14 ....	71
4.15	Number of states that designate non-Title I schools as low-performing, by state ESEA flexibility status: 2013–14 .....	72
4.16	Average (mean) and median number of low-performing schools per state staff or consultants in states with and without ESEA flexibility: 2013–14 .....	74
4.17	Percentage of principals reporting the type and frequency of monitoring and assistance for low-performing Title I schools: 2013–14 .....	75
4.18	Percentage of low-performing schools reporting no monitoring by the state or district: 2013–14.....	76
4.19	Percentage of focus schools and other Title I schools implementing instructional interventions: 2013–14 .....	77
4.20	Percentage of principals and teachers reporting professional development (PD) and technical assistance (TA) on particular topics by low-performing Title I school status: 2013–14 .....	78
4.21	Percentage of schools in which all students and subgroups met AMOs in 2012–13, by school characteristics and state or district ESEA flexibility status: 2013–14 .....	79
4.22	State requirements for Title I schools (other than priority/focus) not meeting AMOs in 2012–13, by state ESEA flexibility status: 2013–14 .....	80
4.23	State requirements for Title I schools missing AMOs that must take action, by state ESEA flexibility status: 2013–14 .....	81

<b>Exhibit</b>		<b>Page</b>
4.24	School improvement and professional development activities, as reported by principals and teachers, for Title I schools that met and did not meet AMOs: 2013–14 .....	82
4.25	State requirements for non-Title I schools (other than priority/ focus) not meeting AMOs in 2012–13 and schools in need of improvement, by state ESEA flexibility status: 2013–14 .....	83
4.26	Number of states providing recognition and rewards for high-performing Title I schools: 2013–14 .....	84
5.1	Number of states requiring teacher performance evaluation practices: 2013–14 .....	89
5.2	Number of states by type of guidance to districts for teacher evaluation systems: 2013–14 .....	90
5.3	Number of states reporting supports to districts implementing or conducting new evaluation systems, by status of state adoption of a new system as of 2009: 2013–14 .....	91
5.4	Percentage of districts using teacher performance evaluation practices: 2013–14 .....	93
5.5	Percentage of districts implementing a new teacher evaluation system, by state adoption of new teacher evaluation laws or regulations established since 2009: 2013–14 .....	94
5.6	Percentage of evaluated teachers who somewhat/strongly agreed with statements about their formal observation: 2013–14 .....	95
5.7	Percentage of evaluated teachers who somewhat/strongly agreed that their formal evaluation feedback was a fair assessment of their teaching, by teachers’ perceptions of observer qualifications, their understanding of the evaluation system, and number of observations conducted: 2013–14.....	96
5.8	Percentage of teachers evaluated using student achievement growth measures who somewhat/strongly agreed with statements about their evaluation: 2013–14 .....	97
5.9	Percentage of teachers evaluated using student achievement growth who somewhat/strongly agreed that growth is a fair way to assess their contribution to student achievement, by various teacher characteristics: 2013–14 .....	98
5.10	Percentage of teachers evaluated using student achievement growth who somewhat/strongly agreed that, in the long run, students will benefit by including this growth in teacher evaluations, by various teacher characteristics: 2013–14 .....	99

<b>Exhibit</b>		<b>Page</b>
5.11	Percentage of evaluated teachers who somewhat/strongly agree that the method of teacher evaluation encourages cooperation rather than competition, by whether their evaluation included student achievement growth based on own students: 2013–14 .....	100
5.12	Percentage of districts reporting the use of Title II, Part A funds on teacher activities, by district implementation status of evaluation system: 2013–14 .....	102
5.13	Percentage of districts using teacher evaluation results for various teacher personnel decisions, by district implementation status of a new evaluation system: 2013–14 .....	104
5.14	Percentage of teachers reporting use of evaluation results to inform professional development, by school poverty status: 2013–14 .....	105
5.15	Percentage of teachers reporting access to professional development resources linked to performance evaluation results, by district's teacher evaluation system implementation status: 2013–14 .....	106
5.16	Percentage of teachers reporting access to professional development resources linked to performance evaluation results, by school poverty status: 2013–14 .....	107
5.17	Percentage of teachers who reported common planning time and access to an instructional coach, by school poverty status: 2013–14 .....	108
5.18	Number of states examining effectiveness of their teacher preparation programs within the past 12 months, by factors used for this assessment: 2013–14 .....	108
5.19	Number of states that examined the distribution of teacher quality/ effectiveness within the past 12 months and the measures used: 2013–14 .....	110
5.20	Number of states that used specific measures to define teacher quality/ effectiveness, by whether the state found substantial inequities in teacher distribution: 2013–14 .....	111
5.21	Number of states that found substantial inequities in the distribution of teacher quality/effectiveness and took actions to address inequities: 2013–14 .....	112
5.22	Percentage of districts examining the distribution of teacher quality/ effectiveness, by district size: 2013–14 .....	113
B.1	Final district sample sizes and relative sampling rates by district poverty and size strata .....	B-8
B.2	Final expected and realized school sample sizes by school stratum .....	B-11
B.3	Final assigned and realized teacher sample sizes by school span and major school subgroup .....	B-14

<b>Exhibit</b>		<b>Page</b>
C.1	Changes in public school 4th-grade reading proficiency rates between 2007 and 2013, by state .....	C-3
C.2	Changes in public school 8th-grade math proficiency rates between 2007 and 2013, by state .....	C-4
C.3	Changes in public school 8th-grade reading proficiency rates between 2007 and 2013, by state .....	C-5
D.1	Number of states that required districts to fully implement reading/ELA and math curricula aligned with the state content standards: 2013–14 .....	D-3
D.2	Percentage of teachers who received professional development on selected topics related to the state content standards for reading/ELA or math during summer 2013 or the 2013–14 school year, by school grade span and Title I status.....	D-4
D.3	Percentage of teachers who reported planning lessons or courses with teachers of the same grade or subject at least weekly, by school grade span and Title I status: 2013–14.....	D-5
D.4	Percentage of teachers who conducted instructional activities aligned with college- and career-ready standards at least weekly during their classroom instruction, by teacher's primary subject taught: 2013–14 .....	D-6
D.5	Percentage of teachers who conducted instructional activities aligned with college- and career-ready standards at least weekly during their classroom instruction by school grade span and Title I status: 2013–14 .....	D-7
D.6	Percentage of teachers who conducted instructional activities aligned with college- and career-ready standards at least weekly during their classroom instruction, by state ESEA flexibility and Race to the Top status: 2013–14 .....	D-8
D.7	Percentage of teachers who reported classroom visits by staff to observe alignment of instruction with state reading/ELA or math content standards, by school grade span and Title I status: 2013–14.....	D-9
D.8	Percentage of teachers reporting major challenges to implementing the state content standards in reading/ELA or math, by school grade span and Title I status: 2013–14 .....	D-10
D.9	Number of states using extended constructed responses on reading/ELA or math summative assessments and high school end-of-year course and exit exams in grades used for accountability testing, overall and by state participation in spring 2014 consortia assessment pilot: 2013–2014.....	D-11
D.10	Percentage of ESEA-tested teachers who took selected actions to prepare students for required state summative assessments in reading/ELA or math, by grade span: 2013–14.....	D-12
D.11	Percentage of teachers who took selected actions to prepare students for required state summative assessments in reading/ELA or math, by grade span and Title I status: 2013–14 .....	D-13

<b>Exhibit</b>		<b>Page</b>
D.12	Percentage of teachers who took selected actions to prepare students for required state summative assessments in reading/ELA or math, by state ESEA flexibility and Race to the Top status: 2013–14.....	D-14
D.13.	Percentage of districts by computer requirements for 2015 state summative assessments and reports of sufficient technological resources, overall and by district poverty status: 2013–14 .....	D-15
D.14	Percentage of teachers reporting that they received various supports for using assessment data, by school grade span: 2013–14 .....	D-16
D.15	Percentage of teachers reporting that they received various supports for using assessment data, by school grade span and Title I status: 2013–14.....	D-17
D.16	Percentage of teachers reporting that they used assessment data for various purposes, by school grade span and Title I status: 2013–14.....	D-18
D.17	Percentages of teachers who reported major challenges to using assessment data to improve instruction, by school grade span and Title I status: 2013–14 .....	D-19
E.1	Minimum subgroup size and changes, by state ESEA flexibility status: 2008–13 .....	E-3
E.2	Number of states with ESEA flexibility defining combined subgroups for accountability: 2013–14 .....	E-4
E.3	Number of states using selected measures to identify highest-performing and high-progress Title I schools, by state ESEA flexibility status: 2013–14 .....	E-5
E.4	Number of states using selected measures to identify low-performing Title I schools, by state ESEA flexibility status: 2013–14 .....	E-6
E.5	Number of states identifying Title I low-performing schools and the number and percentage of schools, by state ESEA flexibility status: 2013–14.....	E-7
E.6	Number of states requiring interventions in Title I priority and focus schools and Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14.....	E-8
E.7	Number of states providing guidance to districts in 2013–14 about selection of school intervention models for Title I priority and focus schools and Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14 .....	E-9
E.8	Number of states providing extra professional development and assistance for Title I priority and focus schools and Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14 .....	E-10
E.9	Percentage of schools implementing specific instructional interventions, by school improvement status and Title I status: 2013–14.....	E-11

<b>Exhibit</b>		<b>Page</b>
E.10	Percentage of principals reporting school improvement plans, personnel changes, and flexibility in staffing, by school improvement status and Title I status: 2013–14 .....	E-12
E.11	Percentage of principals reporting professional development and assistance received in 2013–14 and in the previous summer, by school improvement status and Title I status: 2013–14 .....	E-13
E.12	Percentage of teachers reporting professional development and assistance received in 2013–14 and the previous summer, by school improvement status and Title I status: 2013–14 .....	E-14
E.13	Number of states reporting that at least one Title I priority school or Title I school in corrective action or restructuring closed or implemented specific models for school turnaround, by state ESEA flexibility status: 2013–14 .....	E-15
E.14	State reports of the percentage of Title I priority schools and Title I schools in corrective action or restructuring that implemented specific models for school turnaround and the number of schools closed, by state ESEA flexibility status: 2013–14 .....	E-16
E.15	Percentage of Title I priority schools or Title I schools in corrective action or restructuring reporting that they implemented specific models for school turnaround, by state or district ESEA flexibility status: 2013–14 .....	E-17
E.16	Number of states reporting that at least one Title I priority school and Title I school in corrective action or restructuring made specific management changes, by state ESEA flexibility status: 2013–14 .....	E-18
E.17	State reports of the percentage of Title I priority schools and Title I schools in corrective action or restructuring making specific management changes, by state ESEA flexibility status: 2013–14 .....	E-19
E.18	Number of states reporting at least one Title I priority school or one Title I school in corrective action or restructuring made personnel changes before the start of 2013–14, by state ESEA flexibility status: 2013–14 .....	E-20
E.19	State reports of the number and percentage of Title I priority schools and Title I schools in corrective action or restructuring that made personnel changes before the start of 2013–14, by state ESEA flexibility status: 2013–14 .....	E-21
E.20	Percentage of Title I priority schools and Title I schools in corrective action or restructuring reporting personnel changes before the start of 2013–14, by state or district ESEA flexibility status: 2013–14.....	E-22
E.21	Number of states in which teacher assignment laws or policies provide specific incentives or flexibility for Title I priority schools and Title I schools in corrective action or restructuring in 2013–14, by state ESEA flexibility status..	E-23
E.22	Percentage of Title I schools with flexibility in teacher assignment laws or policies and authority for teacher hiring, by school improvement status: 2013–14 .....	E-24

<b>Exhibit</b>		<b>Page</b>
E.23	Number of states with interventions required in non-Title I priority schools and non-Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14 .....	E-25
E.24	Number of states closing non-Title I priority schools and non-Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14.....	E-26
E.25	Number of states with at least one non-Title I priority school or non-Title I school in corrective action or restructuring making personnel changes before the start of 2013–14, by state ESEA flexibility status .....	E-27
E.26	Number and percentage of non-Title I priority schools or non-Title I schools in corrective action or restructuring making personnel changes before the start of 2013–14, by state ESEA flexibility status.....	E-28
E.27	Number of states in which teacher assignment laws or policies provide specific incentives or flexibility for non-Title I priority schools and non-Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14 .....	E-29
E.28	Number of states with organizational or administrative structures to support school turnaround efforts, by state ESEA flexibility status: 2013–14.....	E-30
E.29	Number of states with approaches to and frequency of monitoring Title I lowest-performing schools, by state ESEA flexibility status: 2013–14 .....	E-31
E.30	Number of states with full-time-equivalent staff or consultants to assist low-performing Title I schools and their districts, by state ESEA flexibility status: 2013–14 .....	E-32
E.31	Percentage of principals reporting the frequency of state monitoring, by state or district ESEA flexibility status and type of Title I school: 2013–14 ...	E-33
E.32	Number of states with interventions required in 2013–14 for Title I schools not meeting AMOs for 2012–13 and schools in need of improvement, by state ESEA flexibility status .....	E-34
E.33	Number of states monitoring Title I schools not meeting AMOs for 2012–13 and schools in need of improvement, by state ESEA flexibility status: 2013–14 .....	E-35
E.34	Percentage of principals reporting school improvement plans, personnel changes, and flexibility in staffing, by school improvement status, AMO status, and Title I status: 2013–14.....	E-36
E.35	Percentage of schools implementing specific interventions, by school improvement status, AMO status, and Title I status: 2013–14.....	E-37
E.36	Percentage of teachers reporting participation in school intervention activities, by school improvement status, AMO status, and Title I status: 2013–14 .....	E-38

<b>Exhibit</b>		<b>Page</b>
E.37	Percentage of principals reporting professional development and assistance received in 2013–14 and the previous summer, by school improvement status, AMO status, and Title I status .....	E-39
E.38	Percentage of teachers reporting professional development and assistance received in 2013–14 and the previous summer, by school improvement status, AMO status, and Title I status .....	E-40
E.39	Number of states identifying highest-performing and high-progress schools and the number and percentage of schools, by state ESEA flexibility status: 2013–14 .....	E-41
F.1	Number of states that changed laws or regulations governing principal evaluation since 2009 and required principal evaluation practices: 2013–14 ...	F-3
F.2	Number of states by type of guidance to districts for principal evaluation systems: 2013–14 .....	F-4
F.3	Number of states requiring districts to submit plans or reports related to teacher and principal evaluation system practices, by status of state adoption of a new system as of 2009: 2013–14 .....	F-5
F.4	Percentage of districts by number of rating categories for teacher evaluation: 2013–14 .....	F-6
F.5	Percentage of districts observing satisfactory, proficient, or effective non-probationary or tenured teachers, by frequency of evaluations and number of observations per evaluation cycle: 2013–14 .....	F-6
F.6	Percentage of districts using practices for teacher evaluation, by state guidance on evaluation systems: 2013–14 .....	F-7
F.7	Percentage of districts implementing a new teacher evaluation system established since 2009, by district size: 2013–14 .....	F-8
F.8	Average percentage of teachers in the highest and lowest performance categories, by district implementation status of new teacher evaluation system, for districts able to report these percentages: 2013–14 .....	F-8
F.9.	Percentage of evaluated teachers who somewhat/strongly agreed with statements about their understanding of the system used to evaluate their performance this year: 2013–14 .....	F-9
F.10.	Percentage of principals evaluated using VAM or SGP measures of student achievement growth who agreed with statements about their evaluation, by years of experience as a principal: 2013–14 .....	F-10



<b>Exhibit</b>		<b>Page</b>
F.11.	Percentage of principals evaluated who somewhat/strongly agree that their performance evaluation covered all aspects of their performance, by whether their evaluation included student achievement growth: 2013–14 .....	F-10
F.12.	Average required in-service teacher professional development days during 2013–14 and summer 2013, by district implementation status of new teacher evaluation system .....	F-11
F.13	Teacher reported average hours of professional development on teacher evaluation system during 2013–14 and summer 2013, by district implementation status of new teacher evaluation system .....	F-11
F.14	Number of states requiring districts to use teacher evaluation results for various teacher personnel decisions: 2013–14 .....	F-12
F.15	Number of states that examined the distribution of principal quality/ effectiveness within the past 12 months and the measures used: 2013–14 .....	F-13
F.16	Number of states that used specific measures to define principal quality/effectiveness, by whether the state found substantial inequities in principal distribution: 2013–14.....	F-14
F.17	Number of states that found substantial inequities in the distributions of principal quality/effectiveness and took actions to address inequities: 2013–14 .....	F-14
F.18	Percentage of districts examining the distribution of principal quality/ effectiveness, by district size: 2013–14 .....	F-15

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# 1. Introduction

This report describes the implementation of policies and initiatives supported by Title I and Title II-A of the federal Elementary and Secondary Education Act (ESEA)<sup>9</sup> during the 2013–14 school year. Title I is one of the U.S. Department of Education’s (ED) largest programs, accounting for \$15 billion in the 2016 federal budget. Historically, Title I has provided financial assistance to schools and districts with a high percentage of students from low-income families to help increase these students’ achievement. Since the 2002 reauthorization of ESEA, known as the No Child Left Behind Act (NCLB),<sup>10</sup> Title I has also included requirements that states hold schools and districts accountable for students’ proficiency in reading and math. During the 2014–15 school year, more than 100,000 public schools received Title I funds, and the program served over 25 million children (U.S. Department of Education 2016).

Title II of ESEA likewise provides substantial federal resources to support the education of low-income students, providing funds to increase academic achievement by improving teacher and principal quality. Title II funds may be used for teacher recruitment and retention, professional development, mentoring, induction, or class-size reduction. NCLB created new “highly qualified teacher” provisions, with the aim of ensuring instructional quality for low-income students. State grants for improving teacher quality under Title II amount to over \$2 billion in the 2016 federal budget.

Various changes in education policy and practice at federal and state levels over the last decade are likely to have had major implications for the implementation of ESEA. These include regulatory changes that permitted some states to use student achievement growth (alongside proficiency levels) in their school accountability measures; additional federal funds (as part of the American Recovery and Reinvestment Act<sup>11</sup>) to support the turnaround of chronically low-performing schools; state and federal efforts (including the Department of Education’s Race to the Top program) to increase the rigor of content standards and develop richer assessments; and large-scale efforts to promote educator effectiveness, particularly through the development of new educator evaluation systems with greater emphasis on student learning (promoted by Race to the Top and the Department of Education’s ESEA flexibility initiative). Titles I and II-A of ESEA were major vehicles for providing federal funding supporting these initiatives and establishing regulations to promote them.

This report examines the implementation of policies promoted through Title I and Title II-A of ESEA at the state, district, school, and classroom levels with data collected during the 2013–14 school year. ESEA was subsequently re-authorized in December 2015 with the Every Student Succeeds Act (ESSA),<sup>12</sup> which made the first statutory changes in ESEA since NCLB. ESSA departs in substantial ways from NCLB and from the Department of Education’s policies in the years since the passage of NCLB.

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<sup>9</sup> The Elementary and Secondary Education Act as reauthorized by the No Child Left Behind Act of 2001 (2002), P.L. 107-110, 20 U.S.C. § 6301 *et seq.*

<sup>10</sup> *Ibid.*

<sup>11</sup> American Recovery and Reinvestment Act of 2009, P.L. 111-5, 26 U.S.C. § 1 *et seq.*

<sup>12</sup> Every Student Succeeds Act of 2015, P.L. 114-95, 20 U.S.C. § 6301 *et seq.*

Under ESSA, states will have more discretion to design and implement their own policies related to the use of federal funds from Title I and Title II-A. The data collected for this report cannot address the changes that will occur as a result of ESSA.

Some of the policies examined in this report were examined in earlier school years in studies of initiatives funded by the American Recovery and Reinvestment Act (ARRA) (Troppe et al. 2015) and by the Department of Education's Race to the Top (RTT) grants and School Improvement Grants (SIG) (Dragoset et al. 2015a; 2015b). This report examines a broader range of policies addressed by Title I and Title II-A of ESEA in a more recent school year (2013–14). Through surveys at each level and extant data and documents, the report provides information on activities in three core areas: (1) state content standards and assessments in math and reading/English language arts (ELA), (2) school accountability, and (3) teacher and principal evaluation and support. Several prior studies have examined one or more of these areas (Hyslop 2013; Rentner 2013; Achieve 2015; Pennington 2014; Doherty & Jacobs 2015); however, these studies use data collected only from states, or in one case from a non-nationally representative sample of schools. This report provides policymakers with detailed information on how ESEA provisions in these three areas have been playing out in states, districts, schools, and classrooms across the country. The remainder of this chapter provides a brief overview of major policy directions since NCLB in the three core areas, before describing the study questions, data sources, and analytic approach.

## **A. Content Standards and Assessments**

Since 1994, ESEA has required states to adopt content standards in reading/ELA and math and administer student assessments aligned to those standards in selected grades.<sup>13</sup> States were given discretion to define content standards, design assessments, and determine cut points on the assessments at which students would be deemed proficient in each grade and subject. NCLB required assessments in reading/ELA and math to be conducted annually in grades 3–8 and in one high-school grade.

States varied widely in content standards and proficiency expectations, with most states setting proficiency expectations lower than those used by the National Assessment of Educational Progress (NAEP) (Bandeira de Mello, Blankenship, & McLaughlin 2009; Bandeira de Mello 2011; Bandeira de Mello et al. 2015). The economic value of a high-school diploma had declined over the preceding decades (Goldin & Katz 2007), and advocates argued that high schools needed to raise standards to meet increased demands of college and the workplace (Achieve 2004). Large numbers of students entering community colleges and state universities were found to be unprepared for college-level work (Sparks & Malkus 2013).

In response to these concerns, states began ratcheting up high-school graduation requirements, particularly in math. In addition, the National Governors Association, the Council of Chief State School Officers, and Achieve began developing the Common Core State Standards (CCSS) with an aim to identify

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<sup>13</sup> See Improving America's Schools Act of 1994, P.L. 103-382, 20 U.S.C. § 6301 *et seq.*

skills that students would need to be college- and career-ready. The CCSS in reading/ELA and math were released in June 2010.

The U.S. Department of Education began to encourage states to adopt college- and career-ready standards (such as the CCSS) with the State Fiscal Stabilization Fund (SFSF) in 2009 and the competitive RTT grant program, which started giving large grants to states in 2010. In 2012, the U.S. Department of Education began granting states flexibility from some ESEA provisions, requiring states receiving flexibility to commit to have college- and career-ready standards in place by 2013–14. As of spring 2012, 46 state education agencies reported that their states had adopted the CCSS in both subjects (Troppe et al. 2015).

The resulting college- and career-ready standards required the development of new assessments. With grants from the U.S. Department of Education, two consortia of multiple states—the Smarter Balanced Assessment Consortium (Smarter Balanced) and the Partnership for Assessment of Readiness for College and Careers (PARCC)—were established in 2010 to develop assessments that would better measure students’ mastery of college- and career-ready content standards. By 2011–12, 44 states that adopted the CCSS in both subjects had joined one of the assessment consortia (Troppe et al. 2015). By 2013–14, when the surveys for this study were conducted, 46 states had already adopted the CCSS in math and 47 in reading/ELA; 33 states and the District of Columbia piloted the PARCC or Smarter Balanced assessment in spring 2014.

State policies related to standards and assessments have continued to change in the last few years. More than 25 states that had adopted the CCSS renamed the standards as of September 2014 (Salazar & Christie 2014). As of 2015, three states had replaced the CCSS standards; seven states were reviewing the standards; and the legislatures in 21 states were considering bills to stop implementing the standards.<sup>14</sup> The number of states committed to using the new, CCSS-aligned assessments has changed as well, with many states withdrawing from the testing consortia. For the 2015–16 testing period, 21 states planned to use the Smarter Balanced or PARCC assessments (Gewertz 2016).

Under ESSA, states will have more flexibility regarding the content standards they adopt, but will still be required to have challenging standards that promote college- and career-readiness. States also will have flexibility on several assessment requirements and can set limits on the percentage of instructional hours devoted to test administration.

## **B. Accountability and Support for Schools and Districts**

NCLB required states to establish “adequate yearly progress” (AYP) goals for student proficiency on state-mandated assessments, with annual targets rising over time so that by 2014, all students would be proficient. Schools and school districts were held accountable for achieving rates of student proficiency in reading/ELA and math that met the annual objectives, as well as for the proficiency rates

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<sup>14</sup> Source: Center on Standards, Alignment, Instruction, and Learning (C-SAIL), *State activity around adoption and replacement of CCR standards and aligned assessments, 2011–2015*, <http://c-sail.org/sites/default/files/StateCCRactivity.pdf>. This site also identified Indiana, Oklahoma, and South Carolina as the states that replaced the standards and Arizona, Louisiana, Missouri, Tennessee, North Carolina, North Dakota, and West Virginia as the states reviewing the standards in 2015.

of specific subgroups of students. Schools that failed to meet AYP for either all students or a subgroup of students over successive years were subject to an increasingly aggressive set of interventions spelled out in the law, beginning with students' option to attend other schools and culminating with school closing or state takeover.

In time, the Department of Education began to allow states to look beyond simple proficiency percentages for school accountability. In 2008, new federal guidelines allowed 15 states to add proficiency improvement to their accountability systems alongside proficiency levels. ESEA flexibility regulations<sup>15</sup> introduced in 2012 invited states to further expand their accountability measures to include achievement growth of individual students, subjects beyond mathematics and reading/ELA, and other measures of student academic outcomes.

Expansion of eligibility and funding for the federal SIG program beginning in 2010–11 provided substantial new resources for schools identified by the state as “persistently lowest performing.” Schools accepting SIG funds had to adopt systemic reforms such as re-opening the school as a charter school; turning the school’s operations over to a management organization; closing the school; or making substantial changes in personnel, rigorously reviewing staff performance, and implementing new instructional models.

To ensure that SIG and related resources were directed to the schools in greatest need, ESEA flexibility policies, first initiated in a dozen states in 2012, called for fewer low-performing schools to be identified and for schools with persistently low performance of all students to be treated differently from schools with subgroup achievement gaps. States receiving flexibility were asked to identify just 5 percent of their Title I schools as priority schools (schools with persistently lowest performance of all students) and 10 percent of their Title I schools as focus schools (schools with low subgroup performance contributing to the achievement gap).

In 2013–14, when the surveys for this study were conducted, 42 states and the District of Columbia had been granted ESEA flexibility. Eight states continued to operate under NCLB policies. ESSA gives all states substantially more flexibility to design their own accountability systems in the future.

### **C. Teacher and Principal Evaluation, Support, and Equity of Distribution**

NCLB required all teachers of core academic subjects to be highly qualified. To be considered highly qualified, teachers had to have a bachelor’s degree, full state certification, and demonstrated competency in the core areas in which they teach. Since 2007–08, 95 percent or more of core academic classes have been taught by teachers meeting the “highly qualified” standard (U.S. Department of Education, 2015a). But whether this was sufficient to ensure effective teaching was challenged by research showing that teacher licensure and degrees are generally not related to teachers’ contributions to student achievement (Croninger et al. 2007).

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<sup>15</sup> See Appendix A for details on the ESEA waiver provisions.

NCLB also established Title II-A, Improving Teacher Quality State Grants, as a new source of funding to improve teacher quality. Districts use the majority of Title II-A funds for professional development activities for teachers, paraprofessionals, and administrators and to pay for highly qualified teachers to reduce class size (U.S. Department of Education 2015b). Since 2002–03, the percentage of funds used for professional development activities has increased to become the most common use of funds. At the same time, using funds for class size reduction has decreased. However, a growing body of research has called into question the effectiveness of professional development as it is typically provided (Gersten et al. 2014; Yoon et al. 2007).

The Teacher Incentive Fund (TIF) and Race to the Top expressed Federal interest in teacher performance as well as teacher credentials. Incorporating lessons from research identifying methods to measure teachers' performance in the classroom (Kane et al. 2013), policy promoted reforms of teacher and principal evaluations. These included multiple observations of classroom practice, inclusion of a measure of the achievement growth of educators' students, and distinguishing at least three levels of educator performance. Starting in 2012, states granted ESEA flexibility were expected to implement teacher and principal evaluation systems consistent with emerging research. These initiatives also encouraged the use of evaluation results to make personnel decisions, to assess the equity of access to effective educators, and to inform individualized professional development.

By 2013–14, a majority of states had made substantial changes to their educator evaluation systems. This study documents the state of evaluation and related support policies and practices in 2013–14. Although ESSA allows Title II-A funds to be used for evaluation systems, the law does not have any requirements related to evaluation systems. Thus, it reduces the federal role in educator evaluation in the future.

## **D. Study Questions**

Recent studies of the RTT program (Dragoset et al. 2015a) and the use of funds to support education initiatives under ARRA (Troppe et al., 2015) have addressed related topics on recent federal education policy in some of the years since the last comprehensive implementation study of Title I. This study extends the work of those prior studies by addressing a wider range of issues related to the implementation of Title I and Title II-A, by updating findings to the 2013–14 school year, and by using data from all state education agencies and nationally representative samples of districts, schools, and core academic and special education teachers.

The research questions used to guide the study are as follows:

1. How has student achievement changed over time?
2. What content standards and high school graduation requirements are states adopting, and what materials and resources do states, districts, and schools provide to help teachers implement the state content standards?

3. What assessments do states and districts use (in terms of assessment format and coverage of grade levels and content areas), and what materials and resources do states, districts, and schools provide to support the implementation of assessments and use of assessment data?
4. What elements are included in states' accountability systems? How do states and districts identify and reward their highest-performing schools, identify and support their lowest-performing schools, and offer differentiated support for schools that are neither highest-performing nor lowest-performing?
5. How do states and districts evaluate teacher and principal effectiveness and assess equitable distribution of teachers and principals, and what supports do states, districts, and schools provide to improve teacher and principal effectiveness?

## **E. Data Sources, Sample Design, and Data Collection**

To address these questions, the study team administered surveys to state education agency administrators, district administrators, principals, and teachers in spring and summer 2014. The survey instruments are provided in Appendix B. The analyses also use information on state reports of school improvement status and school Title I status from *EDFacts*, proficiency scores from the NAEP data, and information on school characteristics (at the school level and aggregated to the district and state levels) from the Common Core of Data (CCD). Exhibit 1.1 shows the data sources used to examine the implementation of policies and practices related to the study's three broad topic areas—content standards and assessments, accountability, and teachers and principal evaluation. Appendix B provides additional details on the study's data sources.



**Exhibit 1.1. Topic areas, policies and practices, and data sources**

Topic area	Policies and practices addressed by data sources	Primary data sources			
		State	District	Principal	Teacher
Content standards and assessments	Adoption of content standards	x	x		
	Implementation of content standards	x	x	x	x
	Professional development, planning, and monitoring related to content standards	x	x	x	x
	Instructional practices consistent with content standards				x
	Challenges to implementing content standards		x	x	x
	Assessments and assessment types	x	x		
	Preparation for assessments		x	x	x
	Accommodations for English learners and students with disabilities	x			
	Technology for assessments	x	x		
	Access to and use of assessment data	x	x	x	x
	Challenges using assessment data		x	x	x
High-school graduation requirements	x				
Accountability	Long-term goals for student achievement, subgroups monitored, and measures of school performance	x	x	x	
	Measures used to identify persistently low-performing schools and schools with low-performing subgroups	x			
	School improvement strategies required and used	x	x	x	x
	Monitoring schools identified for improvement	x		x	
Teachers and leaders	Changes in state laws or regulations for educator evaluation systems and implementation at the district level	x	x		
	Characteristics of educator evaluation systems	x	x	x	x
	Educator perceptions of evaluation systems			x	x
	Supports provided for improving educator effectiveness		x	x	x
	Equitable access to effective educators	x	x		

The study sample included all states plus the District of Columbia and nationally representative samples of districts and schools. The study also included a nationally representative sample of kindergarten through 12th-grade teachers who teach core academic subjects or special education. The school sample was nested in the district sample, and the teacher sample nested in the school sample. In total, survey responses were received from 562 districts, 1,091 schools, and 6,346 teachers. More details on the study sample are provided in Appendix B.

The surveys were fielded in spring and summer 2014. All state education agencies and 99 percent of districts responded to their surveys. Eighty-eight percent of schools provided a teacher roster, and 87 percent of principals responded to their surveys. Eighty percent of teachers responded to their surveys.

## F. Analysis Methods

This study was designed to describe the implementation of policy and program initiatives related to the objectives of Title I and Title II-A. To achieve this goal, extensive descriptive analyses were conducted using survey data and data derived from the review of state documents. Simple descriptive statistics (e.g., means, frequencies, percentages) and simple statistical tests (e.g., tests for differences of proportions) were used to answer the research questions. The study was not designed to produce causal inferences, and all comparisons should be interpreted as purely descriptive. In particular, the research design is not intended to support claims about the effects of federal policies.

In addition to examining implementation of Title I and Title II-A policies and practices across all state education agencies, districts, schools/principals, and teachers, we looked for differences by selected state, district, school, and teacher characteristics to determine if certain types of respondents were more likely than others to report implementing reforms. We examined the following subgroups:

- School grade span (elementary, middle, or high), because policies often play out differently in schools of different grade ranges, for which implementation challenges vary;
- The combination of the schools' Title I status and grade span, because not all of the policies apply specifically to Title I schools, and Title I schools disproportionately serve elementary grades;
- District size (small, with fewer than 2,500 students; medium, with more than 2,500 but fewer than 25,000 students; or large, with more than 25,000 students), since districts of different sizes may vary in their capacity to implement reforms;
- State or district teacher/principal evaluation system implementation status (not piloting or implementing a new evaluation system, piloting or partially implementing a new evaluation system, or fully implementing a new evaluation system), because adoption of new evaluation systems proceeded at different paces in different districts and states;
- State or district ESEA flexibility status, because states with flexibility agreed to implement specific policies that were not required in other states, while they were freed from other obligations that states without flexibility remained accountable for; and
- Teacher's primary subject taught (reading/ELA, math, science, social studies, general elementary, or special education), because teacher evaluation practices often vary by subject.
- School poverty (high poverty, 76 percent or more students eligible for free or reduced-price lunch; medium poverty, more than 25 percent but fewer than 76 percent of students eligible for free or reduced-price lunch; or low poverty, 25 percent or fewer students eligible for free or reduced-price lunch) since Title I provides assistance to schools and districts with a high percentage of students from low-income families to help increase the students' achievement.

## G. Report Contents

This report describes the implementation of changes in education policies and practices promoted through ESEA at the state, district, school, and classroom levels. It begins with a description of nationwide student achievement trends, followed by three chapters on implementation findings that correspond to the three major topic areas of the report: state content standards, accountability, and educator evaluation. Appendices provide details on data collection and research methodology as well as supplemental data exhibits.

**Trends in student proficiency and graduation rates.** Chapter 2 provides context for the findings on ESEA implementation in the chapters that follow, using existing data to examine trends in student proficiency rates and high-school graduation rates. The chapter compares NAEP proficiency rates to proficiency rates on state assessments and examines trends over the last decade in proficiency rates according to both measures. These data do not provide evidence on the effects of any particular ESEA policy or of ESEA as a whole, but provide context for the implementation analyses.

**Content standards and assessments.** Chapter 3 reviews the landscape of reading/ELA and math state content standards in fall 2013 and how they were implemented in classrooms in 2013–14. It also examines the kinds of assessments states used and the strategies educators were using to prepare students for assessments. The chapter also examines supports provided for the implementation of aligned assessments and educators' use of assessment data and includes a review of state high school graduation requirements, including exit exams.

**Accountability and support for schools and districts.** Chapter 4 examines school accountability and support policies in place in 2013–14 and their implementation in districts and schools. The chapter begins by discussing the measures that states used for school accountability. It then turns to examining how states rewarded high-performing schools, supported and intervened in low-performing schools, and provided differentiated support to schools that were neither high nor low performing.

**Teacher and principal evaluation, support, and equity of distribution.** The fifth and final chapter reports on state and local initiatives in 2013–14 to evaluate educators, improve their effectiveness, and provide equitable access to effective educators. The chapter examines changes in state laws and regulations for teacher and principal evaluation systems, characteristics of evaluation systems as implemented by districts, use of evaluation results, supports provided by states and districts to improve educator effectiveness, and equitable distribution of effective educators.

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## 2. Trends in Student Proficiency and Graduation Rates

This chapter uses extant data to describe trends in student proficiency in reading and math according to the National Assessment of Educational Progress (NAEP), in high school graduation rates, and in proficiency according to states' own assessments. Changes in student achievement cannot be attributed to any particular policy or practice examined in this report, but they provide context for the report's implementation findings. A comparison of trends in proficiency rates according to NAEP and state assessments, which concludes this chapter, is particularly relevant context for the implementation findings on content standards and assessments presented in the next chapter.

Proficiency rates on NAEP are useful to examine because they involve consistent scales, standards, and proficiency thresholds across all states and throughout the years examined. Proficiency rates on state assessments are important because those are the assessments that are relevant to ESEA requirements under NCLB, under the ESEA flexibility process, and (in the future) under ESSA. But they have limitations for describing student achievement nationwide because content standards, assessments, and proficiency expectations vary across states and sometimes from year to year within states. Changes in proficiency rates on state assessments (and differences between states) therefore may reflect not only true changes in student achievement, but also changes in state standards, assessments, and proficiency thresholds.

High school graduation rates are of interest because (like proficiency rates) they are included in state accountability systems and because students lacking high school degrees have very limited options for future employment (Kena et al. 2015). Moreover, any observed changes in high school graduation rates could also affect the interpretation of trends in high school proficiency rates, for NAEP as well as for state assessments. Neither NAEP nor states test students who have dropped out of high school, so changes in high school graduation rates would produce changes in the population of students who are tested, potentially affecting observed rates of student proficiency. If states increase the rigor of high school graduation requirements, for example, dropout rates might increase, which could lead to artificial inflation of proficiency rates on state assessments and NAEP because the subset of students who remain in school would be likely to be higher achieving than those who drop out.

A comparison of rates of student proficiency on state assessments versus NAEP is especially relevant context for the next chapter of this report, on content standards and assessments. There has been a widespread movement over the last decade to raise academic standards to ensure that all students are "college and career ready" when they finish high school. Prior to this movement, most states had proficiency thresholds set lower than those set by NAEP, with reported proficiency percentages that consequently appeared higher than those reported by NAEP (Bandeira de Mello, Blankenship, & McLaughlin, 2009). If many states have in fact raised proficiency expectations, the relationship between proficiency on state assessments and proficiency on NAEP would change.

This chapter addresses several evaluation sub-questions related to the larger question of how student achievement has changed over time:

- How have proficiency rates on NAEP changed, overall, for different states, and for different subgroups of students?
- How have high school graduation rates changed?
- How did proficiency rates on state assessments change in the period leading up to 2013–14, and how were these changes related to changes in proficiency according to NAEP?

## A. Data on Proficiency and Graduation

State-level reading and math proficiency data are available for NAEP, from the National Center for Education Statistics (NCES) for 4th- and 8th-grade reading and math for every other year from 2003 to 2015. Historically, NAEP tested 12th-graders less frequently and did not include representative samples in all states; NAEP proficiency rates for reading and math in 12th grade are currently available for 2005, 2009, 2013, and 2015 nationally.<sup>16</sup>

Nationwide data on proficiency on states’ own assessments are consistently available from the *EDFacts* database annually from 2006–14 in grades three through eight. At the high school level, the particular grades tested vary by state. High school proficiency rates in this chapter are based on whatever grade is tested in each state (and 12th grade for NAEP). Because the data are more fully and consistently available, most of the analyses presented in this chapter focus on 4th and 8th grades.

Exhibit 2.1 shows the NAEP and state data on reading and math proficiency that we use in this chapter.

**Exhibit 2.1. Student proficiency data used in this chapter**

Grade level with math and reading proficiency levels available	2005	2007	2009	2011	2013	2015
Grade 4	NAEP	NAEP and state ( <i>EDFacts</i> )	NAEP and state ( <i>EDFacts</i> )	NAEP and state ( <i>EDFacts</i> )	NAEP and state ( <i>EDFacts</i> )	NAEP
Grade 8	NAEP	NAEP and state ( <i>EDFacts</i> )	NAEP and state ( <i>EDFacts</i> )	NAEP and state ( <i>EDFacts</i> )	NAEP and state ( <i>EDFacts</i> )	NAEP
High school	NAEP	State ( <i>EDFacts</i> )	NAEP and state ( <i>EDFacts</i> )	State ( <i>EDFacts</i> )	NAEP and state ( <i>EDFacts</i> )	NAEP

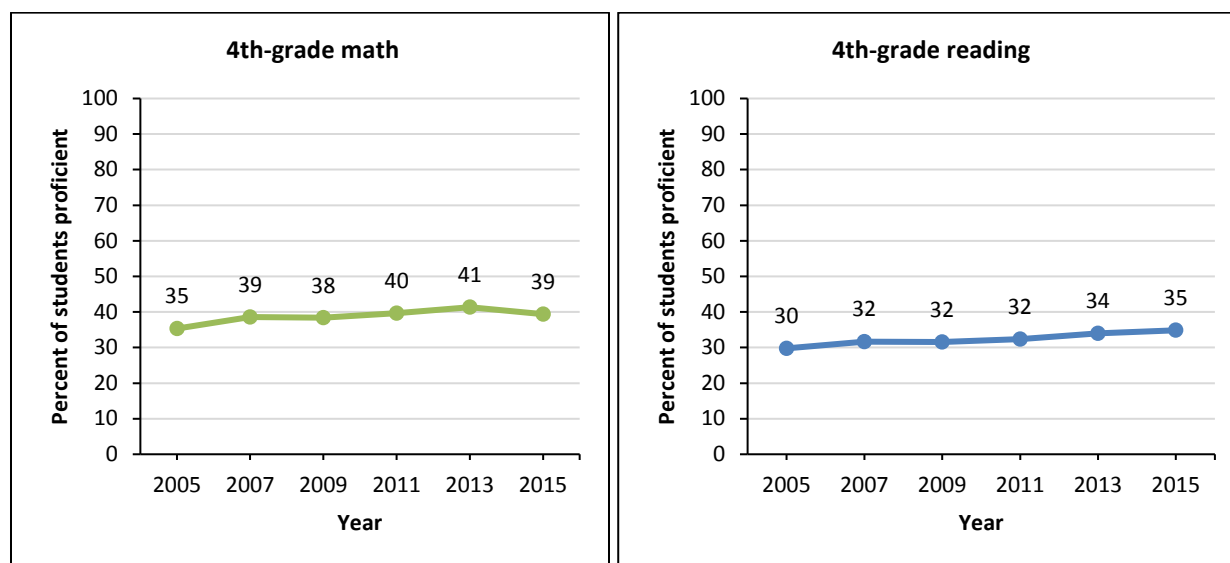
<sup>16</sup> For most of the trend analyses, we begin with 2005, which is the final year included in the previous National Assessment of Title I (Stullich, Eisner, & McCrary 2007). This allows us to extend the analysis of student proficiency on NAEP and state assessments.

High school graduation rates are available nationally from NCES for the last several decades. State-specific graduation rates have been consistently calculated only in recent years, and we report state-specific graduation rates only for the most recent year available, 2013–14—which was also the year when this study’s implementation data were collected.

## B. Changes in Proficiency Rates Nationally on NAEP

**Nationally, NAEP proficiency rates increased slightly from 2005 to 2015 in reading and math, in elementary, middle, and high school grades.** Although proficiency levels declined slightly in some grades and subjects between 2013 and 2015, they remained higher than 2005 levels across the board, by 1 to 2 percentage points in 12th grade (Exhibit 2.4) and 4 to 5 percentage points in 4th and 8th grades (Exhibits 2.2 and 2.3).<sup>17</sup>

**Exhibit 2.2. Percentage of public school students proficient in 4th-grade math and reading: NAEP, 2005–15**

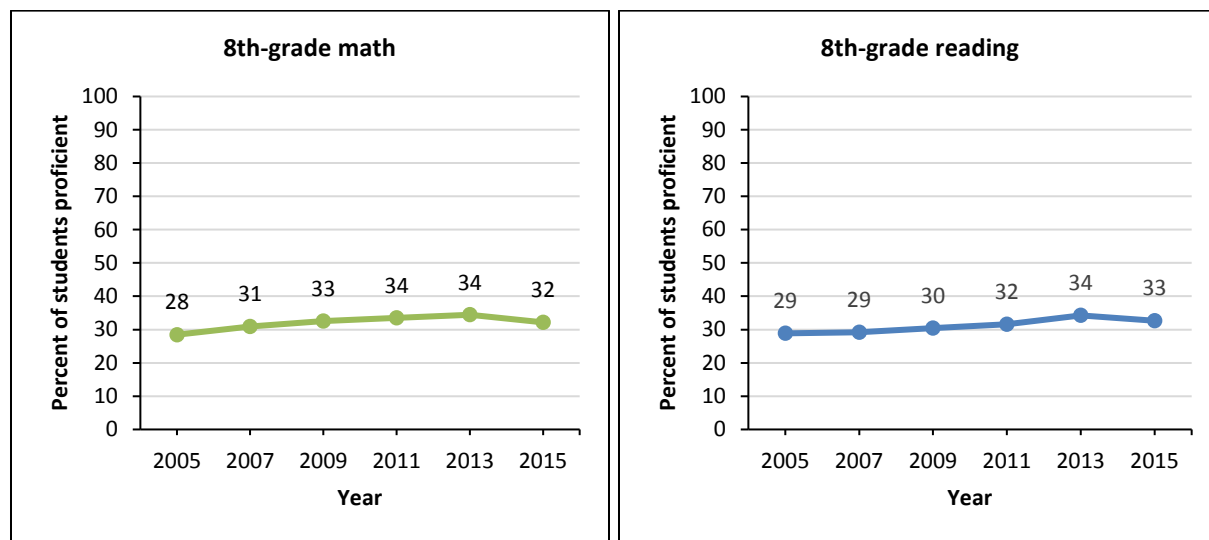


Note: Percentages include students who scored at or above proficient.

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), selected years, 2005–15 Math and Reading Assessments, NAEP Data Explorer. See *Digest of Education Statistics 2015*, table 222.50 and table 221.40.

<sup>17</sup> The 23 percent of 12th-grade students who were proficient in math in 2015 was not statistically different from the 22 percent who were proficient in 2005. In all other grades and subjects, 2015 proficiency rates exceeded 2005 proficiency rates by statistically significant margins.

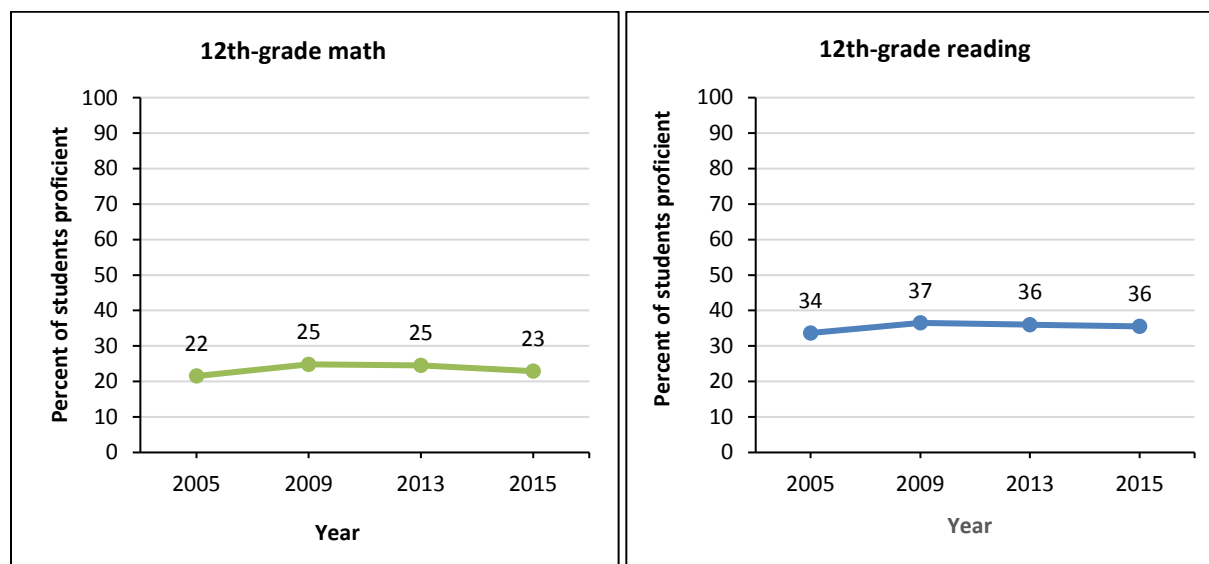
**Exhibit 2.3. Percentage of public school students proficient in 8th-grade math and reading: NAEP, 2005–15**



Note: Percentages include students who scored at or above proficient.

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), selected years, 2005–15 Math and Reading Assessments, NAEP Data Explorer. See *Digest of Education Statistics 2015*, table 222.60 and 221.60.

**Exhibit 2.4. Percentage of public school students proficient in 12th-grade math and reading: NAEP, 2005–15**



Note: Percentages include students who scored at or above proficient.

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), selected years, 2005–15 Math and Reading Assessments, NAEP Data Explorer.

**NAEP proficiency rates rose from 2005 to 2015 for economically disadvantaged, African American, Hispanic, and White students.** Exhibits 2.5, 2.6, and 2.7 show the percentage of students nationally in various subgroups in 2005 and 2015 who were proficient in math and reading in 4th, 8th, and 12th grades. (All subgroups with at least 10 percent representation nationally are included.) In this



time period, economically disadvantaged students (students eligible for free or reduced-price lunch), African American students, Hispanic, and White students all showed increases in proficiency in both reading and math in 4th and 8th grades on NAEP assessments. Economically-disadvantaged and Hispanic 12th grade students also showed increases in proficiency in both reading and math.<sup>18</sup> Meanwhile, changes in proficiency rates for African American and White 12th grade students and for English learners and students with disabilities were mixed and often not statistically significant during the same period. Interpreting trends in the scores for English learners and students with disabilities is difficult, however, because students can move in and out of the categories, and criteria for inclusion in the category may not be identical across years.

**Exhibit 2.5. Percentage of public school 4th-grade students proficient in math and reading, by subgroup: NAEP, 2005 and 2015**

Subgroup	Percent proficient in math		Percent proficient in reading	
	2005	2015	2005	2015
Economically disadvantaged students	19	24*	15	21*
African American students	13	19*	12	18*
Hispanic students	19	26*	15	21*
White students	47	51*	39	46*
English learners	11	15*	7	8
Students with disabilities	16	16	11	12
<b>All students</b>	<b>35</b>	<b>39*</b>	<b>30</b>	<b>35*</b>

Note: Percentages include students who scored at or above proficient.

\* Percentage proficient in 2015 is significantly different from the percentage proficient in 2005 ( $p < .05$ ).

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2005 and 2015 Math and Reading Assessments, NAEP Data Explorer.

**Exhibit 2.6. Percentage of public school 8th-grade students proficient in math and reading, by subgroup: NAEP, 2005 and 2015**

Subgroup	Percent proficient in math		Percent proficient in reading	
	2005	2015	2005	2015
Economically disadvantaged students	13	18*	15	20*
African American students	8	12*	11	15*
Hispanic students	13	19*	14	20*
White students	37	42*	37	42*
English learners	6	5	4	3
Students with disabilities	7	8	6	8*
<b>All students</b>	<b>28</b>	<b>32*</b>	<b>29</b>	<b>33*</b>

Note: Percentages include students who scored at or above proficient.

\* Percentage proficient in 2015 is significantly different from the percentage proficient in 2005 ( $p < .05$ ).

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2005 and 2015 Math and Reading Assessments, NAEP Data Explorer.

<sup>18</sup> Among the 24 comparisons (four subgroups, three grades, two subjects) between 2005 and 2015 for these subgroups, all 24 showed increases and 21 of the 24 increases were statistically significant. The exceptions (for which the increases were not statistically significant) were 12th-grade proficiency rates in both subjects for African American students and 12th-grade proficiency in math for white students.

**Exhibit 2.7. Percentage of public school 12th-grade students proficient in math and reading, by subgroup: NAEP, 2005 and 2015**

Subgroup	Percent proficient in math		Percent proficient in reading	
	2005	2015	2005	2015
Economically disadvantaged students	7	11*	19	23*
African American students	5	7	15	16
Hispanic students	7	11*	18	24*
White students	28	30	41	44*
English learners	3	2	5	3
Students with disabilities	4	5	5	11*
<b>All students</b>	<b>22</b>	<b>23</b>	<b>34</b>	<b>36*</b>

Note: Percentages include students who scored at or above proficient.

\* Percentage proficient in 2015 is significantly different from the percentage proficient in 2005 ( $p < .05$ ).

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2005 and 2015 Math and Reading Assessments, NAEP Data Explorer.

**NAEP proficiency rates increased in most states.** In addition to national trends in NAEP proficiency rates, it is important to understand whether improvements are consistent across the country or concentrated in a subset of states. As shown in Exhibit 2.8, proficiency rates on NAEP math and reading exams in 4th and 8th grades improved for 46 or more states (depending on grade and subject) from 2005 to 2015. (State-specific results for 12th grade are not consistently available.)

**Exhibit 2.8. Number of states with increases in NAEP math and reading proficiency between 2005 and 2015**

Grade level	Number of states	
	Math	Reading
4th grade	51	50
8th grade	46	47
<b>Number of states</b>	<b>51</b>	<b>51</b>

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2005 and 2015 Math and Reading Assessments, NAEP Data Explorer. See *Digest of Education Statistics 2015*, tables 222.50, 222.60, 221.40, and 221.60.

### C. Changes in Proficiency on State Assessments

Unlike changes in NAEP proficiency rates, changes in proficiency rates on state assessments are a function of changes in content standards, assessments, and proficiency thresholds as well as true changes in the achievement levels of successive cohorts of students. States sometimes modify their content standards, their assessments, or the assessment scores deemed to earn a “proficient” standard, thereby changing the state’s definition of proficiency. Changes in reported proficiency rates on state assessments therefore can reflect not only true differences in student achievement, but also changes in the way the state assesses proficiency.

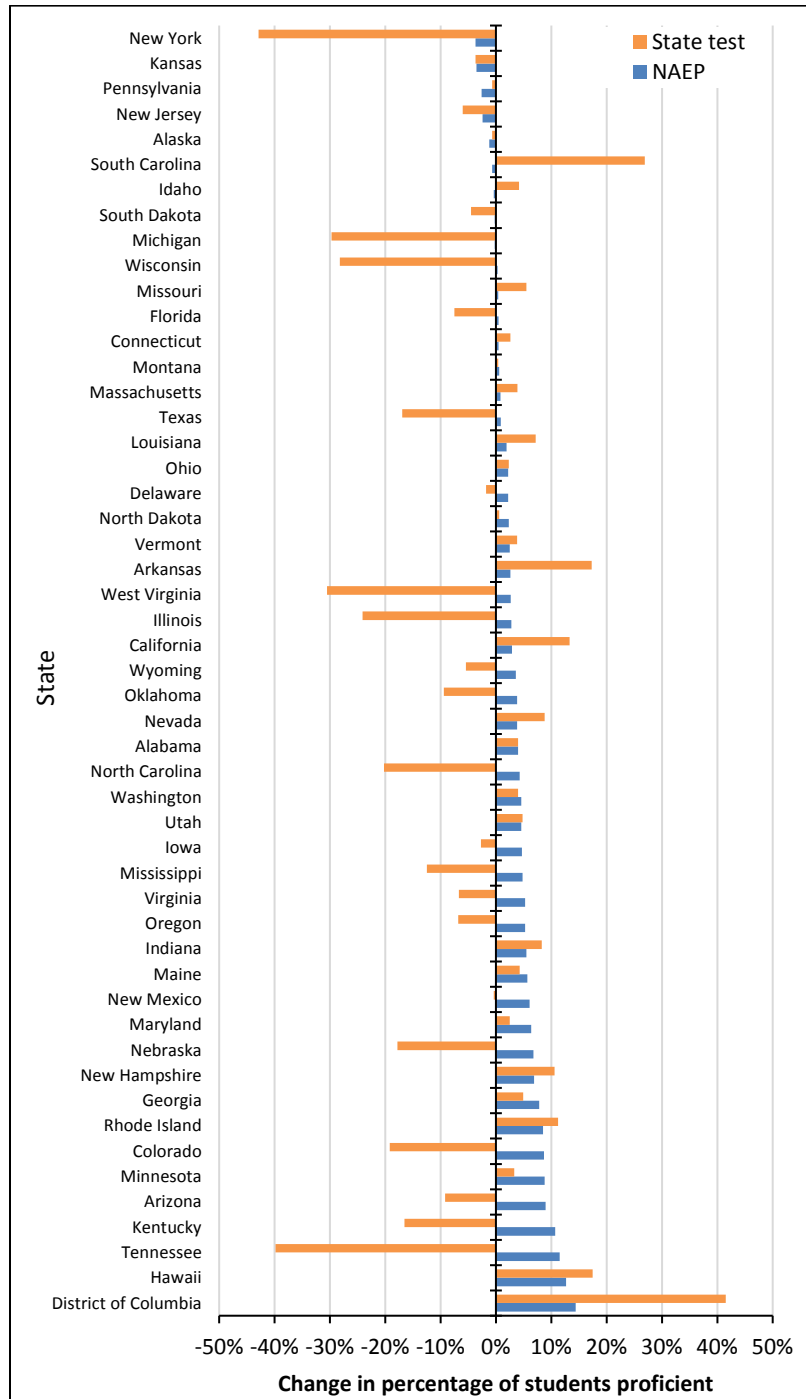
Previous research that maps state assessments to NAEP found that many states raised their proficiency thresholds on state assessments since 2009, which meant that the NAEP score corresponding to proficiency on a state assessment rose (Bandeira de Mello et al. 2015). Two recent

studies (Achieve 2016; Peterson, Barrows, & Gift 2016) have concluded that a large number of states raised their proficiency expectations between 2011 and 2015, reducing the number of students deemed proficient on their own assessments and bringing their proficiency expectations more in line with those of NAEP.

In consequence, changes in proficiency rates on state assessments often do not match changes in proficiency rates on NAEP. Exhibit 2.9 illustrates this using 4th-grade math proficiency, showing state-specific changes in NAEP proficiency rates alongside changes in proficiency rates on the states' own assessments. (Here the changes are from 2007 to 2013, years when data were available for all states on both assessments.) As the exhibit shows, many states had changes in proficiency rates on their own assessments that differed dramatically from the changes in their proficiency rates according to NAEP.

**Many states saw nominal declines in proficiency on their own assessments, perhaps because they were raising their proficiency expectations, bringing them closer to NAEP levels.** As shown in Exhibit 2.9, changes in proficiency rates in 4th grade math on state assessments were often substantially negative. Patterns for 4th-grade reading, 8th-grade math, and 8th-grade reading (appendix exhibits C.1, C.2, and C.3) were similar, frequently showing changes on state assessments that were more negative than changes on NAEP. In the next chapter, we explore the implementation of state content standards and assessments that are related to these changes.

**Exhibit 2.9. Changes in public school 4th-grade math proficiency rates between 2007 and 2013, by state**



Note: States are sequenced from largest decline in NAEP proficiency rate to largest increase. Proficiency rates include students who scored at or above proficient.

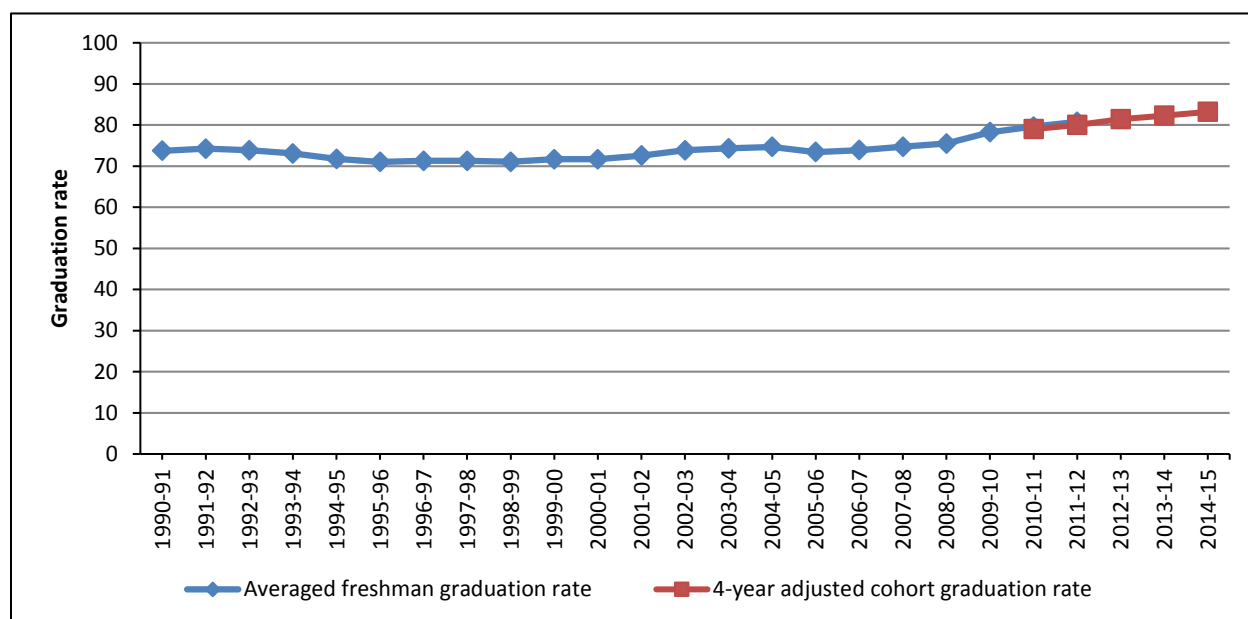
Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2007 and 2013 Math Assessments, NAEP Data Explorer. See *Digest of Education Statistics 2007 and 2013*, tables 128 and 222.50. U.S. Department of Education, state achievement test data, 2007 and 2013, ED Data Express, State Tables. *EDFacts Consolidated State Performance Reports, 2006–07 and 2012–13*:

<http://www2.ed.gov/admins/lead/account/consolidated/sy13-14part1/index.html>

## D. High School Graduation Rate

The national high school graduation rate rose from 75 percent in 2004–05 to 83 percent in 2014–15 (Exhibit 2.10). The graduation rate gradually rose in the same period when NAEP proficiency rates showed a slight increase. The method of calculating the graduation rate used by NCES changed slightly during the period, but the data from the overlapping years suggest that the change did not substantially affect the measured rate.<sup>19</sup>

**Exhibit 2.10. Averaged freshman graduation rate for public high school students: 2005–12 and 4-year adjusted cohort graduation rate for public high school students: 2010–15**

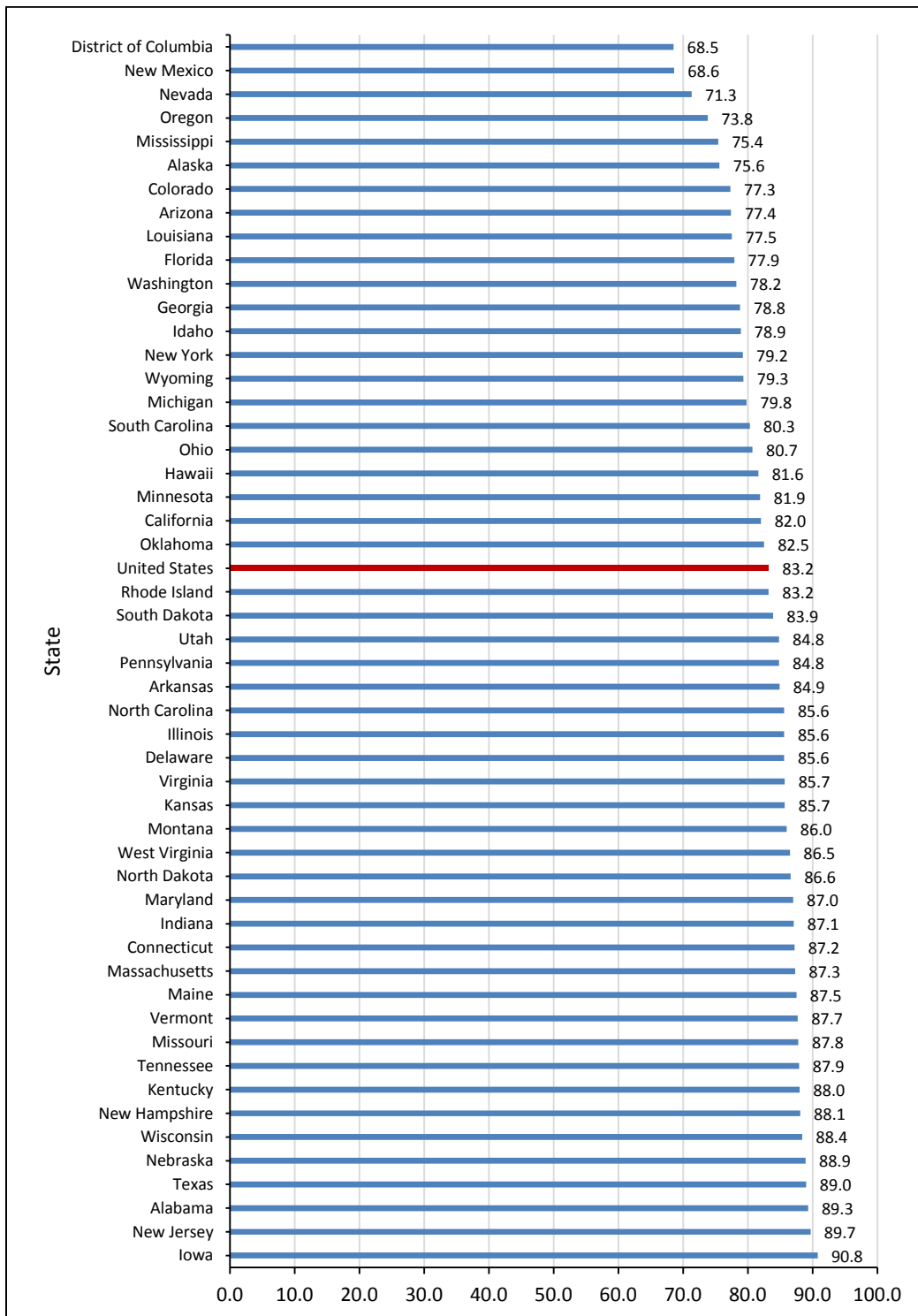


Sources: For averaged freshman graduation rate: U.S. Department of Education, National Center for Education Statistics, *Digest of Education Statistics 2013*, table 219.10 available at: [http://nces.ed.gov/programs/digest/d13/tables/dt13\\_219.10.asp](http://nces.ed.gov/programs/digest/d13/tables/dt13_219.10.asp) For public high school 4-year adjusted cohort graduation rate: U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), “Table 1. Public high school 4-year adjusted cohort graduation rate (ACGR), by race/ethnicity and selected demographics for the United States, the 50 states, and the District of Columbia: School year 2013–14,” available at: [https://nces.ed.gov/ccd/tables/ACGR\\_RE\\_and\\_characteristics\\_2013-14.asp](https://nces.ed.gov/ccd/tables/ACGR_RE_and_characteristics_2013-14.asp), and “Table 1. Public high school 4-year adjusted cohort graduation rate (ACGR), by race/ethnicity and selected demographics for the United States, the 50 states, and the District of Columbia: School year 2014–15” available at: [http://nces.ed.gov/ccd/tables/ACGR\\_RE\\_and\\_characteristics\\_2014-15.asp](http://nces.ed.gov/ccd/tables/ACGR_RE_and_characteristics_2014-15.asp). “Public high school 4-year adjusted cohort graduation rate (ACGR) for the United States, the 50 states and the District of Columbia: School years 2010–11 to 2012–13,” available at: [https://nces.ed.gov/ccd/tables/ACGR\\_2010-11\\_to\\_2012-13.asp](https://nces.ed.gov/ccd/tables/ACGR_2010-11_to_2012-13.asp).

State-specific trend data in graduation rates are not consistently available for the same period of time, but it is possible to compare graduation rates by state in 2014–15. Four-year adjusted cohort graduation rates varied from 69 percent in the District of Columbia to nearly 91 percent in Iowa in 2014–15, as shown in Exhibit 2.11.

<sup>19</sup> The older measure—the averaged freshman graduation rate—relies on aggregate student enrollment data and compares the estimated number of students in an entering class to the number of diplomas awarded four years later. The adjusted cohort graduation rate uses longitudinal data on individual students, identifying a cohort of incoming high school students and increasing or reducing the size of the cohort based on migration and death (McFarland 2015).

**Exhibit 2.11. Public high school 4-year adjusted cohort graduation rates, by state: 2014–15**



Source: U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), “Table 1. Public high school 4-year adjusted cohort graduation rate (ACGR), by race/ethnicity and selected demographics for the United States, the 50 states, and the District of Columbia: School year 2014–15,” available at: [http://nces.ed.gov/ccd/tables/ACGR\\_RE\\_and\\_characteristics\\_2014-15.asp](http://nces.ed.gov/ccd/tables/ACGR_RE_and_characteristics_2014-15.asp).

## **E. Summary**

NAEP proficiency rates generally rose in the decade after 2005. Despite slight declines in some grades and subjects between 2013 and 2015, NAEP scores remain higher than they were in 2005 across grade levels, racial/ethnic and socioeconomic subgroups, and states. Compared to 2005, NAEP proficiency rates are higher in the most recent year in reading and math; in elementary, middle, and high school; for subgroups of students classified by race/ethnicity and poverty; and for the great majority of individual states.

Changes in proficiency rates on state assessments over the last decade were often much larger than changes in NAEP proficiency, and they were more often negative. This may be related to rising expectations for what constitutes proficiency, as reflected in state content standards and assessments. We discuss the implementation of state content standards and assessments in the next chapter.

The high school graduation rate nationally rose over the decade after 2005. This suggests that the increases in high school proficiency rates as measured by the 12th-grade NAEP included a larger proportion of the students who entered high school over the decade. The expanded percentage of high school graduates included in high school assessments like NAEP might be expected to reduce average proficiency rates, since the students who previously dropped out of high school might be expected to score lower than those who completed high school. Instead, proficiency rates increased (slightly) alongside the increased graduation rates.

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### 3. Content Standards and Assessments

The benchmarks for state content standards in reading/ELA and math and assessments aligned to such standards have evolved since 1994 when they were first required of states as part of Title I of the Elementary and Secondary Education Act (ESEA). Initially, state content standards were to be “challenging” and “contain coherent and rigorous content; and encourage the teaching of advanced skills” (Improving America’s Schools Act 1994). States also had to administer “high-quality” assessments aligned with the standards to measure the proficiency of students in selected grades in reading and math.<sup>20</sup> NCLB 2002 testing requirements expanded to math and reading in each of grades 3 through 8 and once in grades 9 through 12, and science at least once during each of three grade ranges (3–5, 6–9, and 10–12). Under NCLB and its 1994 predecessor, states were given discretion about defining the standards, designing the aligned assessments, and determining proficiency cut points.

Soon after the passage of NCLB, many governors and business leaders called for raising high school standards and grounding them in the expectations needed for success in college and the workplace (Achieve 2006). By 2008, a majority of states had joined the American Diploma Project Network, which was committed to improving “high school standards, assessments, and curricula by aligning expectations with the demands of postsecondary education and work” (National Governors Association, Council of Chief State School Officers, & Achieve 2008). Around the same time, state superintendents began discussing the development of a set of common K–12 state content standards that would identify skills that students would need to be “college and career ready.” Nearly all states committed to the resulting Common Core State Standards (CCSS) initiative in 2009.

Calls for developing and adopting K–12 content standards that build the knowledge and skills needed to succeed in college and the workplace were echoed at the federal level with the 2007 America COMPETES Act<sup>21</sup> and later with the SFSF, RTT competition, and the process for permitting states to have flexibility from some ESEA provisions.

Also contributing to the evolution of benchmarks for state content standards and aligned assessments were the results of studies from the U.S. Department of Education comparing proficiency rates on the National Assessment of Educational Progress (NAEP) and state assessments. The studies found that state proficiency standards varied and that most states were using standards of proficiency that were lower than those used by NAEP (Bandeira de Mello 2011; Bandeira de Mello, Blankenship, & McLaughlin 2009; Bandeira de Mello, Bohrnstedt, Blankenship, & Sherman 2015).

The resulting college- and career-ready standards required the development of new assessments. With grants from the U.S. Department of Education, two consortia of multiple states were established to develop new assessments that would measure students’ mastery of college- and career-ready content standards. These multi-state consortia—the Smarter Balanced Assessment Consortium (Smarter Balanced) and the Partnership for Assessment of Readiness for College and Careers (PARCC)

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<sup>20</sup> See Section 1111(b)(1)D(i) of the 1994 Improving America’s Schools Act, P.L. 103-382, 20 U.S.C. § 6301 et seq. This 1994 reauthorization of ESEA also required the testing of students at least once during grades 3 through 5, grades 6–9, and grades 10–12 in math and reading/ELA.

<sup>21</sup> See Section 6001 of the America COMPETES Act, P.L. 110-69, 20 U.S.C. § 9801 et seq.

made major investments in developing new assessments that are aligned with CCSS. By 2011–12, 44 states that adopted the CCSS in both subjects had joined one of the assessment consortia (Troppe et al. 2015).

Both of the major multi-state assessment consortia planned to deliver assessments primarily online (although only the Smarter Balanced assessments are designed to adapt to the abilities of the students as they are assessed). In principle, this should make it possible to provide schools, teachers, and parents with test results earlier than in the past. It also meant that all participating schools would need to have enough computers and bandwidth to conduct the assessments once they were implemented at scale in 2014–15.

State policies related to standards and assessments have continued to change in the last few years. More than 25 states that had adopted the CCSS renamed the standards as of September 2014 (Salazar & Christie 2014). As of 2015, three states had replaced the CCSS standards; seven states were reviewing the standards; and the legislatures in 21 states were considering bills to stop implementing the standards.<sup>22</sup> The number of states committed to using the new, CCSS-aligned assessments has changed as well, with many states withdrawing from the testing consortia. For the 2015–16 testing period, 21 states planned to use the Smarter Balanced or PARCC assessments (Gewertz 2016).

Under ESSA, the emphasis on challenging college- and career-ready content standards continues, with states required to demonstrate that their standards are “aligned with entrance requirements for credit-bearing coursework in the system of public higher education in the state and relevant state career and technical standards.”<sup>23</sup> In addition, ESSA continues to require states to assess students annually in math and ELA in each of grades 3 through 8 and once in grades 9 through 12 and in science at least once during each of three grade ranges (3–5, 6–9, and 10–12). ESSA provides greater flexibility in the types of assessments used (including the option to combine scores from multiple interim assessments) and allows states to set a limit on the percentage of instructional time devoted to assessments.

This chapter reviews the landscape of reading/ELA and math state content standards in 2013–14. The findings speak to the implementation of state content standards across the nation during the 2013–14 school year—the year in which states that received ESEA flexibility had committed to move beyond adoption to implementation of college- and career-ready standards. Respondents in states that adopted the CCSS were directed to think about these standards when answering the survey questions about content standards. Respondents in other states were directed to think about their current state content standards in 2013–14.

Section A reviews state content standards as of 2013–14 and examines the status of standards implementation at the local level. Section B examines the efforts of states, districts, and schools to

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<sup>22</sup> Source: Center on Standards, Alignment, Instruction, and Learning (C-SAIL), *State activity around adoption and replacement of CCR standards and aligned assessments, 2011–2015*, <http://c-sail.org/sites/default/files/StateCCRactivity.pdf>. This site also identified Indiana, Oklahoma, and South Carolina as the states that replaced the standards and Arizona, Louisiana, Missouri, Tennessee, North Carolina, North Dakota, and West Virginia as the states reviewing the standards in 2015.

<sup>23</sup> See Section 1111(b)(1)(D)(i).

create systems and deploy resources to implement the standards in classrooms, teachers' use of instructional activities aligned with career- and college-ready standards, and challenges in implementing the standards. The types of assessments used by states, strategies educators used to prepare students for assessments, and accommodations states provide for English learners and students with disabilities are discussed in Section C. Section D examines the technology investments made by states and expectations by districts for using computers in the spring 2015 state assessments. In addition, this section describes teachers' views about the usefulness of the assessment data they received and challenges to using the data effectively. A review of state high school graduation requirements, including exit exams is presented in Section E.

## A. State Content Standards in Reading/ELA and Math

Since 1994, states have been required under ESEA to develop challenging state content standards that specify what students are expected to know and be able to do in math and reading/ELA at various grade levels. Over time, states have adopted or revised state content standards in response to new federal requirements or incentives, state mandates, or state-led initiatives.<sup>24</sup> Between 2001–02 and 2004–05, over 30 states adopted or revised content standards in reading/ELA and math (U.S. Department of Education 2007; Stullich, Eisner, & McCrary 2007). State-led development of the CCSS in reading/ELA and math began in 2009, and the final standards were released in June 2010. By 2011–12, 46 states reported that their states had adopted the CCSS in both subjects (Troppe et al. 2015). This section reviews state content standards as of 2013–14 and examines the status of standards implementation at the local level.

**Most states had adopted the CCSS by 2013–14.** By fall 2013, state adoption of the CCSS was widespread, with 46 states having adopted the CCSS in reading/ELA and math, and 1 state adopting only the reading/ELA standards. In addition, states that received ESEA flexibility (which include several non-CCSS states) had committed to move beyond adoption to implementation, having college- and career-ready standards in place by 2013–14 (exhibit 3.1). As a result, during the 2013–14 school year, content standards in reading/ELA and math adopted by states across the nation focused on college and career readiness.

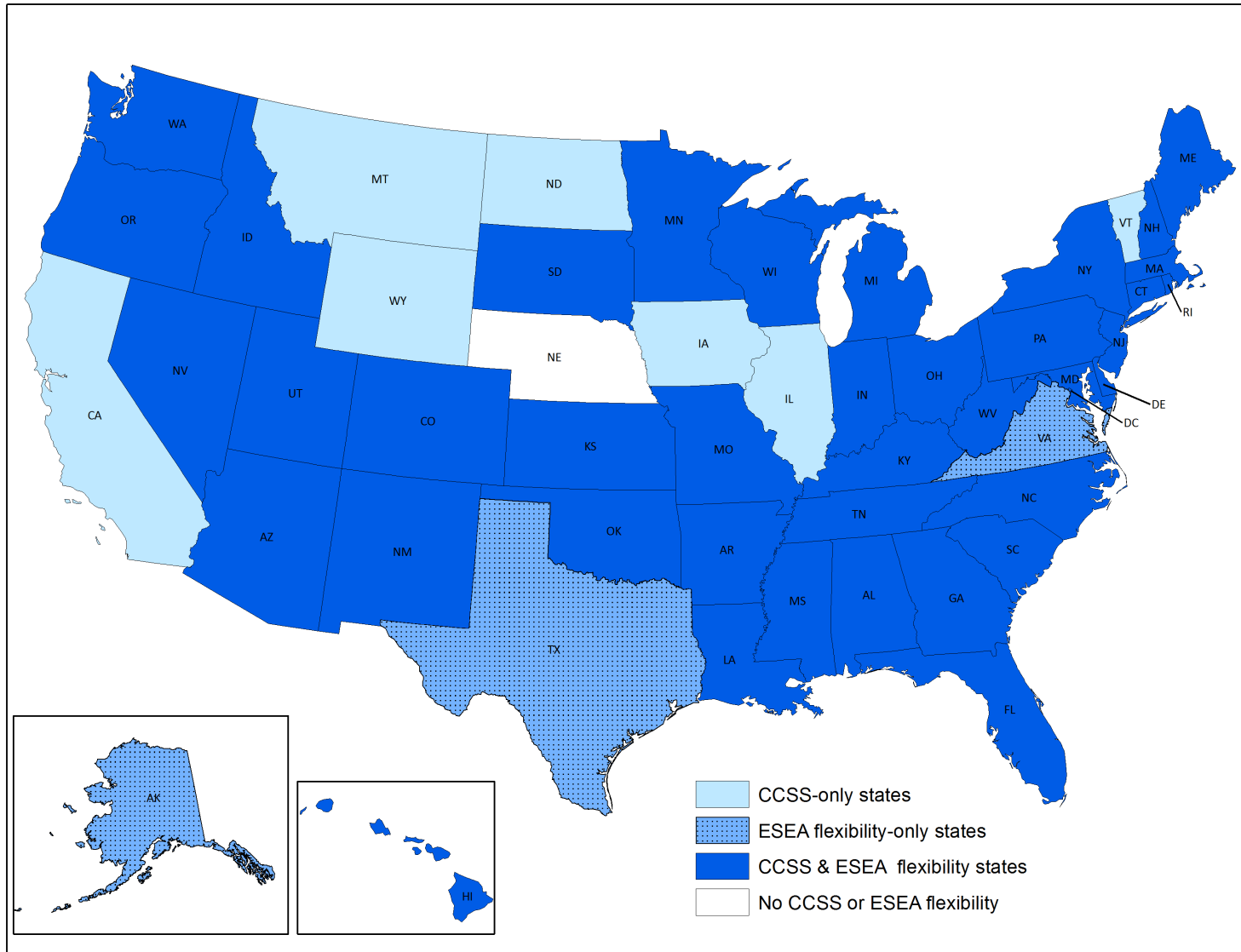
**States adopting the CCSS were permitted to supplement the common standards with additional state standards (up to 15 percent of the state’s total for the content area), but most states did not opt to do so.** In states that adopted the CCSS in both subjects, more than 60 percent of states reported that their state standards were composed entirely of the CCSS (exhibit 3.2).<sup>25</sup>

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<sup>24</sup> For example, the SFSF final rules encouraged “states to work together to develop and implement common, internationally benchmarked standards and assessments aligned to those standards, in order to ensure that students are college- and career-ready” (U.S. Department of Education 2009). States choosing to apply for the RTT competition scored higher if they were working on such standards (U.S. Department of Education 2010b). To receive ESEA flexibility, states had to demonstrate that their state content standards in math and reading/ELA were college- and career-ready standards that were either common to “a significant number of states” or were approved by the state’s “network of institutions of higher education, which must certify that students who meet the standards will not need remedial course work at the postsecondary level” (U.S. Department of Education 2012a).

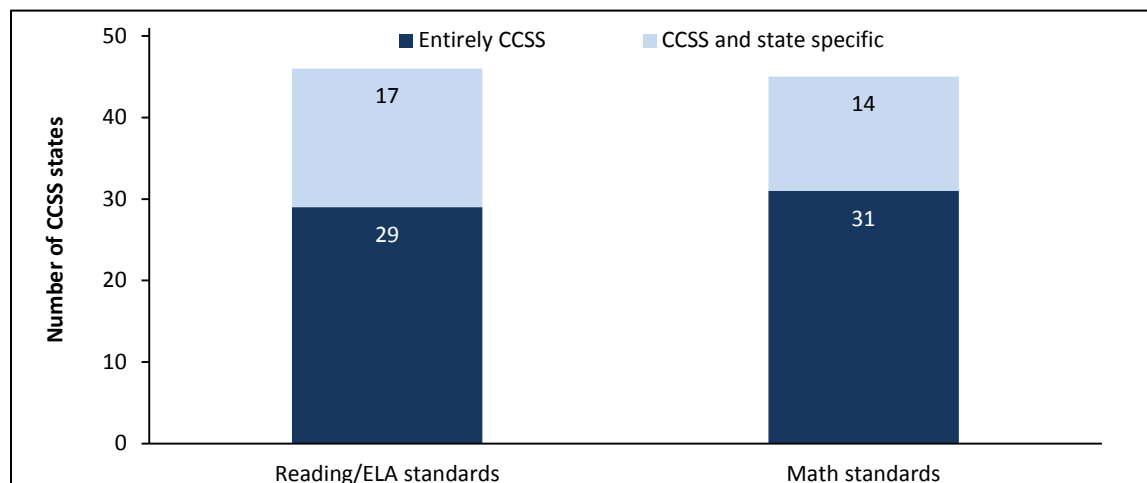
<sup>25</sup> Regarding supplementing the standards, one state commented on the study survey that it added content such as cursive writing. Elsewhere, California noted that it added onto the CCSS standards “to retain the consistency and precision of our past standards” (California Department of Education 2013, p. v).

**Exhibit 3.1. States by ESEA flexibility and Common Core State Standards (CCSS) adoption as of fall 2013**



Note: Minnesota adopted the Common Core State Standards (CCSS) in English language arts only. ESEA flexibility status and CCSS status are as of fall 2013. During the data collection period three states reversed their approval of the CCSS. In spring 2014, Indiana reversed its adoption of the CCSS and adopted new, state-specific standards. In June 2014, Oklahoma and South Carolina required the state to develop new standards to replace the CCSS. Also, in spring 2014, Illinois received ESEA flexibility. Washington state had ESEA flexibility until late in April 2014.

**Exhibit 3.2. Composition of reading/ELA and math standards in Common Core State Standards (CCSS) states: 2013–14**



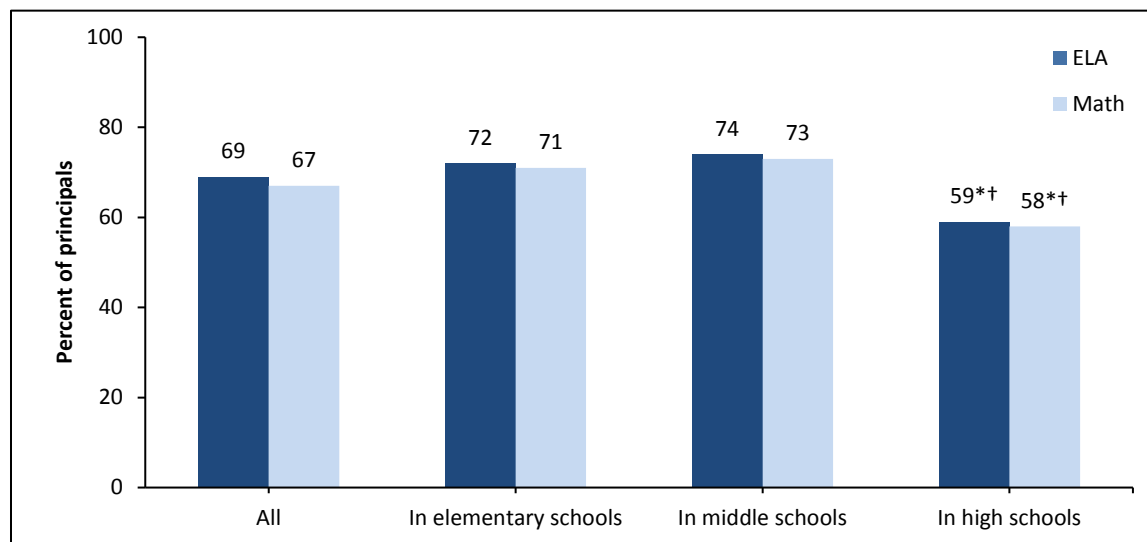
Note: Forty-six states adopted standards in both reading/ELA and math. Minnesota adopted the standards only in reading/ELA and is included in the reading/ELA bar in the exhibit. Indiana is excluded from this exhibit because it reversed its adoption of the CCSS in spring 2014 and adopted new, state-specific standards.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**A majority of principals reported full implementation of reading/ELA and math state content standards in their schools during 2013–14.** Twenty-five to 26 states (depending on grade level) reported requiring districts to fully implement reading/ELA and math curricula aligned with state content standards in 2013–14 (appendix exhibit D.1). Approximately 70 percent of principals reported fully implementing state content standards in reading/ELA and in math in all grades in their schools (exhibit 3.3).<sup>26</sup> Full implementation of the reading/ELA or math standards was reported at significantly higher rates by elementary (71–72 percent) and middle school (73–74 percent) principals than by high school (58–59 percent) principals.

<sup>26</sup> States were asked to identify the grades in which districts were required to fully implement curricula aligned with the state content standards, and principals were asked to identify the grades in their school that were fully implementing the standards. States and principals relied on their own definitions of full implementation when answering these questions.

**Exhibit 3.3. Percentage of principals who reported full implementation of reading/ELA and math state content standards in all grades in their school, overall and by school grade span: 2013–14**



\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

Notes: Implementation of standards in prekindergarten was excluded for this analysis.

The “All” bar includes principals of other schools (e.g., schools that span multiple levels such as K–12 schools).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

## B. Classroom Implementation of State Content Standards

Support for implementing standards in the classroom may include professional development, instructional materials, and planning time, among other resources. A previous study (Troppe et al. 2015) found that states commonly provided or funded professional development and instructional materials on new or revised state content standards in 2011–12. That year, two-thirds or more of principals in CCSS states reported that their schools used curriculum or materials aligned with the new or revised standards, and that their teachers received professional development on these standards, including professional development targeted to help English learners or students with disabilities master the standards (Troppe et al. 2015). This section examines the efforts of states, districts, and schools to create systems and deploy resources to implement the standards in classrooms, ultimately producing curriculum and lesson plans that support students in meeting the standards. It also discusses teachers’ use of instructional activities aligned with career- and college-ready standards.

### 1. Professional Development

**Most teachers reported receiving some professional development related to state content standards for reading/ELA or math.** The most frequently reported topics of professional development on standards, reported by at least 70 percent of teachers included content covered at each grade level and instructional strategies consistent with the standards (exhibit 3.4). More than half of teachers reported receiving professional development on systems for monitoring the alignment of instruction

with standards, such as observation protocols. Fewer teachers—approximately one-third—reported receiving professional development on adapting instruction to help English learners or students with disabilities to meet state content standards.

**Exhibit 3.4. Percentage of teachers who received professional development on selected topics related to state content standards for reading/ELA or math during summer 2013 or the 2013–14 school year, overall and by school grade span**

Professional development topic	Percent of teachers in			
	All teachers	Elementary schools	Middle schools	High schools
Information about the state content standards, such as content covered at each grade level and instructional changes or shifts required	79	84	74*	70*†
Instructional strategies consistent with the state content standards, such as model lessons or designing student work	70	73	68*	65*
Monitoring alignment of instruction with the state content standards, such as the use of observation protocols	56	60	53*	48*†
Adapting instruction to help students with disabilities meet the state content standards	35	34	38	36
Adapting instruction to help English learners meet the state content standards	34	36	33	31*
None of the above	12	9	15*	18*
<b>Number of teachers</b>	<b>6,252</b>	<b>3,410</b>	<b>1,185</b>	<b>1,429</b>

\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

Note: The “All” column includes teachers in other schools (e.g., schools that span multiple levels such as K–12 schools). Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

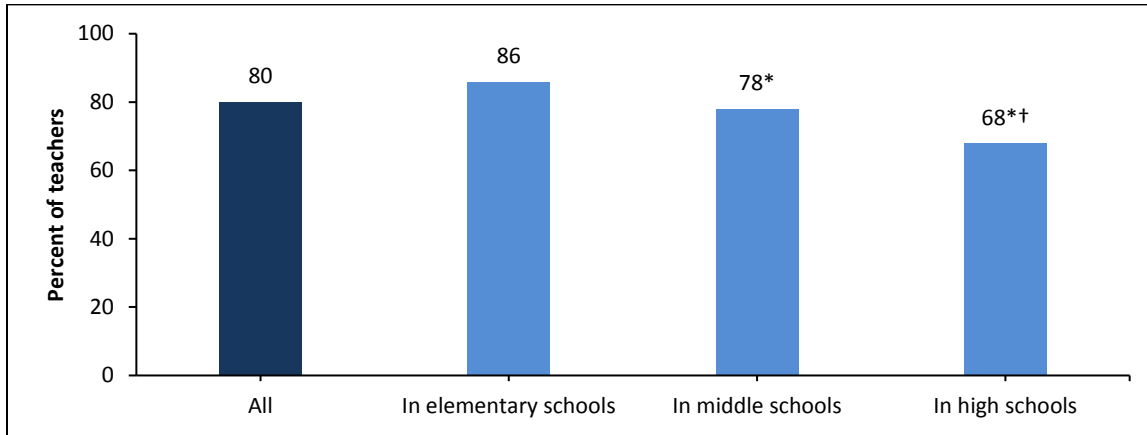
**Teachers in elementary schools were significantly more likely than teachers in high schools and middle schools to report receiving professional development on various topics related to content standards.** For example, more than 80 percent of teachers in elementary schools reported professional development on content covered at each grade level compared to between 70 and 74 percent of teachers in middle and high schools (exhibit 3.4). At the middle and high school levels, teachers in Title I schools were more likely in general than teachers in non-Title I schools to report receiving professional development related to the content standards (appendix exhibit D.2). At the elementary level, there generally was no significant difference between the reports of teachers in Title I and non-Title I schools.



## 2. Teacher Planning Time

The majority of teachers (80 percent) worked with other teachers across grades or courses in 2013–14 to make connections between the content standards, curricula, and lesson plans. Teachers in elementary schools were most likely to report this type of collaboration, followed by teachers in middle schools and teachers in high schools (exhibit 3.5).

**Exhibit 3.5. Percentage of teachers who reported working with other teachers to make connections between the state content standards in reading/ELA or math, curricula, and lesson plans across grades or courses, overall and by school grade span: 2013–14**



\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

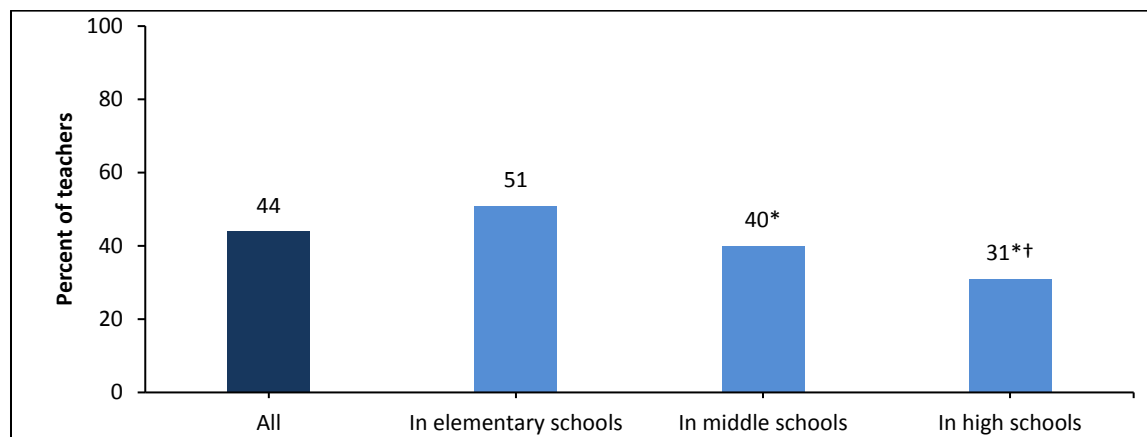
† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

Note: The “All” bar includes teachers in other schools (e.g., schools that span multiple levels such as K–12 schools).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Forty-four percent of teachers reported engaging with teachers of the same grade or subject at least weekly to plan lessons or courses.** Teachers in elementary schools were most likely to report such engagement, followed by teachers in middle schools (exhibit 3.6). A larger percentage of teachers in non-Title I elementary schools than teachers in Title I elementary schools reported working with teachers at least weekly to plan lessons or courses; no significant differences by Title I status were evident in middle and high school grades (appendix exhibit D.3).

**Exhibit 3.6. Percentage of teachers who reported planning lessons or courses with teachers of the same grade or subject at least weekly, overall and by school grade span: 2013–14**



\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

Note: The “All” bar includes teachers in other schools (e.g., schools that span multiple levels such as K–12 schools).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

### **3. Use of Instructional Activities Designed to Promote College- and Career-Ready Standards**

Implementation of new college- and career-ready state content standards would require changes to classroom practices and instructional activities. For example, the CCSS for reading/ELA expects more use of nonfiction informational text in instruction and student assignments with the aim of expanding students’ reading comprehension skills and preparing students for postsecondary education. In math, the CCSS proposes use of instructional practices that call upon students to demonstrate their conceptual understanding and apply their mathematical knowledge. The CCSS also emphasizes an interdisciplinary approach to applying the standards so that, for example, informational texts in subjects other than reading/ELA provide opportunities to reinforce students’ reading skills.<sup>27</sup>

**Nearly half of teachers reported using instructional activities consistent with college- and career-ready reading/ELA and math standards every day, and more reported using these practices at least weekly.** Forty-four percent of teachers reported daily use of instructional activities that incorporated literary and informational texts into instruction, applied math concepts in real-world situations, or had students demonstrate math understanding through complex problem solving (exhibit 3.7). Over 90 percent of teachers reported using these practices at least weekly.

<sup>27</sup> See <http://www.corestandards.org/ELA-Literacy/introduction/key-design-consideration/>

**Exhibit 3.7. Percentage of teachers by daily and weekly use of instructional activities aligned with college- and career-ready (CCR) reading/ELA or math standards, overall and by teacher's primary subject taught: 2013–14**

Frequency of use of CCR-aligned instructional activities	Percent of teachers by primary subject taught						
	All teachers	Reading/ELA	Math	Science	Social studies	General elementary	Special education
Daily	44	46	41	33*	35*	52*	31*
At least weekly	92	93	90	86*	86*	96*	85*
<b>Number of teachers</b>	<b>6,221</b>	<b>907</b>	<b>739</b>	<b>557</b>	<b>478</b>	<b>2,711</b>	<b>829</b>

\* Percentage is significantly different from the percentage for all teachers ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Use of these activities varied by the teacher's primary subject taught.** General elementary education teachers were significantly more likely than the average teacher to report frequent use of any of the instructional activities examined (exhibit 3.7 and appendix exhibit D.4). General elementary education teachers, who often teach multiple subjects, may have had more opportunity than teachers who primarily taught one subject to use these activities. Science, social studies, and special education teachers used these instructional approaches less frequently. Approximately one-third of science, social studies, and special education teachers reported daily use of the instructional activities examined, and about 85 percent of these teachers reported using the activities at least weekly. As expected, math teachers were more likely than the average teacher to report at least weekly use of the math-focused activities such as providing opportunities for students to apply math concepts in real-world situations (84 percent for math teachers compared to 57 percent for the average teacher) and requiring students to demonstrate conceptual math understanding through complex problem solving (83 percent for math teachers compared to 62 percent for the average teacher) (appendix exhibit D.4).

Weekly use of most of the examined instructional practices designed to support college- and career-ready standards did not significantly differ by Title I status at the elementary and middle school levels (appendix exhibit D.5). At the high school level, in contrast, teachers in Title I schools reported more frequently having students use informational or literary texts in their writing, assignments, or classroom discussions, relative to teachers in non-Title I schools.

Both RTT and ESEA flexibility required participating states to implement a number of activities to promote the transition to and implementation of college- and career-ready standards and aligned assessments.<sup>28</sup> Teachers in states without ESEA flexibility reported using related instructional practices less frequently than teachers in states with ESEA flexibility, particularly relative to teachers in flexibility states that had also received a first- or second-round RTT grant (appendix exhibit D.6). The data do not

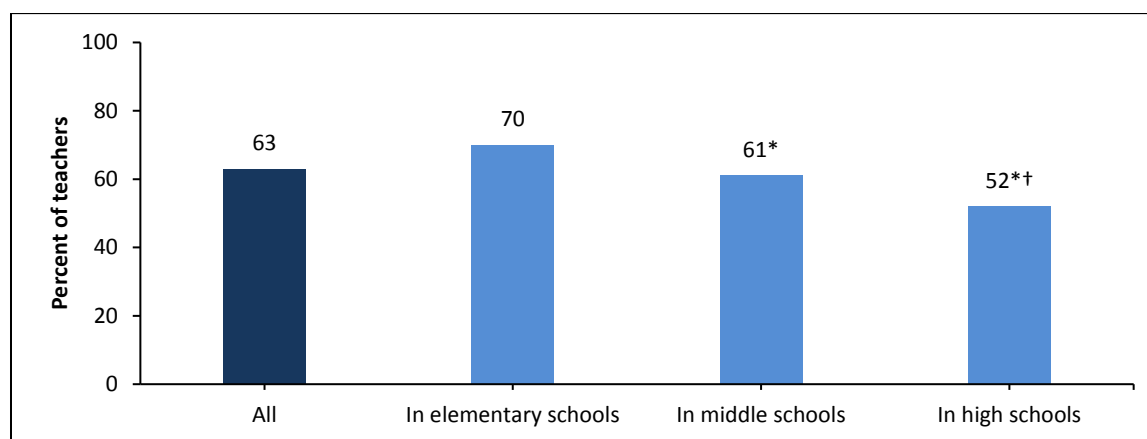
<sup>28</sup> In addition, states were awarded RTT grants in part because of their existing commitment to and progress on several education reforms, including the adoption of common standards that build toward college and career readiness. For example, a study of RTT found that states that won an RTT grant in the first two rounds of the competition reported using significantly more of 10 policies and practices related to adopting common standards, developing and implementing high-quality assessments, and supporting the transitions to these standards and assessments in spring 2012 than non-RTT states (Dragoset et al. 2015a, p. 30).

allow us to determine whether the patterns reflected the influence of the federal program or pre-existing differences between the states.

#### 4. **Monitoring Alignment of Instruction With Standards**

**Almost two-thirds of teachers reported classroom visits by an administrator, a mentor, or a coach to see how the teacher’s instruction aligns with state content standards.** Overall, 63 percent of teachers reported classroom visits to observe alignment of instructions with state content standards. These visits were less common at higher grade levels, reported less often by high school teachers than middle school teachers, and less often by middle school teachers than elementary school teachers (exhibit 3.8). At the middle and high school levels (but not the elementary level), a significantly higher percentage of teachers in Title I schools than teachers in non-Title I schools reported these types of visits (appendix exhibit D.7).

**Exhibit 3.8. Percentage of teachers who reported classroom visits to observe alignment of instruction with state reading/ELA or math content standards, overall and by school grade span: 2013–14**



\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

Notes: Staff include central office staff, a school administrator, coach, mentor teacher, or other instructional leader.

The “All” bar includes teachers in other schools (e.g., schools that span multiple levels such as K–12 schools).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Teachers reported more monitoring of alignment of instruction with state content standards in states with ESEA flexibility, especially those in states that also had an RTT grant.** Seventy-two percent of teachers in states with ESEA flexibility and an RTT grant reported this monitoring compared with 63 percent of teachers in other ESEA flexibility states and 45 percent of teachers in states without ESEA flexibility (exhibit 3.9). The data do not allow us to determine whether the patterns reflect the influence of the federal programs or pre-existing differences between the states.

**Exhibit 3.9. Percentage of teachers who reported classroom visits by staff to observe alignment of instruction with state reading/ELA or math content standards, overall and by state ESEA flexibility and Race to the Top status: 2013–14**

Classroom visit	All teachers	Percent of teachers in		
		States with ESEA flexibility and RTT 1 or 2 grant	Other states and districts with ESEA flexibility	States and districts without ESEA flexibility
Visited by staff to see how teacher's instruction aligned with CCSS or current state content standards	63	72	63*	45*†
<b>Number of teachers</b>	<b>6,235</b>	<b>1,681</b>	<b>3,813</b>	<b>741</b>

\* Percentage is significantly different from percentage for states with ESEA flexibility and RTT 1 or 2 grant ( $p < .05$ ).

† Percentage is significantly different from other states and districts with ESEA flexibility ( $p < .05$ ).

Notes: Staff include central office staff, a school administrator, coach, mentor teacher, or other instructional leader.

The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. The sampled California districts that were approved for flexibility in August 2013 are also included.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

## 5. *Challenges Implementing State Content Standards*

A previous study (Troppe et al. 2015) suggested that in 2011–12, most principals in schools in CCSS states did not perceive concerns or opposition from staff or staff unions about the planning or implementing the CCSS as a major challenge. Developing new curricula and instructional materials aligned with the new standards, however, was a major challenge for one-quarter of these principals rating the challenge. Two school years later, we asked teachers about specific challenges related to state content standards as well as their perception of challenges overall

**Few teachers found incorporating the state content standards into their instruction to be a major challenge in general.** Twenty percent of teachers reported that incorporating the state content standards into their instruction was a major challenge (exhibit 3.10).

**Lack of time for lesson planning and professional development were most often reported as major challenges to implementing standards.** More than half of teachers (56 percent) reported the additional work required to modify curriculum and lesson plans within tight timeframes as a major challenge, and 40 percent reported insufficient time for professional development as a major challenge (exhibit 3.10). The least frequently reported major challenge (by 13 percent of teachers) was community concerns or opposition to the state content standards.

**Exhibit 3.10. Percentage of teachers reporting major challenges to implementing the state content standards in reading/ELA or math, overall and by school grade span: 2013–14**

Challenge	Percent of teachers in			
	All teachers	Elementary schools	Middle schools	High schools
<b>Specific challenges</b>				
The additional work required to modify curriculum and lesson plans within tight timeframes	56	58	55	54*
Insufficient time for professional development	40	39	43	41
Lack of instructional materials aligned with the state content standards	35	35	35	33
Insufficient information available about how to revise lessons and instructional materials to meet the state content standards	28	26	28	32*
Lack of school staff who can mentor or serve as a resource to teachers about the state content standards	27	24	27	32*†
Professional development that is weak or poorly aligned with instructional needs	26	24	27	31*
Lack of guidance or support from the district or school	20	18	19	24*†
Community concerns or opposition to the state content standards	13	13	12	15*†
None of the above	25	24	24	27
<b>Overall rating</b>				
Challenge incorporating the state content standards into your instruction	20	18	21	24*
<b>Number of teachers</b>	<b>6,213</b>	<b>3,397</b>	<b>1,179</b>	<b>1,417</b>

\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

Notes: All teachers were asked their perceptions of specific challenges then asked about their perceptions overall.

The “All” column includes teachers in other schools (e.g., schools that span multiple levels such as K–12 schools).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Teachers in high schools were more likely than elementary school teachers to rate incorporating the state content standards into their instruction as a major challenge.** Overall, 24 percent of teachers in high schools compared to 18 percent of teachers in elementary schools rated incorporating the state standards into their instruction as a major challenge (exhibit 3.10). Teachers in high schools also were more likely than teachers in middle schools and in elementary schools to identify several specific challenges as major. Teachers in Title I elementary and middle schools (but not high schools) were more likely than their counterparts in non-Title I schools to rate incorporating the standards into their instruction as a major challenge in general (appendix exhibit D.8).

## C. Types of State Assessments and Ways Educators Prepare Students for Assessments

Under NCLB (2002), annual assessments in reading/ELA and math (and later in science) served as the foundation for the law's accountability system and its measures of schools' AYP. The assessments had to involve "multiple up-to-date measures of student achievement, including measures that assess higher-order thinking skills and understanding" and be aligned to states' challenging content standards.<sup>29</sup> States were to involve all students, including English learners and students with disabilities, in the assessments, with consequences for schools if they did not test at least 95 percent of students from particular subgroups.<sup>30</sup> States were required to provide "reasonable" accommodations for English learners and students with disabilities taking the same assessments as general education students and to make available at least one alternate assessment aligned with state content standards to some students with disabilities. NCLB also introduced the requirement of an annual assessment of English proficiency for all English learners. In 2006–07, all states administered assessments in reading/ELA and math, and 24 state assessment systems had been approved by the Department as meeting the NCLB testing requirement by fall 2007 (Stullich, Eisner, & McCrary 2007).

These various assessment requirements have generally held since NCLB. To receive SFSF program funds, an RTT grant, or an ESEA flexibility waiver, states also had to demonstrate that their assessments were aligned to the college- and career-ready standards.

The arrival of new college and career-ready standards after NCLB required the development of new assessments. With grants from the U.S. Department of Education, the Smarter Balanced and PARCC assessment consortia developed new assessments that sought to measure students' mastery of college- and career-ready content standards and "elicit complex student demonstrations and applications of knowledge" (U.S. Department of Education 2010a). Federally funded consortia have also been developing alternate assessments aligned with the CCSS for students with significant cognitive disabilities and English learners. Support for the Smarter Balanced and PARCC consortia was initially widespread among CCSS states. By 2011–12, 44 states that adopted the CCSS in both subjects had joined the Smarter Balanced or PARCC consortium (Troppe et al. 2015). Several states later withdrew from the consortia.

In this section, we describe the types of response formats in state summative assessments in 2013–14 to assess the extent to which they required students to demonstrate higher-order thinking skills. We also examine the types of practices teachers used to prepare students for state assessments. In addition, the section describes districts' use of additional summative assessments beyond what was required by states and concludes with a review of the assessment accommodations states provided for English learners and students with disabilities.

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<sup>29</sup> See Section 1111(b)(3).

<sup>30</sup> The student subgroups are economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, and English learners. The *Individuals with Disabilities Act* also requires the inclusion of students with disabilities in state testing.

**In 2013–14, a majority of states participated in piloting the PARCC or Smarter Balanced assessments.** Thirty-one states reported piloting the PARCC or Smarter Balanced assessments in spring 2014. Since this study’s data collection, some of these states no longer belong to the PARCC or Smarter Balanced consortia and are administering different assessments. Twenty-nine states and the District of Columbia participated in full-scale spring 2015 assessments. Twenty-one states planned to use the assessments for 2015–16 testing.<sup>31</sup>

**Many state assessments incorporated more sophisticated response formats to better assess students’ college- and career-readiness.** In 2013–14, 24 to 36 states (depending on grade level) reported using extended constructed-response formats, a type of response format intended to assess higher-order thinking skills, in their reading/ELA summative assessments (exhibit 3.11). Extended constructed-response formats were most common on reading/ELA assessments in high school. An extended constructed-response format includes essay questions or questions where two or more paragraphs are written in response to a prompt or a multi-step show-your-work math or science item. In contrast, a multiple-step selected-response includes multiple choice questions that build on one another. Students select a response to the first question and the next question builds on that response. A short constructed-response or grid-in includes fill in the blank, or writing from one word to a few sentences in response to a prompt, or a single-step math or science item. Some math or science items require students to calculate an answer and then use a number grid to indicate that answer.

**Exhibit 3.11. Number of states by question response format used on state reading/ELA or math summative assessments and high school end-of-course and exit exams in grades used for accountability testing: 2013–14**

Subject and question response format	Number of states		
	Grades 3–5	Grades 6–8	High school
<b>Reading/ELA</b>			
Multiple-step selected response	14	15	13
Short constructed-response or grid-in	27	27	25
Extended constructed-response	24	26	36
<b>Math</b>			
Multiple-step selected response	12	12	11
Short constructed-response or grid-in	34	36	30
Extended constructed-response	19	19	19
<b>Number of states</b>	<b>51</b>	<b>51</b>	<b>51</b>

Notes: Number of states presented is the number of states where the format was used in every grade in the grades 3–5 or grades 6–8 spans.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

Nineteen states used an extended constructed-response format in math assessments. Many states that reported using extended constructed-response formats were states that reported participating in the PARCC or Smarter Balanced pilot in spring 2014. However, 8 to 14 states (depending

<sup>31</sup> See Gewertz (2015) for information on states that participated in the full-scale 2015 consortia assessments. See the Boston Foundation (2015) for information on Massachusetts’ participation. See Gewertz (2016) for information on state plans for 2015–16.

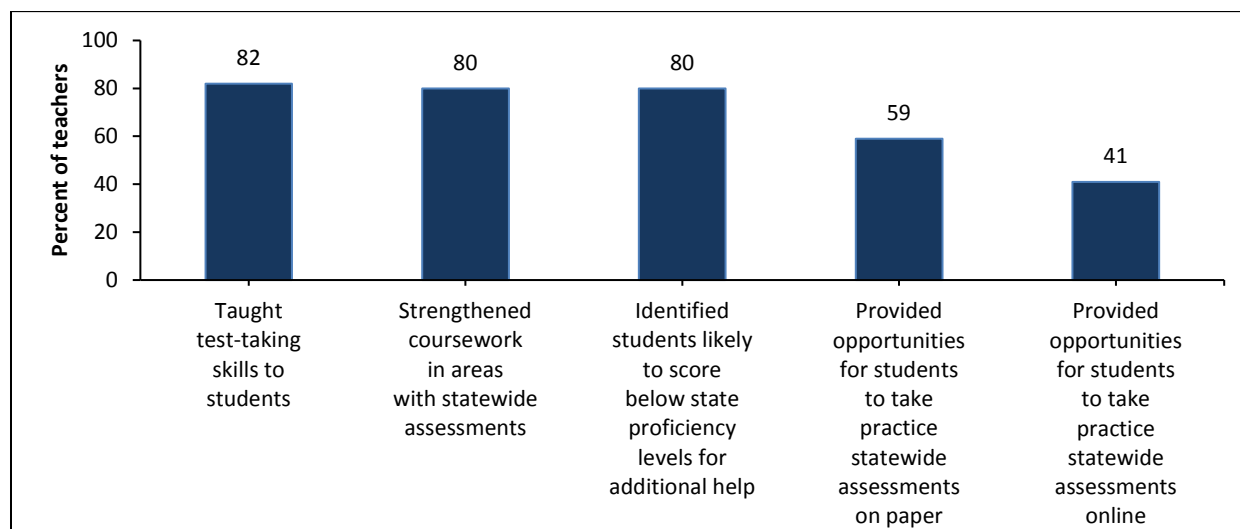


on grade) not in the pilot reported using this type of response format in their reading/ELA summative assessments, and 5 to 6 (depending on grade) states not in the pilot reported using this format in their math summative assessments (appendix exhibit D.9)

### 1. *Teachers’ Actions to Prepare Students for Assessments*

To prepare students for required state summative assessments in reading/ELA or math, the majority of teachers reported working directly with students and strengthening coursework. The most frequently reported actions—by 80 percent of teachers or more—were teaching test-taking skills to students, identifying students likely to score below state proficiency levels for additional help, and strengthening coursework in areas with statewide assessments (exhibit 3.12). Smaller percentages of teachers reported providing opportunities for students to take practice assessments on paper or online.

**Exhibit 3.12. Percentage of teachers who took selected actions to prepare students for required state summative assessments in reading/ELA or math: 2013–14**



Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

As a subgroup of interest, we examined teachers who taught a class whose students were tested for accountability—i.e., “ESEA-tested teachers”—because state summative tests may be considered higher stakes for these teachers. For all five assessment preparation actions examined, ESEA-tested teachers in both elementary and middle schools were significantly more likely than their counterparts in high schools to report taking each action (appendix exhibit D.10). For example, 88 percent of ESEA-tested teachers in elementary schools and in middle schools strengthened coursework in areas associated with statewide assessments compared to 71 percent of ESEA-tested teachers in high schools. At all levels, there was no particular pattern to differences between Title I and non-Title I teacher reports of actions to prepare students for state tests (appendix exhibit D.11).

Teachers in states with ESEA flexibility (especially in states that had received RTT grants in round 1 or 2) were significantly more likely than other teachers to take various actions to prepare students for

required state summative assessments in reading/ELA and math (appendix exhibit D.12). These differences may have existed prior to the state’s receipt of flexibility.

## 2. *District Use of Additional Summative Assessments or Assessment Items*

A majority of districts reported administering summative assessments or assessment items in reading/ELA or math in addition to the required state summative assessments. Depending on the grade level, 48 to 60 percent of districts reported using additional summative assessments or assessment items in reading/ELA, and 46 to 57 percent of districts did so in math (exhibit 3.13). Twenty-one percent of districts reported not requiring any additional districtwide reading/ELA summative assessments or assessment items across all grades, while 24 percent of districts reported not requiring any additional district math summative assessments or assessment items.

**Exhibit 3.13. Percentage of districts that required districtwide administration of additional summative assessments or summative assessment items in reading/ELA or math, by grade: 2013–14**

Grade	Percent of districts	
	Reading/ELA	Math
Kindergarten	50	46
Grade 1	54	50
Grade 2	60	57
Grade 3	60	57
Grade 4	57	54
Grade 5	54	52
Grade 6	54	53
Grade 7	48	47
Grade 8	49	48
High school	48	48
No additional district assessment or items	21	24
<b>Number of districts</b>	<b>559</b>	<b>559</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

## 3. *State Accommodations for English Learners and Students With Disabilities*

All states provided some type of accommodations for English learners and students with disabilities. Nearly all (48) states reported that English learners could be given extra time to take assessments (exhibit 3.14). No state reported that English learners were given the same assessments as other general education students without any accommodations. In 40 states, English learners were permitted to use a dual-language dictionary during the assessment; in 37 states, an adult was allowed to read the assessment aloud in English; and in 33 states, an adult was allowed to translate the instructions into the student’s primary language.

**Exhibit 3.14. Number of states that reported selected accommodations for state summative assessments for English learners in reading/ELA and math: 2013–14**

Accommodation or other assessment	All states
<b>English learners (ELs) are given the same assessments as other general education students, but...</b>	
they may be given extra time	48
they can use a dual-language dictionary during the assessment	40
an adult may read the assessment aloud in English	37
an adult may translate the instructions into the student’s primary language	33
the assessment booklet (or online version) can be provided in the student’s primary language	14
an adult may translate the entire assessment into the student’s primary language	8
an adult may translate the reading passages into the student’s primary language	5
with other accommodations	6
without any accommodations	0
<b>English learners are given an alternate assessment</b>	<b>7</b>
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Most states allowed a range of assessment accommodations for students with disabilities.** For example, all states allowed students with disabilities to be given flexibility in timing or scheduling, to respond in a different manner, and to be assessed in a different setting (exhibit 3.15). All states also reported that students with disabilities could be given an alternate assessment based on *alternate* state achievement standards (known as “1 percent” tests for students with significant cognitive disabilities).

**Exhibit 3.15. Number of states that reported accommodations allowed for state summative assessments or alternate assessments for students with disabilities in reading/ELA and math: 2013–14**

Accommodation or other assessment	All states
<b>Students with disabilities (SWDs) are given the same assessments as other general education students, but...</b>	
they may be <b>given flexibility in timing or scheduling</b> (for example, extended time, breaks, different time of day)	51
they <b>may respond in a different manner</b> (for example, an adult may serve as a scribe, or they may use speech-to-text)	51
in a <b>different setting</b> (for example, in a separate room or study carrel, or in a small group setting)	51
they <b>may use equipment or materials to assist them</b> (for example, a calculator, math tables, or manipulatives)	49
<b>they may be presented differently</b> (for example, an adult may read the entire test or reading passages aloud, directions may be repeated, may be presented in Braille)	48
Other accommodation	2
Students with disabilities are given the same assessment as other general education students, without any accommodations	0
<b>Other assessments for students with disabilities...</b>	
Students with disabilities may be given an <b>alternate assessment based on alternate</b> state achievement standards (known as 1 percent tests for students with significant cognitive disabilities)	51
Students with disabilities may be assessed by <b>submitting a portfolio</b> of their work	14
Students with disabilities may be assessed by a <b>task-based performance assessment</b>	13
Students with disabilities may be given an <b>alternate assessment based on modified</b> state achievement standards (known as 2 percent tests for SWDs)	8
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

## **D. Resources to Support Implementation of Assessments and Use of Assessment Data**

The Smarter Balanced and PARCC assessments are delivered primarily online. In principle, this should have made it possible to provide schools, teachers, and parents with test results earlier than in the past. It also meant that all participating schools would need to have enough computers and bandwidth to conduct the assessments during the full-scale implementation in spring 2015 (a year after our surveys were completed).

In addition to developing infrastructure for online assessments, states have made large investments over the last decade in developing and improving statewide longitudinal data systems that follow students' progress over time, link students to individual teachers and courses, and sometimes extend beyond K–12 into higher education. Previous research found that in 2010–11, 44 states had data systems with unique student identifiers; 30 states had systems that could match teachers with students; and 22 state systems contained information on students' transitions from high school to college (Webber et al. 2014). By spring 2014, when the data for the current study were collected, many state

longitudinal data systems had been in place for enough time that it made sense to examine whether and how their data were being used by policymakers and educators at all levels.

At the same time that states were creating and improving longitudinal data systems, many school districts invested in formative assessments that were designed to provide teachers with diagnostic information about their students' strengths and weaknesses. These short-term, rapid-turnaround assessment data are intended to provide more real-time information on individual student needs to allow teachers to adapt instruction and better prepare students for state assessments. A previous study found that in 2011–12, more than 90 percent of principals reported that teachers had online access to student assessment data, and that schools used student assessment data to identify students for additional support and to tailor instruction (Troppe et al. 2015).

This section examines the technology investments made by states and expectations by districts for using computers in spring 2015, when the Smarter Balanced and PARCC assessments would be administered. In addition, the section describes teachers' views about the usefulness of the data they received and whether they had the skills and time to use them effectively.

## **1. Technology for State Assessments**

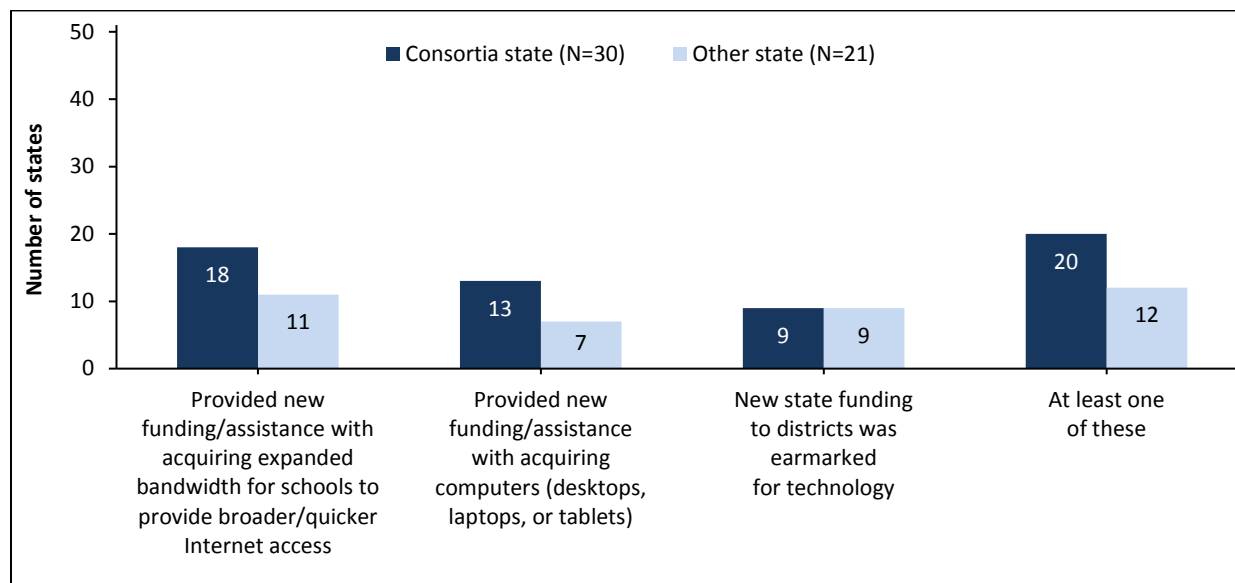
**Almost two-thirds of states reported assisting districts with or making technology investments to implement state assessments.** States most often assisted districts with acquiring expanded bandwidth, followed by providing new funding or assistance with acquiring computers and earmarking new state funding to districts specifically for technology (exhibit 3.16). States that subsequently participated in the spring 2015 large-scale administration of PARCC and Smarter Balanced assessments (29 states and the District of Columbia) were more likely than other states in 2013–14 to report providing funding or assistance for acquiring expanded bandwidth or providing funding or assistance with acquiring computers.<sup>32,33</sup>

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<sup>32</sup> For consortia assessment technology requirements, see <http://parcconline.org/technology> and <http://www.smarterbalanced.org/smarter-balanced-assessments/technology>.

<sup>33</sup> As noted earlier, some states withdrew from the Smarter Balanced and PARCC assessments consortia over time. Therefore, we focus in this section on comparing states that actually participated in the spring 2015 consortia assessments with other states and look back at reports of technology investments in 2013–14.

**Exhibit 3.16. Number of states that made investments in technology for state assessments in 2013–14, by participation in the PARCC or Smarter Balanced consortia testing in spring 2015**



Note: Although 31 states participated in the pilot of PARCC or Smarter Balanced consortia assessments in spring 2014, only 30 states (29 states and the District of Columbia) participated in the spring 2015 full administration of PARCC or Smarter Balanced consortia assessments. See Gewertz (2015) for information on states that participated in the full scale 2015 consortia assessments. See the Boston Foundation (2015) for information on Massachusetts' participation.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of Education Agencies.

**In spring 2014, most districts expected students to use computers for 2015 state assessments, but many lacked needed technology.** Seventy-two percent of districts reported in spring 2014 that they expected their students to use computers for assessments the following year (exhibit 3.17). This percentage was nearly 90 percent of districts in states that subsequently administered PARCC or Smarter Balanced assessments in spring 2015. Among districts where students would be required to use computers, 64 percent of all districts and 59 percent of those in the consortia assessment states reported in 2014 having both sufficient computer resources and sufficient Internet bandwidth for the 2015 assessments. We did not find significant differences in district reports of sufficient technology resources by district poverty level (appendix Exhibit D.13).

**Exhibit 3.17. Percentage of districts by computer requirements for 2015 state summative assessments and reports of sufficient technological resources, overall and by state participation in spring 2015 consortia assessments: 2013–14**

Computer requirement for 2015 assessments	All districts	Percent of districts in	
		Consortia assessment states <sup>1</sup>	Other states
<b>Among all districts</b>			
Students will be required to take state assessments using computers	72	88	53*
Students will not be required to take state assessments using computers	14	3	25*
Districts that don't know if they are requiring computers	15	8	22*
<b>Among districts where students would be required to use computers:<sup>2</sup></b>			
Reported having both computer resources and sufficient bandwidth	64	59	73*
<b>Number of districts</b>	<b>560</b>	<b>287</b>	<b>273</b>

\* Percentage is significantly different from percentage for districts in consortia assessment states ( $p < .05$ ).

<sup>1</sup> Although 31 states participated in the pilot of PARCC or Smarter Balanced consortia assessments in spring 2014, only 30 states (29 states and the District of Columbia) participated in the spring 2015 full administration of PARCC or Smarter Balanced consortia assessments. See Gewertz (2015) for information on states that participated in the full scale 2015 consortia assessments. See the Boston Foundation (2015) for information on Massachusetts' participation.

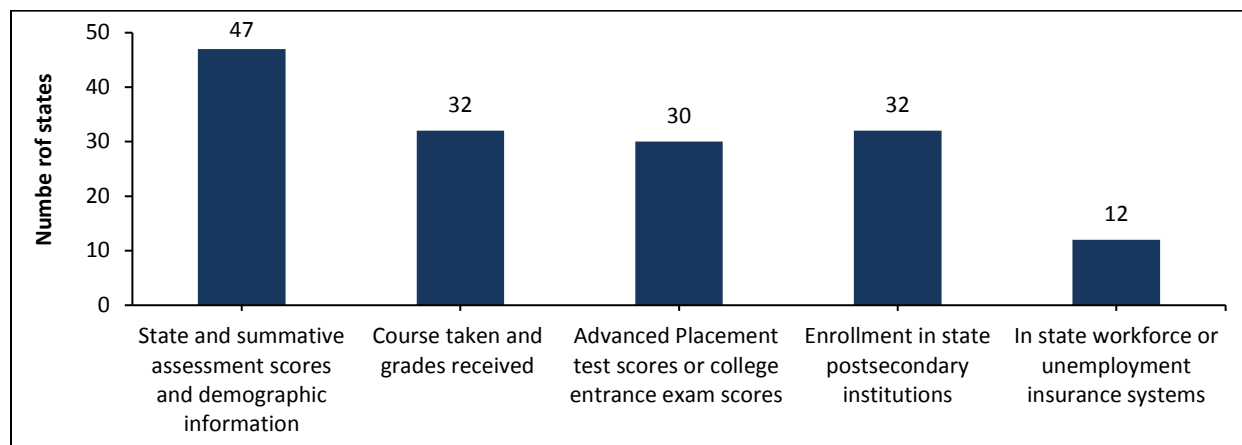
<sup>2</sup> Overall, 402 districts reported that students will be required to take state assessments using computers; 255 of them were in consortia assessment states; and 147 were in other states.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

## **2. Access to Data**

**Most state data systems had longitudinal assessment data in 2013–14, but fewer linked to student-level postsecondary and employment data.** Ninety-four percent of states (47) reported having data systems that allow longitudinal tracking of students' scores on summative assessments across years (exhibit 3.18). Approximately 60 percent of states (32 states) had data systems that also connect individual students' records to enrollment in state postsecondary institutions, and only about one-quarter (12 states) had systems with linked data on individual students from state workforce or unemployment insurance systems.

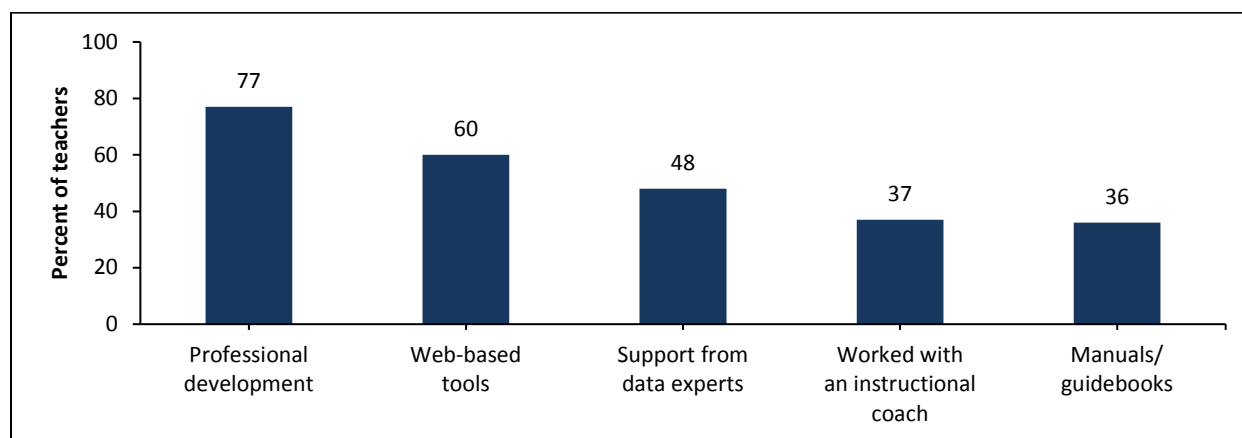
**Exhibit 3.18. Number of states with longitudinal data systems that allow tracking of individual students on various outcomes: 2013–14**



Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 State Education Agencies.

**Most teachers reported receiving professional development on analyzing and using student assessment data to support instruction.** Professional development was the most common support for using assessment data reported by 77 percent of teachers, followed by access to web-based tools and access to data experts who could answer questions (exhibit 3.19). Thirty-seven percent of teachers reported working with an instructional coach on assessment data. Teachers in elementary and middle schools were significantly more likely than teachers in high schools to receive these supports (appendix exhibit D.14). For example, 45 percent of teachers in elementary schools and 33 percent of teachers in middle schools reported working with an instructional coach on assessment data compared to 25 percent of teachers in high school. At the high school level, teachers in Title I schools were more likely than teachers in non-Title I schools to report receiving supports for using assessment data (appendix exhibit D.15). Title I status was not consistently related to the receipt of supports in middle school and was unrelated to the receipt of supports in elementary school.

**Exhibit 3.19. Percentage of teachers reporting that they received various supports for using assessment data: 2013–14**



Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.



**Most teachers reported using assessment data for instruction, especially in elementary schools.** More than 80 percent of teachers reported that they used assessment data for a variety of purposes, including setting measurable learning objectives (91 percent), evaluating the effectiveness of a lesson/unit (89 percent), planning instruction (88 percent), and monitoring the progress of different groups of students (81–95 percent, depending on the subgroup), (exhibit 3.20). Teachers most frequently reported using assessment data to monitor and identify students who are struggling academically and to monitor student progress toward performance targets or learning goals.

**For almost every purpose, teachers in elementary schools were most likely and high school teachers were least likely to use assessment data.** For example, 94 percent of teachers in elementary schools reported using assessment data to plan instruction for individual students compared with 84 percent of teachers in middle schools and 77 percent of teachers in high schools (exhibit 3.20).

**Exhibit 3.20. Percentage of teachers reporting that they used assessment data for various purposes, overall and by school grade span: 2013–14**

Use of assessment data	Percent of teachers in			
	All teachers	Elementary schools	Middle schools	High schools
To identify individual students who are struggling academically	95	97	95*	91*†
To monitor the progress of students who are struggling academically	95	97	94*	89*†
To monitor student progress toward performance targets or learning goals	94	97	94*	88*†
To set measurable learning objectives or goals for your classes	91	95	91*	83*†
To evaluate the effectiveness of your instruction	89	90	88	84*†
To monitor the progress of students with disabilities	88	91	88*	81*†
To plan whole-class instruction	88	90	89	82*†
To plan instruction for individual students	88	94	84*	77*†
To evaluate the effectiveness of a lesson or unit	84	84	87	83†
To monitor the progress of English learners	81	87	76*	69*†
<b>Number of teachers</b>	<b>6,137</b>	<b>3,349</b>	<b>1,169</b>	<b>1,401</b>

\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

Note: The “All” column includes teachers in other schools (e.g., schools that span multiple levels such as K–12 schools).  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

At the high school level, teachers in Title I schools were more likely than teachers in non-Title I schools to report using assessment data (appendix exhibit D.16). At the elementary and middle school levels, Title I status was generally unrelated to use of assessment data.

### 3. Challenges Using Assessment Data

**Almost half of teachers did not report any major challenges to using assessment data.**

However, not having enough regularly scheduled time to meet with teachers appears to be a major challenge for one-third (34 percent) of teachers (exhibit 3.21). Between 12 and 19 percent of teachers rated other challenges as major.

**Exhibit 3.21. Percentage of teachers reporting major challenges to using assessment data to inform instruction, overall and by school grade span: 2013–14**

Potential challenge	All teachers	Percent of teachers in		
		Elementary schools	Middle schools	High schools
Having regularly scheduled time to meet with other teachers to discuss student achievement data and instruction	34	31	34	40*†
Available assessment data that do not accurately measure students' knowledge and skills	19	20	16*	21†
Assessments not well aligned with the curriculum	18	20	15*	16*
Getting enough training so teachers can analyze student assessment data to inform instruction	17	15	18*	24*
Limited access to data from prior years on this year's students	15	14	11*	20*†
Timeliness of the data on student achievement from prior years	15	14	13	20*†
Understanding of how to analyze information from diagnostic assessments to inform instruction	12	10	13*	17*†
Lack of district or school staff who can assist teachers with questions about analyzing student data	12	10	12	18*†
None of the above	44	46	46	39*†
<b>Number of teachers</b>	<b>6,129</b>	<b>3,338</b>	<b>1,169</b>	<b>1,404</b>

\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

Note: The "All" column includes teachers in other schools (e.g., schools that span multiple levels such as K–12 schools).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Teachers in high schools were more likely than teachers in elementary and middle schools to identify major challenges to using assessment data.** Specifically, teachers in high school were significantly more likely than teachers in other schools to rate a challenge as major for six of the eight challenges examined (exhibit 3.21). For the most part at each level, there were no differences in rating challenges using data as major for teachers in Title I and non-Title I schools (appendix exhibit D.17).

## E. State High School Graduation Requirements

In the early 2000s, many state governors, business leaders, and advocates began calling for more rigorous high school graduation standards to meet the demands of 21<sup>st</sup>-century careers. In 2004, the American Diploma Project (ADP) identified college- and career-expectations that exceeded the graduation requirements of many states. For example, ADP noted that “no state currently requires all students to take Algebra II to graduate, and few high school exit tests measure much of what ADP suggests that students need to know” (Achieve 2004).

In response, some states began increasing graduation requirements, particularly in math, and some added a requirement that students demonstrate proficiency by passing a high school exit exam or a series of end-of-course exams. For example, nine states increased the number of years of math coursework required for a standard high school diploma between 2006 and 2010.<sup>34</sup> Twenty five states required students to pass an exam to receive a high school diploma in 2012, up from 22 states in 2006 (Center for Education Policy 2006; 2012). In this section, we examine state coursework and exam requirements for high school graduation as of 2014.

### 1. State Coursework Requirements by Subject

**A majority of states required students graduating in 2014 to take 4 years of reading/ELA, but fewer years of other core academic subjects to receive a standard high school diploma.**<sup>35</sup> Forty-four states required graduating high school students to take 4 years of reading/ELA. States with minimum coursework requirements for a standard high school diploma in 2014 required an average of 3.9 years of reading/ELA, 3.3 years of math, and approximately 3 years of science and social studies (exhibit 3.22). Twenty states required students graduating in 2014 to complete 4 years of math and, of these, 11 states explicitly required students to complete Algebra I, Geometry, and Algebra II courses.

**Exhibit 3.22. High school coursework requirements for students graduating in 2014 with a standard high school diploma, by subject: 2013–14**

Subject	Number of states requiring 4 years of the subject	Average number of years required <sup>1</sup>
Reading/ELA	44	3.9
Math (any)	20	3.3
(Includes Algebra I, Geometry, and Algebra II)	11	4.0
Science	5	2.9
Social studies/history	7	3.0
<b>Number of states</b>	<b>51</b>	<b>47</b>

<sup>1</sup> Among states requiring a minimum number of years of coursework in the subject.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

<sup>34</sup> Data on number of credits required to earn a standard high school diploma generated from Education Counts research center table generator. See <http://www.edcounts.org/createtable/step1.php?categoryId=77&mode=By Category>

<sup>35</sup> Three to four states did not set minimum coursework requirements in reading/ELA, math, science, or social studies/history for students graduating in 2014 with a regular high school diploma, leaving those requirements to local discretion.

**Most states did not report changes to core academic course requirements for students entering high school in 2013 relative to those entering high school in 2010.** Fifteen states reported a recent increase in course requirements, which included increases in requirements for world language or career preparedness, for example (exhibit 3.23). Only two to four states reported increasing the number of years required in reading/ELA, math, science, or social studies for a standard high school diploma for students entering high school in fall 2013, compared to requirements for students entering high school in fall 2010. A few states reported increasing requirements in specific math courses (four states) or in specific science courses (three states) for a standard high school diploma.

**Exhibit 3.23. Number of states that increased high school graduation requirements for a standard diploma for students entering in fall 2013, by increased requirement: 2013–14**

<b>Increased requirement for students entering in fall 2013 (compared to students who entered in fall 2010)</b>	<b>Number of states</b>
Required years of reading/ELA	2
Required years of math	4
Required years of science	3
Required years of social studies/history	4
Specific required math courses	6
Specific required science courses	5
Other required courses	7
Any increased course requirements	15
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

## **2. State Exam Requirements**

**Most states required graduating students to take some kind of exam.** Thirty-nine states required students graduating in 2014 with a standard high school diploma to take some kind of an exam, although some did not require them to pass the exam (exhibit 3.24). The most common testing requirement involved subject-specific tests at the end of a course or grade, which was required by 23 states. Most states that required a test did not require the student to pass the test to graduate. Nine states required students not only to take but to pass end-of-course/grade subject tests, and 10 states required students to pass a comprehensive, exit, or grade-specific exam. Some states offered students who failed exams an alternative route to demonstrate that they had the desired level of content knowledge.

**Exhibit 3.24. Number of states with an exam requirement for a standard or regular high school diploma: 2013–14**

<b>Exam and requirement</b>	<b>Number of states</b>
End-of-course/grade subject tests	23
Student must pass exam(s)	9
Students must take exam(s) but those not passing may earn a standard/regular diploma in other ways	8
Students must take exam(s) but no threshold score required	6
A college entrance exam (SAT or ACT)	12
Student must pass exam(s)	0
Students must take exam(s) but those not passing may earn a standard/regular diploma in other ways	2
Students must take exam(s) but no threshold score required	10
Comprehensive, exit, or grade-specific exam	18
Student must pass exam(s)	10
Students must take exam(s) but those not passing may earn a standard/regular diploma in other ways	4
Students must take exam(s) but no threshold score required	4
State did not require any exam or test	12
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

## **F. Summary**

During the 2013–14 school year, state content standards in reading/ELA and math across the nation focused on the readiness of students for college and careers. All but five states had adopted the CCSS standards in reading/ELA and math by this time. In addition, states with ESEA flexibility (which include several of the non-CCSS states) had committed to implementing college- and career-ready standards during 2013–14. Principals reported that most schools were fully implementing their states’ content standards in reading/ELA and math in 2013–14. In addition, most teachers reported receiving professional development on the state content standards and using instructional activities aligned with college and career-ready standards at least weekly. Moreover, most teachers did not perceive incorporating the state content standards into their instruction as a major challenge overall. However, when asked about specific challenges to incorporating the standards, lack of time for lesson planning and professional development were noted as major challenges by 56 and 40 percent of teachers, respectively.

The implementation of state content standards had less penetration at the high school level than in elementary and middle school grades. High school principals reported lower levels of implementation of content standards, and high school teachers reported less professional development, less collaboration with colleagues, and less monitoring of their instruction as related to content standards. They also experienced more challenges in implementing standards, were less likely to take action to prepare students for state assessments, and had more difficulty using assessment data.

For many states, 2013–14 was a transition year regarding summative assessments as they prepared for the administration of the PARCC or Smarter Balanced consortia assessments, which were designed to measure students’ mastery of college- and career-ready content standards. Nonetheless, some states reported that their state summative assessments in 2013–14 already included items with response formats associated with higher-order thinking skills, more often in reading/ELA than math and more often in high school than earlier grades.

Most districts expected students to use computers for 2015 state summative assessments, but many lacked the needed technology. A majority of states reported making investments in technology such as helping to acquire expanded bandwidth for schools in 2013–14. However, approximately one-third of districts expecting students to be tested using computers in 2015 did not report having the technology (computer resources plus sufficient bandwidth) to conduct the assessments using computers.

Nearly all state data systems included longitudinal assessment data, but fewer states included student-level data on enrollment in state postsecondary institutions, and fewer still had student-level data from state workforce or unemployment insurance systems. Teachers reported widespread use of assessment data, particularly to identify struggling students, monitor the progress of students, and set learning objectives or goals.

Finally, high school graduation requirements and exit exams are another way for states to signal to students what it takes to be college and career ready. Most states did not report recent changes to course requirements for graduation between 2010 and 2014. On average, states with minimum coursework requirements for a standard high school diploma in 2014 required an average of 3.9 years of reading/ELA, 3.3 years of math, and approximately 3 years of science and social studies. Many states also required students to take or pass some kind of an exam to receive a standard high school diploma.

## **4. Accountability and Support for Schools and Districts**

Outcome-based accountability systems for schools are designed to establish goals for student achievement, inform stakeholders about the progress and performance of schools, and identify struggling schools for support and improvement. The school accountability framework established by the NCLB included a long-term goal of 100 percent proficiency in reading/ELA and math by 2014, measures of student achievement and annual school performance targets based on state-designed assessments, and specific consequences that increased in intensity with each year a school missed the annual targets. ESEA flexibility permitted states to set new long-term proficiency goals and aligned annual school performance targets in exchange for adopting policies that included the use of particular school-turnaround strategies and a focus on fewer, persistently low-performing schools and schools with low-performing subgroups. In 2013–14, just 8 states continued to operate under original NCLB accountability rules, while the remaining 42 states and the District of Columbia operated under accountability systems designed under ESEA flexibility guidelines.

ESSA gives states more discretion to design their own school accountability and support systems than was the case under NCLB or ESEA flexibility, while establishing broad parameters within which the systems must be designed. For example, states must still set long-term goals and report student achievement on reading/ELA and math assessments in grades 3 through 8 and in high school, and states must identify persistently low-performing schools for support and improvement. But states can design their own long-term goals, measures of school performance and progress, and support strategies for low-performing schools.

This chapter examines school accountability and support policies and their implementation in districts and schools in 2013–14. The chapter discusses the measures states used for school accountability (section A); how states supported and intervened in the lowest-performing Title I schools (section B); and provisions for differentiated support, consequences, and rewards among schools that were not lowest-performing (section C). Because accountability system requirements differed under NCLB and ESEA flexibility, the chapter presents most of the findings separately for states operating under the two sets of rules.

### **A. Measures of School Performance and Progress**

Measuring school performance and progress entails setting long-term achievement goals and annual school performance targets, deciding on the measures to use, and deciding how to differentiate schools so that incentives and support are matched with performance. The next subsection discusses the long-term proficiency goals and annual targets—known as annual measurable objectives (AMOs)—that states set for 2013–14, and the following subsection discusses how states differentiated school performance.

## **1. Long-Term Proficiency Goals and Annual School Performance Targets**

As early as 2005, there were signs that the progress states had made since the passage of NCLB was not sufficient to put them on a trajectory to meet the 2014 goal of 100-percent proficiency (Stullich, Eisner, & McCrary 2007). As 2014 approached, it became clearer that states would not meet that goal. ESEA flexibility allowed states to reset their long-term goals for student achievement. States could choose another long-term proficiency goal that was either achieving (1) 100 percent proficiency by 2020 or (2) reducing by half the percentage of non-proficient students within 6 years; alternatively, states could select another ambitious but achievable goal that requires more progress by schools and subgroups that are further behind. Looking ahead, ESSA requires states to set ambitious long-term goals for the performance and achievement of all students and specified subgroups in math and reading/ELA and to set measures of interim progress toward those goals that, for lagging subgroups, require greater annual achievement gains than are required for other subgroups in order to reduce achievement gaps. The new law is thus closer to promoting the third option states had under ESEA flexibility, but does not preclude using a long-term goal of 100 percent proficiency or reducing by half the percentage of non-proficient students.

**Most states with ESEA flexibility adopted a long-term proficiency goal that differed from NCLB's 100 percent proficiency goal.** Twenty-eight of the 43 states with flexibility adopted a goal of reducing by half the percentage of students and subgroups not proficient in 6 to 8 years (exhibit 4.1). However, a few states continued to focus on proficiency for all students as a goal. Along with the eight states without ESEA flexibility, each of which maintained the goal of 100 percent proficiency by 2014, one state with flexibility adopted a goal of 100 percent proficiency by 2014 and charged schools to work toward that goal through the design of the school performance index and school grades. Three states with ESEA flexibility adopted the goal of 100 percent proficiency by 2020. Three other states adopted a modified version of this goal that requires 75 to 90 percent of students to achieve proficiency by 2020. Eight states with flexibility established other goals for proficiency, which included improving proficiency for all students by 25 percent and reducing the achievement gap by half by 2020, having 85 percent of students achieve proficiency by 2022, or achieving a threshold score on a state-defined performance index.



**Exhibit 4.1. Number of states with goals for student achievement under ESEA, by state ESEA flexibility status: 2013–14**

State’s goal for student achievement under ESEA	Number of states		
	All states	With ESEA flexibility	Without ESEA flexibility
<b>To reduce by half the percentage of all students and subgroups who are not proficient on the state assessment(s):</b>			
Within 6 years	26	26	0
Within 8 years	2	2	0
<b>That 100 percent of the students achieve proficiency on the state assessment(s):</b>			
By 2013–14	9	1	8
By 2019–20	3	3	0
<b>That 75–90 percent of students achieve proficiency by 2019–2020</b>	3	3	0
<b>Other goal</b>	8	8	0
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

Note: The category of “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

In addition to allowing states to reset their long-term goals for student achievement, ESEA flexibility allowed states to expand the measures they used to assess school performance beyond reading/ELA and math proficiency and graduation rates. Unlike NCLB, which required the identification of low-performing schools to be tied to whether or not they met AMOs (the annual school performance targets indicating progress toward the long-term goal), ESEA flexibility allowed states to use a broader set of measures to identify low-performing schools than were used as AMOs. We discuss measures that states used for AMOs and measures used to assess the level of school performance.

**Less than one-third of states with flexibility broadened AMO measures to include more content area assessments.** In addition to the NCLB-required reading/ELA and math proficiency and graduation rates, additional assessment measures reported by states included science or social studies assessments, college preparatory exams (ACT, SAT, International Baccalaureate, or Advanced Placement exams), and vocational or technical certifications (exhibit 4.2). Thirteen states used science assessments in at least one grade level, while five states used social studies assessments. Some of the states using multiple measures for AMOs combined the measures into a school performance index that was used both to set AMOs that require schools to improve their index scores and to define school performance categories.

**Some states, both with ESEA flexibility and without, used student attendance as an AMO measure for elementary and middle schools.** Measures other than assessments may also be important in gauging school performance. Recent studies have pointed to the importance of student attendance for making progress in school (Allensworth & Easton 2007; Connolly & Olson 2012; Gottfried 2010; Neild

& Balfanz 2006). Fourteen states with flexibility and three states without flexibility included student attendance among their AMOs for elementary and middle schools, but only three states used this measure for high schools (exhibit 4.2).

**Exhibit 4.2. Number of states using measures for AMOs beyond those required by NCLB, by state ESEA flexibility status: 2013–14**

Annual measurable objective by grade span	Number of states		
	All states	With ESEA flexibility	Without ESEA flexibility
<b>Measures used for elementary/middle schools</b>			
<b>State assessments</b>			
Science	12	12	0
Social studies/history	5	5	0
Other	3	1	2
<b>Measures other than assessments</b>			
Student attendance	17	14	3
Other	1	1	0
<b>Measures used for high schools</b>			
<b>State assessments</b>			
End-of-course exam in science <sup>1</sup>	9	9	0
ACT, SAT	6	5	1
End-of-course exam in social studies/history <sup>2</sup>	3	3	0
International Baccalaureate exams	2	2	0
Advanced Placement exams	2	2	0
Other	1	1	0
<b>Measures other than assessments</b>			
Student attendance	3	3	0
Vocational/technical certifications	3	3	0
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

<sup>1</sup> One state assessing science in high school is different from the 12 assessing science in the elementary/middle grades.

<sup>2</sup> Three states assessing social studies in high school are a subset of the five states assessing social studies in elementary/middle grades.

Notes: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Three states without ESEA flexibility (California, Montana, and Vermont) received a waiver from reporting accountability for 2013-14 because they participated in the Smarter Balanced Assessment Consortium pilot, so AMOs did not apply in that year.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

Setting uniform AMOs for all schools and subgroups statewide—as required by NCLB—can pose significant challenges for schools starting from lower levels of proficiency. Schools with high concentrations of economically disadvantaged and minority students were more likely to miss targets in the early years of NCLB (Stullich, Eisner, & McCrary 2007). ESEA flexibility permitted states to set AMOs that were based on the school’s initial levels of proficiency for “all students” and subgroups, although groups that were further behind had to make more progress each year. ESSA requires that states annually differentiate schools based on the set of performance measures in their accountability system, including proficiency and progress for all students and subgroups, but does not require specific AMOs.

**About half of the states with ESEA flexibility set AMOs that varied across schools.** NCLB required states to have the same AMOs for all schools, but this was not required under flexibility. Twenty-three of 43 states with flexibility chose to allow AMOs to differ in different schools. In 21 of these 23 states, targets were based on the school’s initial proficiency rate, so that schools with lower initial proficiency rates would have lower initial targets, but the targets would increase more rapidly (exhibit 4.3). For example, a school with an initial proficiency rate of 50 percent might be required to improve by 5 percentage points each year while a school starting out at 30 percent proficiency might be required to improve by 7 percentage points each year.

**Exhibit 4.3. Number of states with approaches to setting AMOs across schools, by state ESEA flexibility status: 2013–14**

State approach to setting AMOs	Number of states		
	All states	With ESEA flexibility	Without ESEA flexibility
State sets the same AMOs for all schools	28	20	8
State sets AMOs that vary across schools: <sup>1</sup>	23	23	0
By school’s initial proficiency level	21	21	0
By school grade level	5	5	0
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

<sup>1</sup>States may be included in more than one sub-category.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

A significant innovation of NCLB was to focus the attention of educators on the achievement of student subgroups, including economically disadvantaged students, racial and ethnic subgroups, English learners, and students with disabilities. Achievement of these subgroups, many of whom are educationally disadvantaged, might be overlooked if schools were accountable only for the achievement of all students, as the lack of progress by smaller subgroups could be masked by the achievement levels of the majority of students in the school.

Reporting on subgroup achievement was required under NCLB only if the subgroup was large enough to meet state-designated minimum subgroup-size thresholds, designed to protect against small-sample year-to-year variations in achievement measures and possible disclosure of the performance of individual students. Under ESEA flexibility, states could define combined subgroups that would more likely meet reporting thresholds; states could also reduce their minimum subgroup sizes. Both policies had the potential to increase the number of schools accountable for subgroups. Combined subgroups also had the potential to mask the performance of the smallest subgroups if states did not require reporting on the performance of constituent subgroups or use that information to make school accountability decisions.

**Two-thirds of the states receiving flexibility reduced their minimum subgroup sizes, and a similar number used combined subgroups for accountability.** Of the 43 states with ESEA flexibility, 34

made at least one of these changes, and 18 states made both changes (exhibit 4.4). Among states with ESEA flexibility, the minimum subgroup size declined from 34 on average in 2008–09 to 23 in 2012–13 (appendix exhibit E.1). Among states without flexibility, only one changed its minimum subgroup size during the same period, *increasing* the minimum subgroup size from 30 to 40 students. Some states combined subgroups that existed under NCLB, and some states defined new subgroups such as students scoring in the bottom quartile of state assessments in the previous year. Of the 25 states with flexibility defining combined subgroups, three states used these subgroups for accountability only if the constituent subgroups were too small to meet reporting requirements (appendix exhibit E.2). The remaining states used these subgroups for accountability in all schools. ESSA continues to require that state accountability systems use the subgroups established by NCLB subject to the minimum subgroup size set by the state. States may use combined subgroups in addition to the individual subgroups, but not to replace individual subgroups.

**Exhibit 4.4. Number of states changing the minimum subgroup size and combining subgroups, by state ESEA flexibility status: 2013–14**

Subgroup policy	Number of states		
	All states	With ESEA flexibility	Without ESEA flexibility
States using combined subgroups for accountability <sup>1</sup>	25	25	0
States changing their minimum subgroup size	28	27	1
States both using combined subgroups and reducing the minimum subgroup size	18	18	0
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

<sup>1</sup> Of the 43 states with flexibility, one state did not report its minimum subgroup size in 2012-13. All 27 states with ESEA flexibility that changed minimum subgroup size reduced subgroup size. Among the states without flexibility, one state changed its minimum subgroup size from 30 to 40.

Notes: For 2008–09 subgroup sizes: Harr-Robins, et al. 2012.

The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

## **2. Differentiating Schools Based on Performance**

School performance categories have been part of state accountability systems since NCLB. School categories provide a signal about performance to schools and their stakeholders and a framework for differentiating support for lower-performing schools and rewards to highest-performing schools. NCLB called for state systems of accountability to include both sanctions and rewards to hold schools and districts accountable for student achievement and progress toward the long-run achievement goal, but the emphasis of state accountability systems under NCLB has been on consequences for lower-performing schools.

NCLB required the use of school improvement categories based on the number of years a school had missed AYP, which would typically happen if it fell short of proficiency targets (AMOs) for all students or any subgroup. Under NCLB, a school was identified as in need of improvement if it missed AYP for 2 years. After 4 years, it would be in corrective action, and after 5 years, in restructuring. ESEA

flexibility, in contrast, required states to identify 3 categories of schools—(1) the persistently lowest-performing 5 percent of Title I schools (priority schools), (2) 10 percent of Title I schools with the greatest achievement gaps (focus schools), and (3) highest-performing and high-progress schools (reward schools)—and to establish a system of differentiated recognition and support for all schools. ESSA requires state accountability systems to “meaningfully differentiate” all public schools and to identify the lowest-performing schools for improvement and support. States are also required under ESSA to differentiate schools with chronically underperforming subgroups for school- and district-determined intervention.

To identify lowest-performing schools, NCLB required states to use proficiency in reading/ELA and math, graduation rates, assessment participation rates, and another academic indicator for all students and subgroups. AMO measures were thus the basis for defining school performance categories. NCLB did not consider other subjects and academic outcomes in assessing school performance, and other than in the 15 states participating in a growth model pilot program, schools were not given credit for the achievement growth of students toward proficiency. ESEA flexibility addressed both of these issues. States with flexibility were allowed to assess school performance using additional measures of student achievement and outcomes, including achievement in other content areas, student growth, subgroup performance and gaps, and other measures of student success, such as engagement and persistence. Thus, states with flexibility could define school performance categories using a broader set of measures than those used for AMOs. Some states created school performance indexes that incorporated multiple measures.

**To identify high- and low-performing schools, some states with flexibility used a wider range of assessments and other measures than were required under NCLB.** Sixteen states with flexibility expanded the assessments used to identify high- and low-performing schools to include science or social studies (exhibit 4.5). A similar number of states used additional academic measures, including college entrance exam participation or scores (16 states), career or technical courses or certification (7 states), and enrollment in college courses or dual enrollment (6 states). Two states included enrollment in college post-high school and one used student and parent engagement surveys.

**Exhibit 4.5. Number of states using selected measures to identify high- and low-performing schools: 2013–14**

Measures used	Number of states					
	Any category of schools	Highest-performing schools	High-progress schools	Focus schools	Priority schools	Corrective action & restructuring
<b>Assessments other than Reading/ELA and Math</b>						
Science or social studies assessment	16	14	13	14	13	0
ACT or SAT (participation or scores)	16	14	10	11	10	1
Advanced Placement or International Baccalaureate courses or exams	9	8	4	4	4	0
<b>Measures of school quality or student success<sup>1</sup></b>						
Completion of accelerated high school courses (honors, pre-AP)	3	3	2	2	2	0
College enrollment after high school	2	2	0	1	1	0
Enrollment in career and technical education courses or attainment of career or industry certification	7	6	4	5	3	0
Enrollment in college courses or dual enrollment	6	6	3	3	3	0
Student and parent engagement surveys	1	1	1	1	1	0
Student attendance	21	21	12	4	3	0
<b>Number of states</b>	<b>51</b>	<b>51</b>	<b>51</b>	<b>43</b>	<b>43</b>	<b>8</b>

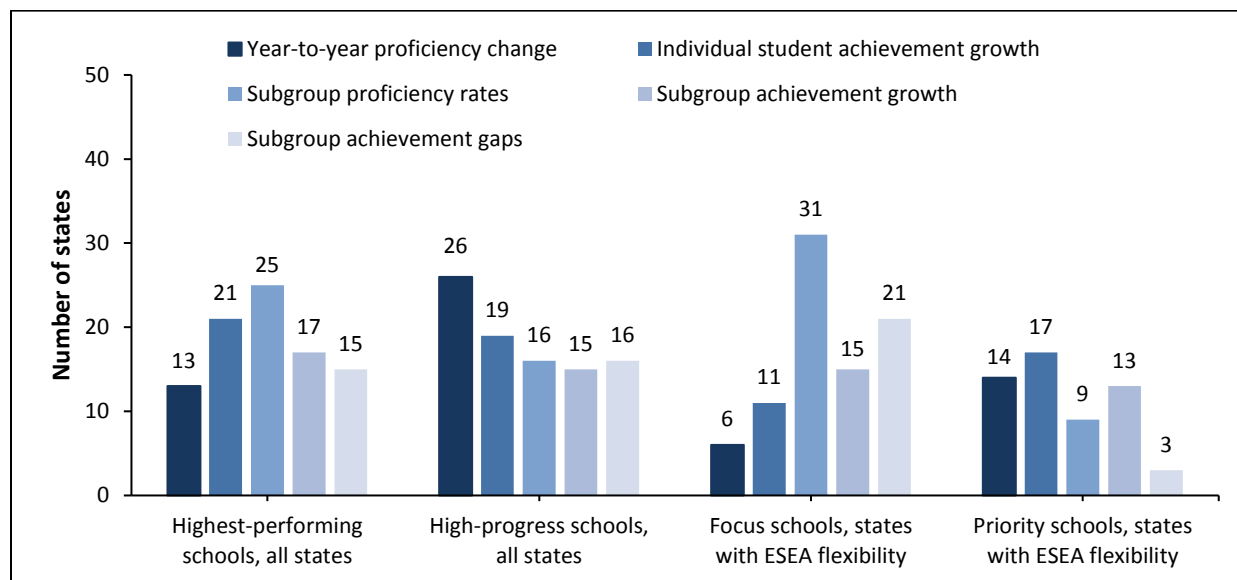
<sup>1</sup>Includes measures other than those based on assessments or graduation rates.

Note: For details, see appendix exhibits E.3 and E.4.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies and State Department of Education Websites.

**Many states receiving flexibility identified high- and low-performing schools using year-to-year improvements in proficiency, individual student growth, or subgroup proficiency gaps, in addition to schoolwide and subgroup proficiency rates.** For example, 21 states used the achievement growth of individual students to identify highest-performing schools (exhibit 4.6). To identify schools making high progress, 26 states included year-to-year proficiency changes, and 19 states used the achievement growth of individual students.

**Exhibit 4.6. Number of states using measures of proficiency, growth, and gaps based on reading/ELA and math assessments to identify high- and low-performing schools: 2013–14**



Notes: Although four states without flexibility indicated that high-progress schools have the opportunity to be recognized by a state program or at the National Title I conference, only three of these states provided information on the number of highest-performing schools and the criteria for selection.

The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

For details, see appendix exhibits E.3 and E.4.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**To identify focus schools, more states with flexibility used subgroup measures – achievement levels, gaps, and growth – than used measures of achievement growth or proficiency changes for all students.** States with ESEA flexibility were required to identify focus schools as those that are contributing most to the achievement gap in the state. Focus schools could be identified based on the size and persistence of the within-school achievement gaps or based on persistently low subgroup achievement that contributes to the state’s overall achievement gap. High schools with graduation rates less than 60 percent that were not identified as priority schools were identified as focus schools. States could also use subgroup graduation rates and gaps in subgroup graduation rates to identify focus schools (appendix exhibit E.4). Nearly three-quarters (31) of the states with flexibility used levels of subgroup proficiency to identify focus schools; 21 used within-school subgroup achievement gaps; and 15 used subgroup achievement growth (exhibit 4.6; for details see appendix exhibit E.4).

**To identify priority schools, 17 of 43 states with flexibility examined the achievement growth of individual students as well as the federally required measures.** ESEA flexibility required states to identify priority schools based on the low performance of all students on statewide assessments and a demonstrated lack of progress over a number of years for all students. ESEA flexibility guidelines also required that Title I or Title I-eligible high schools with a graduation rate less than 60 percent and schools with Tier I or Tier II SIG be designated as priority schools. In addition to the 17 states using achievement growth of all students, some states added other measures to identify priority schools,

including 14 states using year-to-year proficiency growth of successive cohorts and 3 states using subgroup achievement gaps (exhibit 4.6)

**As of 2013–14, a majority of states were already using most of the accountability measures subsequently required under ESSA.** Academic achievement in math and reading/ELA and the high school averaged cohort graduation rate must be included in state accountability systems under ESSA, and all states were using those measures in 2013–14. ESSA also requires the use of achievement growth or another valid statewide indicator for elementary and middle schools. Thirty-six states used either a measure of student achievement growth or year-to-year proficiency changes in their school performance measures in 2013–14.

**Few states were using indicators of school quality or student success based on measures other than test scores and graduation rates in their school performance systems.** Beyond the performance measures that states reported using in 2013–14, ESSA expects states to add an additional measure of school quality or student success. Possible measures include (but are not limited to) student or educator engagement, student access to and completion of advanced coursework, postsecondary readiness, school climate, and safety. In 2013–14, 8 states with flexibility were already using a similar measure for high schools, including measures of enrollment in advanced courses, enrollment in career and technical education and achievement of certification, and postsecondary enrollment after high school.

Section B focuses specifically on the identification of and interventions in the lowest-performing Title I schools.

## **B. Identifying and Improving the Lowest-Performing Schools**

State accountability systems identify the lowest-performing schools for more comprehensive interventions and support to improve student performance. State approaches to identifying lowest-performing schools, the interventions to be implemented, and the extent of state monitoring in these schools changed over the last several years under federal initiatives and could change again under ESSA. This section discusses the number of schools identified as lowest-performing (priority schools in states with ESEA flexibility and schools in corrective action and restructuring in states without flexibility) and interventions and support in those schools.

### **1. Identifying the Lowest-Performing Title I Schools**

Under NCLB, aggressive interventions for schools began after they missed AYP targets for 4 years, at which point they were in corrective action; an additional year of missing AYP put them in restructuring. As AMO targets rose toward 100 percent of students achieving proficiency in 2014, the number of schools in corrective action and restructuring increased substantially. ARRA's expansion of SIG funding and subsequent rules for ESEA flexibility sought to focus state support and monitoring on a smaller number of persistently lowest-performing priority schools, considering proficiency rates on state assessments for all schools and graduation rates for high schools.



States with ESEA flexibility identified priority schools from among three groups of schools: (1) the persistently lowest-achieving 5 percent of Title I schools, (2) Title I or Title I-eligible high schools with graduation rates below 60 percent over a number of years, and (3) schools with a Tier I or Tier II SIG.<sup>36</sup> States with ESEA flexibility were required to identify at least 5 percent of their Title I schools as priority schools. States without flexibility continued to identify their lowest-performing schools as those in corrective action and restructuring.

**States with ESEA flexibility identified a narrower set of Title I schools as those with persistently lowest performance compared to states operating under NCLB.** States identified 13 percent of all Title I schools—6,957 schools—as lowest performing (priority schools or schools in corrective action or restructuring). States with ESEA flexibility identified 5 percent of Title I schools (2,184 schools) as priority schools, and states without flexibility identified 43 percent of Title I schools (4,773 schools) as schools in corrective action or restructuring (exhibit 4.7).<sup>37</sup>

**In 2013–14, the percentage of Title I schools in the lowest-performing categories in states without flexibility was considerably higher than reported in 2006–07.** In 2006–07, 9 percent of Title I schools nationally were in corrective action or restructuring (Taylor, Stetcher, O’Day, Naftel, & Le Floch 2010). Seven years later, 43 percent of all Title I schools in states without flexibility were in corrective action (11 percent) or restructuring (32 percent), reflecting the growing challenge of meeting the rising proficiency targets under NCLB (exhibit 4.7).

**Exhibit 4.7. State reports of the number and percentage of Title I lowest-performing schools, by state ESEA flexibility status: 2013–14**

Number and percentage of Title I schools identified as lowest-performing schools in 2013–14	Number of states with ESEA flexibility	Number of states without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
Number of schools	2,184	1,226	3,547
Percentage of all Title I schools in those states	5%	11%	32%
<b>Number of states</b>	<b>43</b>	<b>8</b>	<b>8</b>

Notes: The category of “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. For details, see appendix exhibit E.5.

Sources: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies and number of Title I schools from *EDFacts*.

<sup>36</sup> SIG schools included among the state’s priority schools must be using SIG funds to implement one of the SIG models for school improvement, including restart, transformation, or turnaround (see appendix A for details).

<sup>37</sup> States reported the number of low-performing schools to the *EDFacts* system in February 2014. The number of low-performing schools reported in the survey was somewhat higher than the number reported in *EDFacts*.

Looking ahead, the percentage of schools identified as lowest-performing under ESSA could be larger than under ESEA flexibility. ESSA continues the focus on lowest-performing schools based on achievement and graduation rates, but ESSA defines this category of schools more broadly. Schools must be identified if they are among the lowest-performing 5 percent of Title I schools, if they are public schools (Title I or non-Title I) with graduation rates below 67 percent, or if they are public schools (Title I or non-Title I) with chronically low subgroup achievement and have not responded to targeted interventions over a number of years (determined by the state). Thus, for high schools, ESSA raises the graduation rate threshold and brings in non-Title I schools. ESSA also adds a third category of schools with chronically low-performing subgroups that have not responded to targeted interventions for a state-determined period of time.

**Many states with ESEA flexibility identified lowest-performing schools less frequently than under NCLB.** States were required to identify low-performing Title I schools annually under NCLB, but states with ESEA flexibility could choose to identify low-performing Title I schools as infrequently as every 3 years, consistent with the requirement to provide intensive interventions to Title I priority schools for at least 3 years. Just over half of the states with flexibility (25 states) opted to identify Title I priority schools every 3 years, while 15 states continued to identify lowest-performing schools annually (exhibit 4.8). ESSA continues the ESEA flexibility policy of allowing states to identify lowest-performing schools every 1 to 3 years.

**Exhibit 4.8. States’ frequency of identifying lowest-performing schools, by state ESEA flexibility status: 2013–14**

Frequency <sup>1</sup>	Number of states with ESEA flexibility	Number of states without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
Annually	15	8	8
Every 2 years	1	0	0
Every 3 years	25	0	0
<b>Number of states responding</b>	<b>41</b>	<b>8</b>	<b>8</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>	<b>8</b>

<sup>1</sup>Two states with flexibility did not respond to this question.

Notes: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. For details, see appendix exhibit E.5.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

## **2. Interventions and Support in the Lowest-Performing Title I Schools**

Schools in corrective action and restructuring under NCLB were expected to implement one of several options for making major changes in governance, personnel, and/or the instructional program (see Appendix A for details). Expanded funding for the SIG program, which involved many schools in restructuring, came with a more specific set of turnaround models as options. The SIG models included closure (closing the school and sending students to higher-achieving schools), restart (restarting the

school as a charter school or under a private school management organization), turnaround (making significant staffing and governance changes along with changes in instruction, learning time, and educator evaluations), and transformation (just replacing the principal in addition to changes in instruction, learning time, and educator evaluations). Previous research found that most schools in restructuring and schools receiving SIG funding adopted the less-aggressive options, avoiding major changes in governance and teaching staff, but larger proportions replaced the principal and implemented changes in the instructional program and professional development (Hurlburt, Le Floch, Therriault, & Cole 2011; Scott 2008; Scott & Kober 2009; Taylor et al. 2010; Troppe et al. 2015).

Under ESEA flexibility, Title I priority schools were required to adopt a set of turnaround practices that included reviewing principal performance and replacing the principal if needed, reviewing teacher performance and replacing low performers, providing job-embedded professional development, increasing learning time, and using data to support instruction. Priority schools could satisfy these requirements by implementing one of the turnaround models specified in the SIG program. In the future under ESSA, support and improvement strategies for lowest-performing schools are to be designed by the school and the district in consultation with stakeholders and must include evidence-based interventions. ESSA does not require specific restructuring activities, but leaves these decisions to the states and districts.

In this section, we describe interventions and practices implemented in lowest-performing Title I schools in 2013–14 under NCLB and ESEA flexibility, beginning with instructional interventions, including changes to curriculum, school schedules, and student support, and then turning to the major changes in governance and personnel. Findings are consistent with earlier studies that found that, among the options offered to lowest-performing schools, few used the options that involved substantial changes in governance and staffing, such as conversion to a charter school, shifting school management to the state or to a school management organization, or replacing half the teaching staff.

**Most states reported providing support to their lowest-performing Title I schools through guidance to districts and additional professional development or technical assistance to principals and teachers.** A large majority of states (42 of 51 states; exhibit 4.9) reported offering districts guidance on how to match intervention models to the needs and capacity of lowest-performing schools in their districts. A majority also offered principals of their lowest-performing Title I schools additional professional development or technical assistance on instructional leadership (43 of 51 states). Thirty-five states reported offering teachers in Title I lowest-performing schools additional professional development or assistance on using student assessment data to plan instruction.

**Many states reported providing additional resources to lowest-performing schools, support that states had difficulty providing in the past** (Scott & Kober 2009). Additional resources became available in recent years through SIG, RTT, and (in states with flexibility) Title I funds previously used for required supplemental educational services. A majority of states (39 of 51) reported providing resources for purposes specified in school improvement plans to their lowest-performing schools (exhibit 4.9). Most states (31 of 51) also reported providing resources specifically to extend the school day or year in

lowest-performing schools. Some states—16 of 51—provided resources to reduce class sizes in lowest-performing schools.

**Exhibit 4.9. Number of states providing extra professional development and assistance for lowest-performing Title I schools and their districts, by state ESEA flexibility status: 2013–14**

	Number of states		
	With ESEA flexibility	Without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
<b>Extra professional development and assistance</b>			
Guidance to districts on how to match the model to school needs and capacity	37	5	4
<b>Additional professional development or assistance for principals on:</b>			
Acting as instructional leaders	38	5	5
Recruiting, retaining, and developing more effective teachers	27	2	2
<b>Additional professional development or assistance for teachers on:</b>			
Analyzing student assessment data to improve instruction	32	3	3
<b>Additional resources to be used:</b>			
For purposes specified in the school improvement plan	35	4	4
For additional instructional time (extended day or extended year)	26	5	4
For reductions in class size	14	2	2
<b>Number of states</b>	<b>43</b>	<b>8</b>	<b>8</b>

Notes: Extra professional development and assistance are services beyond what is available to any Title I school. The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

For details, see appendix exhibits E.6, E.7, and E.8.

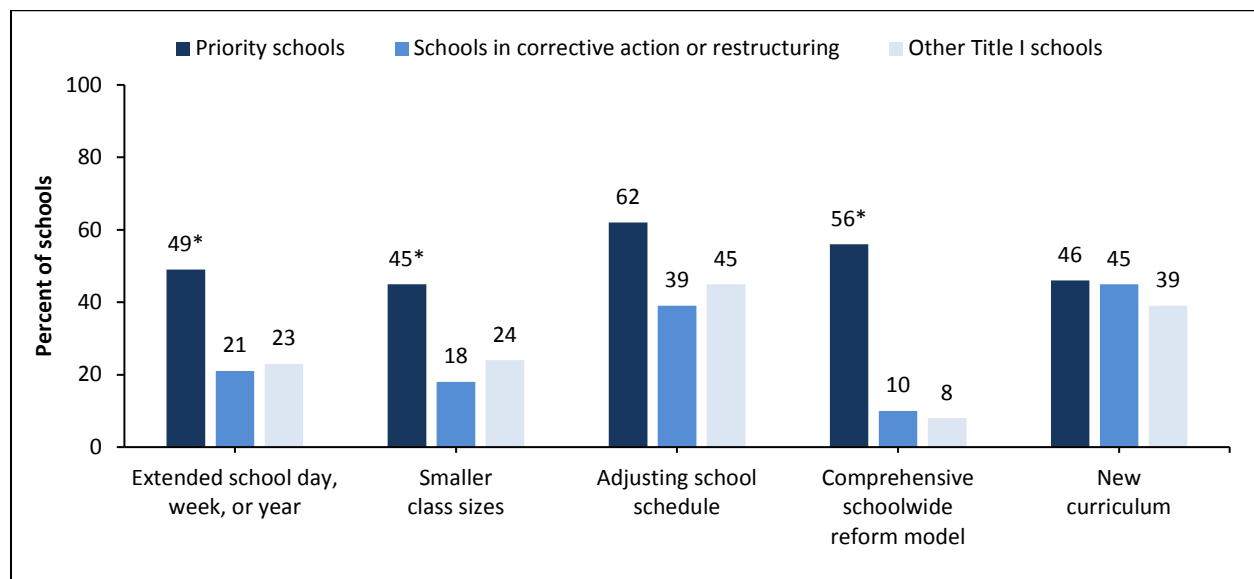
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Title I priority schools were more likely than other Title I schools to adopt resource-intensive strategies of extending school time, reducing class sizes, or implementing a comprehensive schoolwide reform model.** Corroborating state reports of providing additional resources to their priority schools, substantial percentages of principals of priority schools reported that they had reduced class sizes (45 percent) or extended the school day, week, or year (49 percent) (exhibit 4.10)—strategies that entail additional staffing costs. Other Title I schools reported adopting these changes at lower rates. Other Title I schools include all Title I schools that are not in lowest-performing categories, such as high-performing schools, schools identified for improvement (in states without flexibility), schools that attained AMOs, and those that did not meet AMOs.<sup>38</sup>

<sup>38</sup> The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Similarly, Title I priority school principals reported significantly higher rates of adopting comprehensive schoolwide reform models compared to principals in schools in corrective action or restructuring and other Title I schools. Fifty-six percent of Title I priority schools implemented a comprehensive schoolwide reform model, while only 8 percent of other Title I schools did so (exhibit 4.10; for details, see appendix exhibit E.9). Implementing a comprehensive schoolwide reform model, which addresses all academic subjects, the quality of all teachers' practice, school management, and community involvement, is often viewed as an important step in turning around lowest-performing schools. It requires substantial commitment: school staff must work with the model's developer over an extended period of time to obtain ongoing professional development for teachers and leaders, data must be collected to assess implementation and outcomes, and fees must be paid to the model developer for services.

**Exhibit 4.10. Percentage of lowest-performing and other Title I schools implementing instructional interventions to support student achievement: 2013–14**



\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Notes: The category "other Title I schools" excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

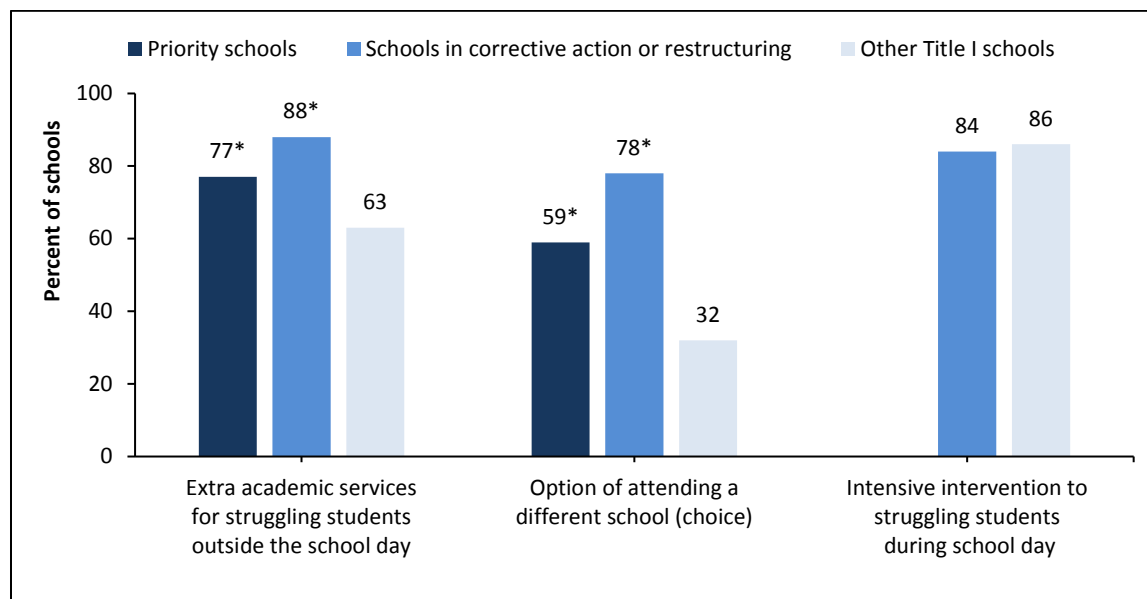
For details, see appendix exhibit E.9.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Schools in corrective action and restructuring usually offered school choice and supplemental educational services, as required by NCLB, but were no more likely than other Title I schools to implement many other reforms.** Eighty-eight percent of schools in corrective action and restructuring were offering supplemental educational services, and 78 percent were offering their students the option to attend other schools (exhibit 4.11). Most priority schools also reported offering these options, even though they were not required to do so under ESEA flexibility. Other reforms, including extended school time, reduced class sizes, and comprehensive schoolwide reform, were adopted by a minority of schools in corrective action and restructuring, rates that were similar to those of other Title I schools (exhibit 4.10). Lowest-performing schools in all three categories were no more likely than other Title I

schools to adopt new curricula, and schools in corrective action and restructuring were no more likely than other Title I schools to implement intensive interventions for struggling students during the school day (exhibits 4.10 and 4.11).

**Exhibit 4.11. Percentage of lowest-performing and other Title I schools implementing instructional interventions and school choice to support student achievement: 2013–14**



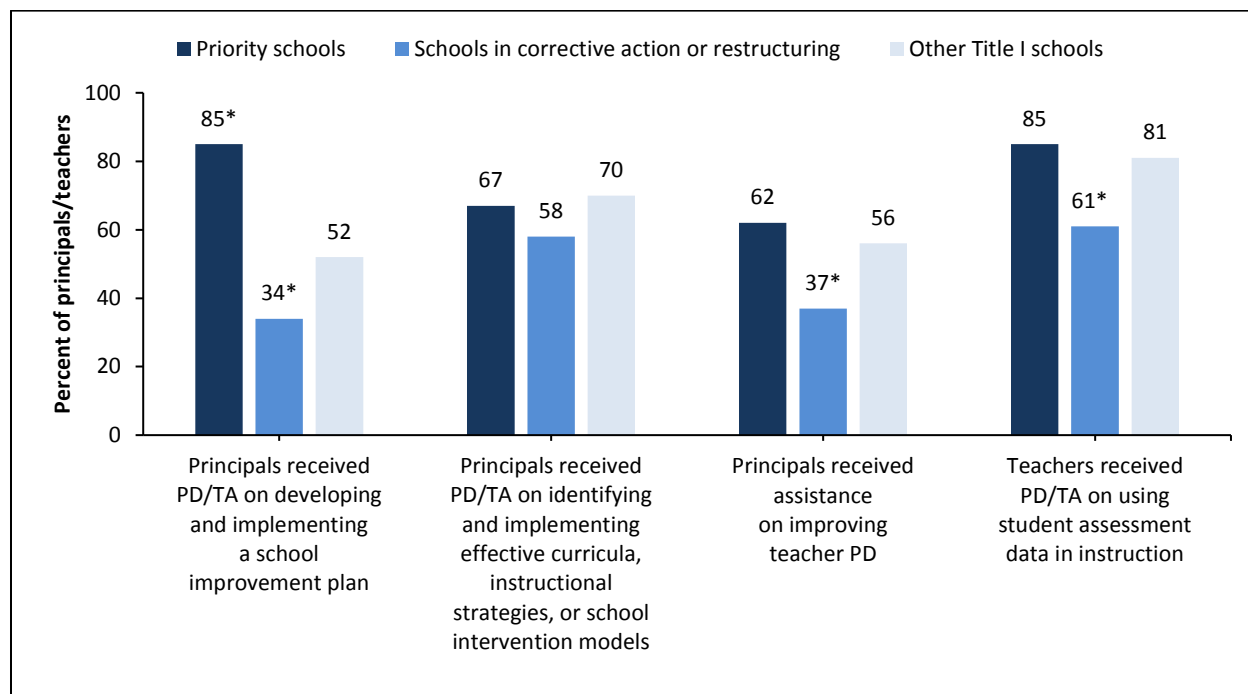
\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Notes: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring. Priority school data for intensive intervention to struggling students during school day did not meet reporting standards due to small sample sizes and was suppressed from the graph. For details, see appendix exhibit E.9.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**State reports of providing additional professional development and assistance to lowest-performing schools were not reflected in principals’ and teachers’ reports of the range of professional development and technical assistance topics.** The survey asked about receiving professional development and technical assistance on a range of topics but not the number of hours, so the information is not clear regarding the intensity of support. Principals and teachers in Title I priority schools reported receiving professional development or assistance on many topics at similar rates as did principals and teachers in other Title I schools (exhibit 4.12; for details, see appendix exhibits E.10, E.11 and E.12). One exception was professional development or assistance on developing a school improvement plan, which principals in Title I priority schools reported at higher levels than did principals of other Title I schools. In a 2012 study of SIG schools, states reported comparably high rates of assistance to low-performing schools on improvement planning and the use of data in instruction as reported in this study, and the schools reported high levels of assistance in these areas, but the 2012 study did not contrast those school reports with the reports of other Title I schools (Herman et al. 2014). Principals of Title I schools in corrective action and restructuring reported receiving professional development or assistance on implementing a school improvement plan and on improving the quality of teacher professional development at lower rates than did principals of other Title I schools.

**Exhibit 4.12. Principal and teacher receipt of professional development (PD) and technical assistance (TA) by lowest-performing school status and Title I status: 2013–14**



\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Notes: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

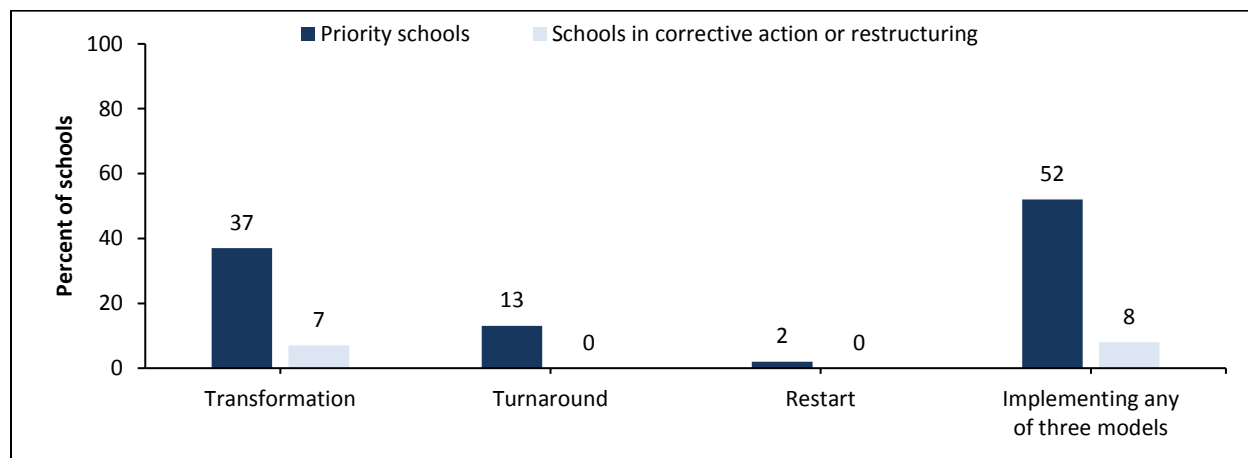
For details, see appendix exhibits E.10, E.11 and E.12.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal and Teacher Surveys.

**Most of the lowest-performing Title I schools did not adopt the most aggressive governance and staffing interventions available to them.** Much like low-performing schools under NCLB and SIG (Hurlburt et al., 2011; Scott, 2008; Scott & Kober, 2009; Taylor et al., 2010; Troppe et al., 2015), most Title I priority schools and schools in corrective action and restructuring did not experience closure, re-opening under new management, or replacement of most of the staff. As shown below, this is evident in the SIG models adopted by the schools; in state reports of removing schools from district operation or closing them; and in reports of changes in staffing.

**In 2013–14, just over half of Title I priority schools were implementing one of the SIG turnaround models, most often the model that did not require replacing most of the staff or re-opening the school under new management.** States reported that 52 percent of Title I priority schools were implementing one of three SIG school turnaround models (excluding closure) in 2013–14 (exhibit 4.13). In addition, states reported closing 67 Title I priority schools after the 2012-13 school year. Consistent with previous research, most of the schools implementing a SIG model were using an approach (the “transformation model”) that did not require large changes in teaching staff or governance. (For details, see appendix exhibits E.13, E.14, and E.15). Schools in corrective action and restructuring had far lower rates of implementation of all of the SIG turnaround models.

**Exhibit 4.13. State reports of the percentage of lowest-performing Title I schools implementing SIG turnaround models: 2013–14**



Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Few of the lowest-performing Title I schools were removed from district control as part of a school turnaround strategy.** Only eight states reported that they had removed any of the lowest-performing Title I schools from district control since the beginning of the 2012–13 school year (appendix exhibit E.16). These eight states reported removing a total of 84 priority schools from district control, which constituted only 4 percent of Title I priority schools nationally (exhibit 4.14) but 19 percent of the priority schools in those states. Four states converted at least one school to a charter school; five states placed at least one school under management by a school management organization; and seven states placed at least one school under direct state control or in a statewide school accountability district (appendix exhibit E.16). These findings echo earlier findings: in 2011–12, just 3 percent of districts with lowest-performing schools reported contracting with external organizations to operate lowest-performing schools, and 2 percent reported closing lowest-performing schools (Troppe et al. 2015).

**Few of the lowest-performing Title I schools made substantial changes in the teaching staff as part of a turnaround strategy, but more schools replaced the principal.** Previous research found that changes in the teaching staff rarely occurred as part of a turnaround strategy under NCLB or the expanded SIG program (Taylor et al. 2010; Troppe et al. 2015). The same was true of the lowest-performing schools in 2013–14. States reported that half or more of the teaching staff were replaced before the start of the 2013–14 school year in only 5 percent of Title I priority schools and almost no Title I schools in corrective action or restructuring (exhibit 4.14; for details, see appendix exhibits E.18, E.19, and E.20). Also consistent with previous findings on school turnaround, more priority schools replaced their principals than replaced teachers—18 percent of Title I priority schools replaced their principals before the start of the 2013–14 school year as part of the school improvement plan. Priority school principals were replaced in twice as many states (28 states) as replaced half the teaching staff (13 states) (appendix exhibit E.18).



**Exhibit 4.14. State reports of the percentage of lowest-performing Title I schools with governance or personnel changes, by state ESEA flexibility status: 2013-14**

	Percent of lowest-performing schools	
	In states with ESEA flexibility	In states without ESEA flexibility
<b>School governance and staffing changes</b>	<b>Priority schools</b>	<b>Schools in corrective action and restructuring</b>
Removed school from district control since the beginning of the 2012–13 school year	4	0
Principal replaced before the start of 2013–14	18	1
Half or more of the teaching staff replaced before the start of 2013–14	5	0
<b>Number of states reporting</b>	<b>41-43</b>	<b>5-6</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>

Notes: The category “states with ESEA flexibility” includes schools in states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. For more details, see appendix exhibits E.16, E.17, E.18, and E.19.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

Only four states reported that their laws or policies gave their lowest-performing schools exemptions from collective bargaining agreements or from state policies or regulations about staffing. One-quarter of states permitted financial incentives for teachers to work in lowest-performing schools, and half the states allowed schools authority in hiring (for details, see appendix exhibit E.21).

At the local level, one in five priority schools was granted flexibility in collective bargaining agreements or staffing policies relative to other schools in the district, and more than half had final authority to hire teachers (appendix exhibit E.22). Relative to priority schools, similar percentages of schools in corrective action or restructuring had flexibility in staffing and authority to hire teachers. “Flexibility” at the local level may have meant something short of a formal exemption from a collective bargaining agreement or a state policy.

### **3. Identifying and Supporting the Lowest-Performing Non-Title I Schools**

Title I resources cannot be used to improve low-performing non-Title I schools, so states have varied in the extent to which they identify these schools as low-performing or require a response to that status. Under ESSA, two types of non-Title I schools must be included among schools identified for support and improvement: high schools with graduation rates below 67 percent and schools with low-performing subgroups that have not responded to interventions over a number of years.

**In 2013–14, fewer than half the states identified non-Title I lowest-performing schools.** States with ESEA flexibility were not required to identify non-Title I schools as priority schools, and most did not (exhibit 4.15). Four of the eight states without ESEA flexibility identified non-Title I schools in corrective action or restructuring.

**Exhibit 4.15. Number of states that designate non-Title I schools as low-performing, by state ESEA flexibility status: 2013–14**

State policy toward non-Title I schools	Number of states			
	With ESEA flexibility		Without ESEA flexibility	
	Priority schools	Focus schools	Schools in corrective action	Schools in restructuring
State designates non-Title I schools in the lowest-performing categories	19	16	4	4
<b>Number of states</b>	<b>43</b>	<b>43</b>	<b>8</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

Most states that identified non-Title I lowest-performing schools required them to implement modest interventions. All 23 states identifying lowest-performing non-Title I schools required schools to develop school improvement plans (appendix exhibit E.23). Twenty states required instructional programs to support struggling students, and 18 required professional development to support interventions. Very few states reported closing or making significant staffing changes in lowest-performing non-Title I schools (appendix exhibits E.24, E.25, and E.26). Approximately half of the states permitted these schools discretion or authority in teacher hiring (appendix exhibit E.27).

Because so few states identified lowest-performing non-Title I schools, the sample of lowest-performing non-Title I schools is very small. As a result, the implementation of these policies at the district or school level cannot be reliably estimated.

#### **4. Monitoring and Supporting Low-Performing Schools**

State education agency staff may monitor low-performing schools as they implement interventions designed to improve student performance. Monitoring can serve many purposes, including identifying obstacles to the implementation process, identifying areas where educators need technical assistance, assessing fidelity of implementation, and ensuring that implementation activities proceed on schedule, and outcomes are trending in a positive direction.

Under NCLB, as more schools were identified as in need of improvement, in corrective action, or in restructuring, many states had reported that capacity constraints had led them to focus more resources on the schools they identified as most in need of support and intervention (Le Floch, Boyle, & Therriault 2008a). Many states also reported significant funding constraints on their efforts to turn around schools (Le Floch, Boyle, & Therriault 2008a; Scott & Kober 2009).

The combination of additional funding (through the SIG and RTT programs) and identification of smaller numbers of low-performing Title I schools (in states receiving ESEA flexibility) might have made it easier for states to monitor and support their low-performing schools. This section describes state monitoring of priority schools, focus schools, and schools in corrective action and restructuring in 2013–14. State monitoring and support may change under ESSA, which requires only that states approve the plans developed by schools and districts and then step in if a school has not responded to interventions within 4 years, though states may choose to take a larger role.

**In 2013–14, most states reported having organizational structures to support school turnaround.** A recent study found that the number of states with state and regional monitoring structures to support school turnaround more than doubled between 2007–08 and 2012–13, increasing from 21 states to 46 states (Tanenbaum et al. 2015). In 2013–14, a similar number of states (45 states) reported having organizational structures in place to support school turnaround efforts (appendix exhibit E.28).<sup>39</sup> Forty states reported having state staff or a state office that had as its sole responsibility supporting and monitoring turnaround efforts in lowest-performing Title I schools. A majority of states (36 states) also reported having contracts with external consultants to support school turnaround. Regional offices and staff in 21 states augmented state efforts to support school turnaround.

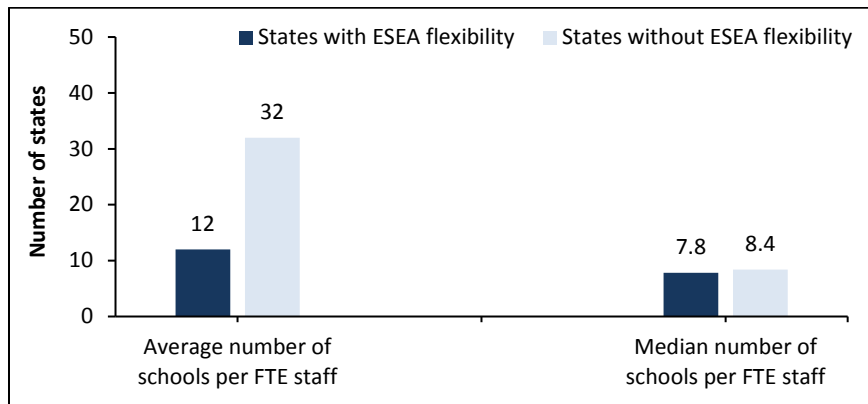
**Nearly all states reported using intensive forms of monitoring and assistance for low-performing Title I schools.** This was similar to state reports about monitoring low-performing schools in a 2012 survey (Herman et al. 2014). In 2013–14, 46 states reported using site visits, and 47 states reported analyzing student data to monitor Title I priority schools and Title I schools in corrective action and restructuring, with approximately half of states conducting these forms of monitoring quarterly or more frequently (for details, see appendix exhibit E.29). Telephone conferences were also part of state monitoring efforts in 35 states, but the frequency varied widely. Fewer than half the states reported having discussions with parents or the community and typically conducted discussions no more than twice per year. Patterns of monitoring Title I focus schools were similar to those for Title I priority schools.

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<sup>39</sup> The difference in the number of states reporting organizational structures in place to support school turnaround efforts could be attributable to differences in the types of schools referenced in the survey question. The Tanenbaum study asked about monitoring or reporting requirements specifically for SIG schools, and this study asked about monitoring or reporting requirements specifically for schools designated as priority or focus, or schools in corrective action or restructuring.

Although *median* caseloads of schools for state staff or consultants were similar in states with and without ESEA flexibility, the *average* (mean) caseload was higher in states without flexibility, reflecting much higher caseloads in a few states. With a smaller percentage of low-performing Title I schools, states with ESEA flexibility potentially could set lower monitoring caseloads than states without flexibility. In fact, in the median state, the number of schools per staff or consultant was similar—7.8 low-performing schools for each monitoring person in states with ESEA flexibility and 8.4 in states without ESEA flexibility (exhibit 4.16). The average caseloads were higher in states without flexibility, however, reflecting much higher caseloads in two of the eight states.

**Exhibit 4.16. Average (mean) and median number of low-performing schools per state staff or consultants in states with and without ESEA flexibility: 2013–14**



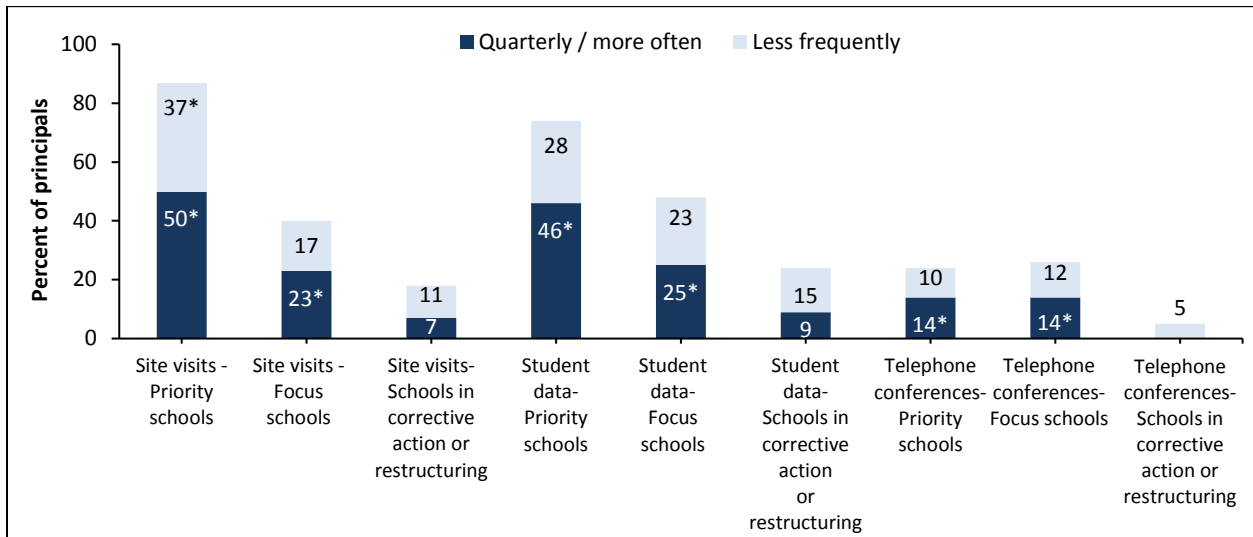
Notes: The average number of schools per full-time equivalency (FTE) staff in states with ESEA flexibility is the total number of low-performing schools across all states with ESEA flexibility divided by the total number of FTE staff or consultants that those states provided or funded to support the low-performing schools. The median is the number of schools per FTE staff in the state at the midpoint of the range from the lowest to the highest state caseload within the group of states with ESEA flexibility. The same calculations were made for states without flexibility. Low-performing Title I schools include priority and focus schools in states with ESEA flexibility and Title I schools in corrective action and restructuring in states without ESEA flexibility. Information about the number of staff or consultants is not available separately for Title I priority and focus schools or for Title I schools in corrective action and restructuring.

The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. For details, see appendix exhibit E.30.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**A majority of Title I priority school principals reported that the school’s progress was monitored by site visits and collection of student data.** Eighty-six percent of Title I priority school principals reported that they were monitored by site visits, and 75 percent said their student data were collected for monitoring purposes (exhibit 4.17). About half of Title I priority schools experienced each of these monitoring activities quarterly or more often.

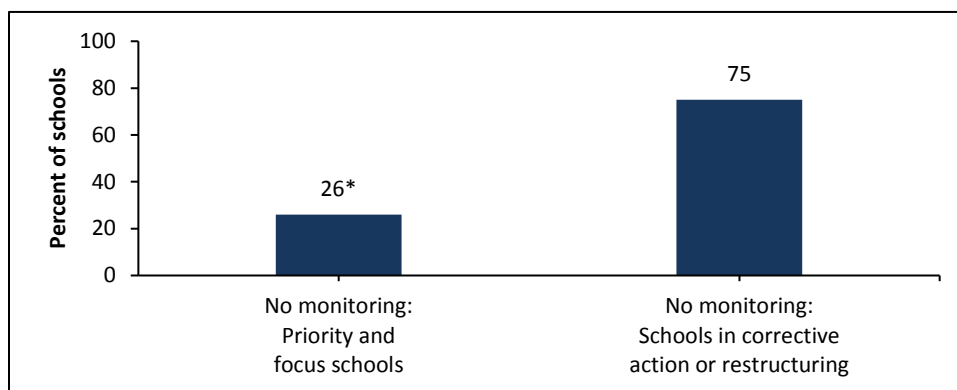
**Exhibit 4.17. Percentage of principals reporting the type and frequency of monitoring and assistance for low-performing Title I schools: 2013–14**



\* Percentage is significantly different from percentage for schools in corrective action or restructuring ( $p < .05$ ).  
 Note: “Less frequently” includes other time frames that were not clear enough to classify. Bar segments may not sum to reported totals because of rounding. For details, see appendix exhibit E.31.  
 Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Compared to the level of monitoring in priority and focus schools, monitoring was less common in Title I schools in corrective action and restructuring.** In Title I schools in corrective action and restructuring, three-quarters of principals reported no monitoring (exhibit 4.18), with collection of student data the most frequent monitoring method in the quarter of schools that were monitored. This is consistent with the earlier research finding that states in 2008 were beginning to triage their support for lowest-performing schools based on factors such as urbanicity, grade level, and whether the school was identified because of one or two low-performing subgroups or more pervasive lowest achievement (Le Floch, Boyle, & Therriault 2008b; Scott & Kober 2009).

**Exhibit 4.18. Percentage of low-performing schools reporting no monitoring by the state or district: 2013–14**



\* Percentage is significantly different from percentage for schools in corrective action or restructuring ( $p < .05$ ).  
 Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

### **C. Differentiated Support, Consequences, and Rewards Based on School Performance and Progress**

A key challenge in the design of state accountability systems is identifying an effective mix of inducements to encourage schools to continue improving student performance when they are not in the lowest-performing categories. This section discusses the categories states used and the consequences for schools that were not in the lowest-performing categories in 2013–14.

#### **1. Identifying and Supporting Schools With Low-Performing Subgroups**

Under ESEA flexibility, Title I schools with low-performing subgroups were identified as focus schools, a separate group from lowest-performing priority schools. States were required to identify 10 percent of their Title I schools as focus schools. Focus schools were required to identify the reasons for low subgroup achievement and select appropriate interventions.

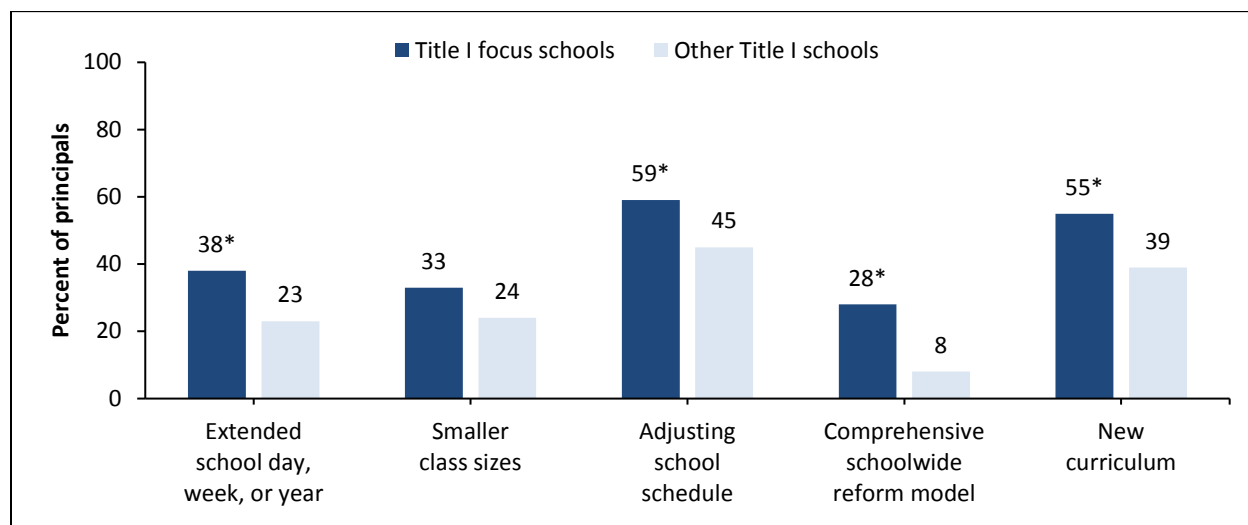
**Consistent with federal requirements, all states with ESEA flexibility identified 10 percent of their Title I schools with low subgroup achievement as focus schools.** In 2013–14, states identified 4,571 schools as Title I focus schools, comprising 10 percent of all Title I schools, both overall and within each state (appendix exhibit E.5). Nearly all of these states (41 of 43) required Title I focus schools to

develop school improvement plans (appendix exhibit E.6). A school improvement plan can describe the analysis and conclusions about the reasons for low subgroup achievement and describe the specific steps to be taken to support student learning.

Most states with flexibility reported that they provided guidance, professional development, technical assistance, and resources to districts with focus schools and to principals and teachers in focus schools. Thirty-seven states reported that they provided districts with guidance on matching interventions with both the educational needs of struggling subgroups and school capacity (appendix exhibit E.7). Many states also reported providing resources to focus schools for purposes specified in their school improvement plans (27 of 43 states; appendix exhibit E.8). Fewer states (15 of 43) reported that they provided focus schools with additional resources specifically to extend the school day or year. Five of 43 states indicated that they provided these resources to focus schools to reduce class sizes.

**A majority of principals of Title I focus schools reported implementing several activities consistent with state requirements and the level of support for these schools.** For example, nearly all principals (97 percent) reported developing school improvement plans and offering intensive intervention to struggling students during the school day (90 percent) (appendix exhibits E.9 and E.10). Over half reported adopting a new curriculum (55 percent) (exhibit 4.19). Focus school principals were more likely than principals of other Title I schools to report that their schools adopted a new curriculum, used a comprehensive schoolwide reform model, or extended the school day, week, or year.

**Exhibit 4.19. Percentage of focus schools and other Title I schools implementing instructional interventions: 2013–14**



\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Notes: Other Title I schools excludes priority schools, schools in corrective action, and schools in restructuring.

For details, see appendix exhibits E.9 and E.10.

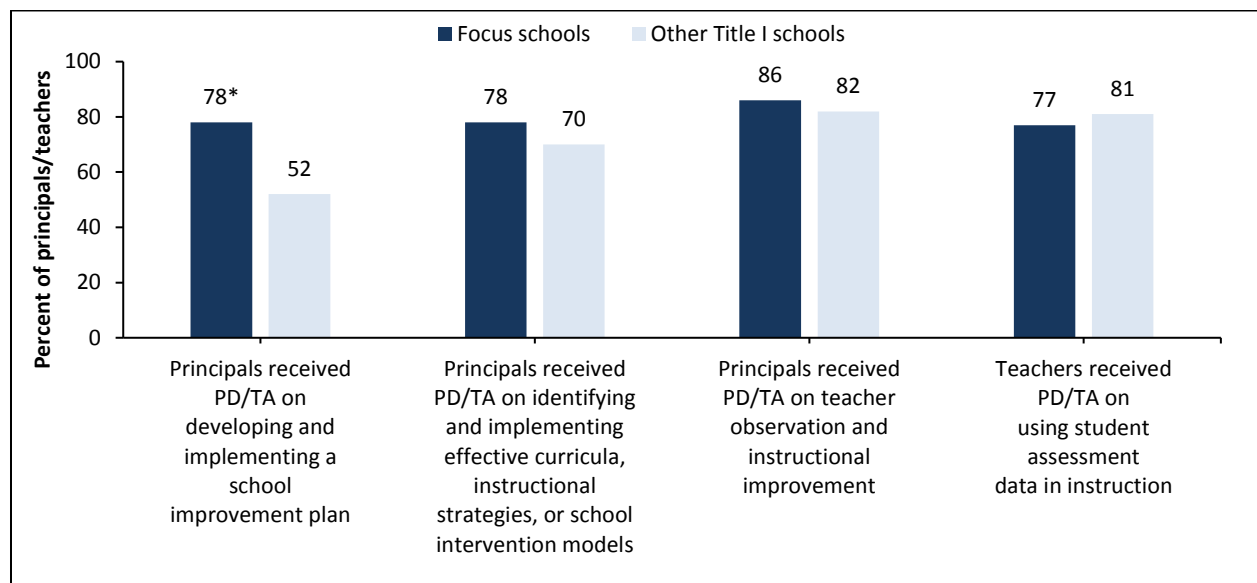
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Most focus schools did not adopt resource-intensive interventions such as extending school time, reducing class sizes, or implementing a comprehensive schoolwide reform model.** Although nearly three-fifths of principals of Title I focus schools reported adjusting the school schedule without

changing the overall number of school hours, only 38 percent reported adding time to the school day, week, or year (exhibit 4.19), consistent with reports that most states did not provide resources for extended time in focus schools. One-third of principals of Title I focus schools reported reducing class sizes, even though only five states reported funding class-size reduction in focus schools. Some schools might have achieved class-size reductions by strategically targeting classes with struggling subgroups for class-size reductions while letting other class sizes increase, or districts might have provided the additional resources for class-size reductions in focus schools. While over half of Title I focus schools adopted a new curriculum, only 28 percent implemented a comprehensive schoolwide reform model.

**There were few differences between Title I focus schools and other Title I schools in the proportions of principals and teachers receiving professional development or technical assistance on a range of topics.** Most states reported providing additional professional development or assistance to principals and teachers in Title I focus schools (appendix exhibit E.8), but across multiple topics, principals and teachers in Title I focus schools and those in other Title I schools reported receiving professional development or technical assistance at similar rates (exhibit 4.20; for details, see appendix exhibits E.11 and E.12). An exception was professional development or assistance on developing a school improvement plan, which principals in Title I focus schools reported at substantially higher levels than did principals of other Title I schools (78 percent compared with 52 percent). Principal and teacher surveys did not assess the duration or intensity of professional development.

**Exhibit 4.20. Percentage of principals and teachers reporting professional development (PD) and technical assistance (TA) on particular topics by low-performing Title I school status: 2013–14**



\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Notes: Other Title I schools excludes priority schools, schools in corrective action, and schools in restructuring.

For details, see appendix exhibits E.11 and E.12.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal and Teacher Surveys.



## 2. Consequences and Support for Schools Not Meeting AMOs

Some schools that missed AMOs nonetheless did not fall into the categories of corrective action and restructuring (under NCLB) or priority and focus (under ESEA flexibility). NCLB required states to identify schools that missed AYP for two consecutive years and specified actions for these schools to take. States receiving ESEA flexibility were required to design a system of differentiated recognition, accountability, and support based on school performance for schools not identified as reward, priority, or focus. ESSA asks states to “meaningfully differentiate” schools based on the full set of performance measures in the state’s accountability system.

Because AMOs had recently been reset in states with ESEA flexibility, a larger proportion of schools in these states would be expected to meet AMOs compared to schools in states without ESEA flexibility, which were still aiming for 100 percent proficiency by 2014. This section describes the proportion of schools meeting AMOs in 2012-13 and how states provided differentiated accountability and support for schools that missed AMOs. We describe state supports for these schools and whether they were required to develop a strategic response to this situation.

**In 2013–14, over half of all schools nationally reported that they had fallen short of at least one AMO in the preceding year.** Forty-five percent of schools reported meeting all of their AMOs in 2012–13 (exhibit 4.21). As expected, the percentage was lower in states without flexibility, where 35 percent of schools reported meeting all AMOs, versus 48 percent in states with flexibility. Title I schools, schools with high proportions of economically disadvantaged students, and schools with high proportions of English learners reported lower attainment of AMOs than did other schools.

**Exhibit 4.21. Percentage of schools in which all students and subgroups met AMOs in 2012–13, by school characteristics and state or district ESEA flexibility status: 2013–14**

Type of school	All schools	Percentage of schools in states or districts	
		With ESEA flexibility	Without ESEA flexibility
<b>All schools</b>	<b>45</b>	<b>48</b>	<b>35*</b>
<b>Schools by grade level</b>			
Elementary schools	48	51	3*
Middle schools	40	44	21*
High schools	41	39	47
Title I schools	39	42	25*
Schools with 10 percent or more English learner students	38	41	24*
Schools with 76 percent or more economically disadvantaged students	32	36	13*
<b>Number of schools</b>	<b>1,091</b>	<b>923</b>	<b>168</b>

\* Percentage is significantly different from percentage for schools in states with ESEA flexibility ( $p < .05$ ).

Notes: The category “states or districts with ESEA flexibility” includes districts in states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. The sampled California districts that were approved for flexibility in August 2013 are also included.

The exhibit includes all schools, including those in low-performing categories.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Most states required at least some Title I schools missing AMOs—even if not identified as priority or focus schools—to take action, ranging from preparing a school improvement plan to implementing an instructional program or professional development to support struggling students.** Under NCLB, Title I schools are required to take action only after missing AMOs for 2 years. Sixteen states with flexibility continued a similar practice, allowing schools to miss AMOs for multiple years before taking action or focusing on schools with more significant performance issues, as defined by the state’s school performance index (exhibit 4.22). However, 18 states receiving flexibility required all Title I schools falling short of AMOs to take action, while 6 states did not require such schools to take any action if they were not identified as focus or priority schools.

**Exhibit 4.22. State requirements for Title I schools (other than priority/focus) not meeting AMOs in 2012–13, by state ESEA flexibility status: 2013–14**

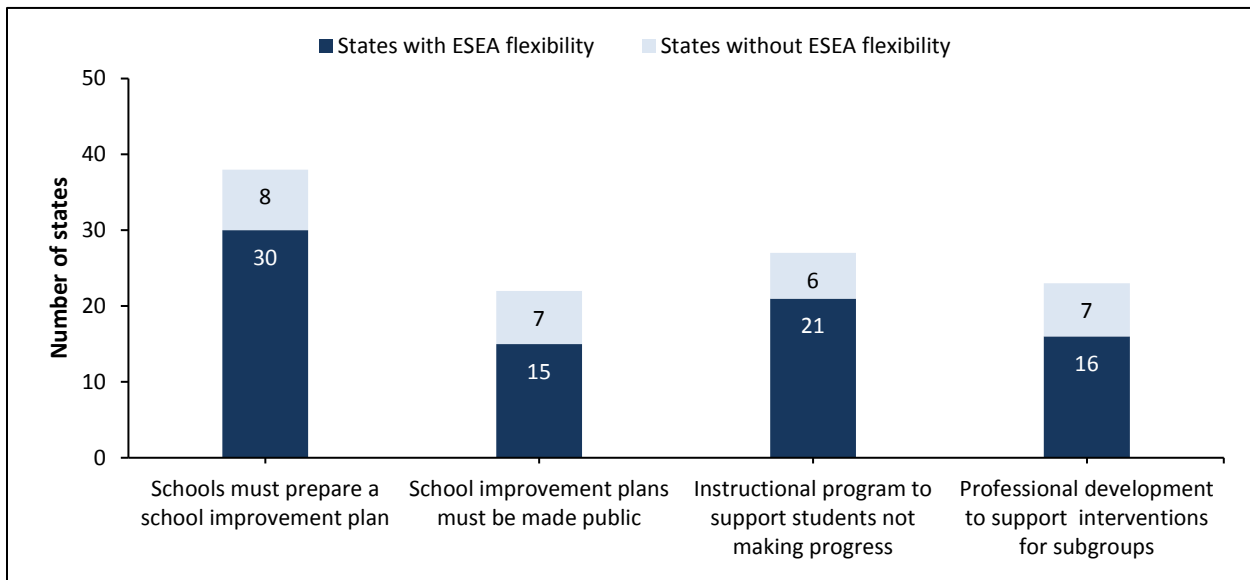
State requirements for Title I schools not meeting AMOs	All states	Number of states	
		With ESEA flexibility	Without ESEA flexibility
All Title I schools falling short of AMOs must take action	18	18	0
Some Title I schools falling short of AMOs must take action <sup>1</sup>	24	16	8
Title I schools falling short of AMOs are not required to take action	6	6	0
No response	3	3	0
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

<sup>1</sup>In four states with flexibility, Title I schools that must take action are those in low categories in the state’s accountability system. These state accountability systems may have multiple categories (other than priority and focus schools) based on school performance data, and schools in the lower categories may be required to take specified actions. In four other states with flexibility, schools that must take action are those falling short for multiple years; and in one state with flexibility, districts determine which schools need to take action. Other comments by states regarding which schools take action were not clear regarding how schools that must take action were identified.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Most states with flexibility placed few specific requirements on schools missing AMOs, in contrast to states without flexibility, which placed many obligations on such schools, as required by NCLB.** Most states (38) required some or all Title I schools missing AMOs to develop a school improvement plan focusing on subjects and subgroups that were falling short of AMOs, but 16 states that required such plans did not require that they be available to the public (exhibit 4.23). Twenty-seven states required Title I schools falling short of AMOs to implement and monitor an instructional program to support students not making sufficient progress, and 23 required professional development to support those interventions for subgroups.

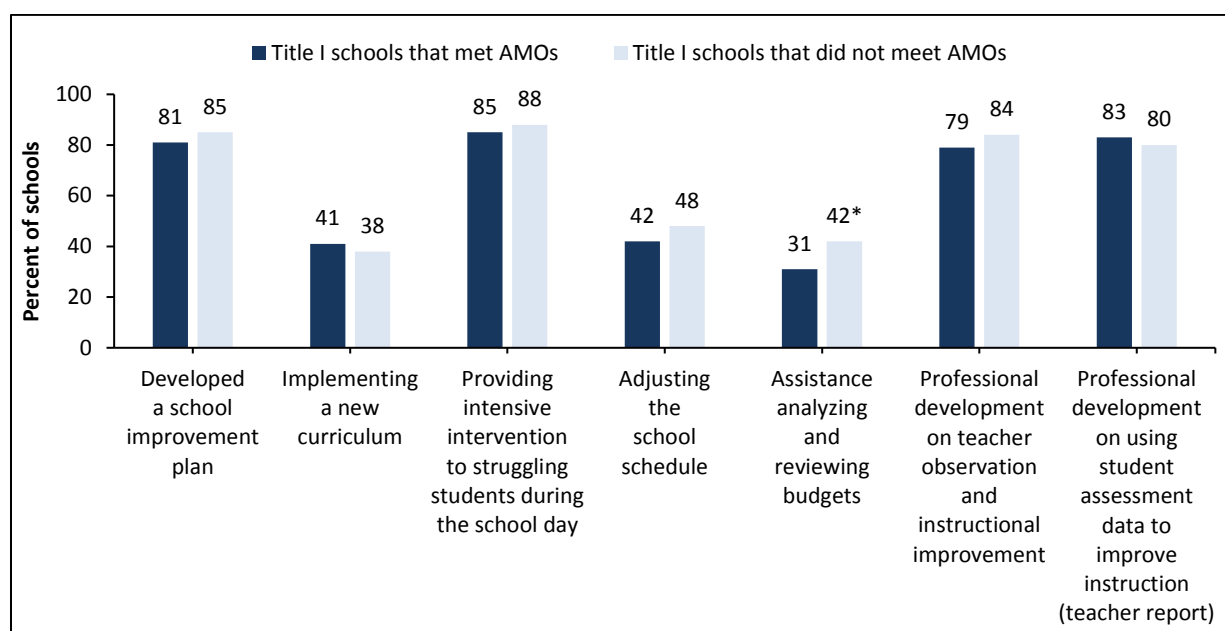
**Exhibit 4.23. State requirements for Title I schools missing AMOs that must take action, by state ESEA flexibility status: 2013–14**



Notes: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. For details, see appendix exhibits E.32 and E.33.  
 Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Among Title I schools that were not in low-performing categories, there were no systematic differences in the improvement activities reported by those that missed and met AMOs.** Similar proportions of Title I schools that met and did not meet their AMOs (and were above the low-performing school categories) reported implementing a range of interventions. The number of statistically significant differences is small and lacking in any consistent pattern, suggesting that they arose by chance (exhibit 4.24 provides data illustrating several school improvement activities, with others included in appendix exhibits E.34, E.35, E.36, E.37, and E.38). This is consistent with the earlier finding that 30 states do not require all schools missing AMOs to take action, and that only about half the states require such schools to take specific actions beyond developing a school improvement plan.

**Exhibit 4.24. School improvement and professional development activities, as reported by principals and teachers, for Title I schools that met and did not meet AMOs: 2013–14**



\* Percentage is significantly different from percentage for Title I schools that meet AMOs ( $p < .05$ ).

Notes: Title I schools in this chart exclude focus schools, priority schools, schools in corrective action, and schools in restructuring. All findings are based on principal reports except the last one in this exhibit, which is based on teacher reports. For details, see appendix exhibits E.34, E.35, E.36, E.37, and E.38.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal and Teacher Surveys.

**Approximately half the states required some non-Title I schools that missed AMOs to take action.** In 2013–14, five of the eight states without flexibility required some non-Title I schools to take action after missing AMOs for 2 years, and 21 of the 43 states with flexibility required all or some non-Title I schools missing AMOs to take action (exhibit 4.25). Notably, 11 states with flexibility did not respond to the question, suggesting that state policy in this area might not have been clear.

**Exhibit 4.25. State requirements for non-Title I schools (other than priority/focus) not meeting AMOs in 2012–13 and schools in need of improvement, by state ESEA flexibility status: 2013–14**

State requirements for Non-Title I schools not meeting AMOs	All states	Number of states	
		With ESEA flexibility	Without ESEA flexibility
All non-Title I schools falling short of AMOs must take action	13	13	0
Some non-Title I schools falling short of AMOs must take action	13	8	5
Non-Title I schools falling short of AMOs are not required to take action	14	11	3
No response	11	11	0
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

### **3. Identifying and Rewarding High-Performing Schools**

Recognizing or rewarding high-performing schools can balance accountability systems by offering an incentive for schools to strive for higher performance and identifying exemplary schools to emulate. States with ESEA flexibility were required to identify Title I reward schools, including highest-performing schools (schools that have demonstrated high achievement of all students over a number of years) and high-progress schools (schools that have demonstrated progress of all students or subgroups). ESSA is silent about identifying high-performing schools, but states could include them in the accountability systems they design.

**In 2013–14, almost all states identified highest-performing or high-progress schools.** All 43 states with flexibility and 4 states without flexibility identified highest-performing Title I schools (appendix exhibit E.39). These 47 states identified a total of 2,145 Title I schools—4 percent of their Title I schools—as highest performing in 2013–14. Thirty-seven states with flexibility and five states without flexibility identified a total of 2,316 high-progress Title I schools, which was 5 percent of all Title I schools in these states. Forty-one states identified both highest-performing and high-progress schools, and some allowed schools to earn both distinctions. Thirty-one states included non-Title I schools in their highest-performing or high-progress designations. (for details see appendix exhibit E.39.)

**Most states rewarded high-performing schools by providing public recognition; financial rewards were less common.** Forty-eight states publicly recognized high-performing Title I schools, and 41 provided opportunities for school staff and leaders to share best practices with other schools (exhibit 4.26). One-third (17 states) provided financial rewards to high-performing schools or their personnel (3 states provided both). Only five states provided more operating flexibility and autonomy to these schools.

**Exhibit 4.26. Number of states providing recognition and rewards for high-performing Title I schools: 2013–14**

<b>State recognition and rewards</b>	<b>Number of states</b>
Publicly recognize high-performing schools	48
Provide opportunities to share best practices with other schools in the state	41
Provide additional funding for schools to use for educational purposes	16
Provide financial rewards for teachers and/or principals	4
Provide additional operating flexibility or exemption from state/district requirements	5
<b>Number of states that identified high-performing schools</b>	<b>48</b>
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

## **D. Summary**

The policies in place in 2013–14, which included original NCLB policies for 8 states and ESEA flexibility policies for 43 states, are the starting point from which states will design their accountability systems under ESSA. Our findings suggest that states used ESEA flexibility to reset their long-range performance objectives for schools and to focus their resources on turning around a smaller number of schools with persistently low performance or substantial student achievement gaps. Further changes in these policies are possible under ESSA.

Many states with ESEA flexibility used their statewide reading/ELA and math assessments to develop new measures of individual student growth that may provide better information than proficiency levels do about schools’ contributions to student achievement. But the measures used to assess school performance did not extend far beyond the assessments required under NCLB and graduation rates to include a more comprehensive picture of the outcomes that schools seek to influence, so they provide little indication about how states may choose to meet ESSA’s expectation to use an additional measure of school quality or student success.

States with ESEA flexibility identified fewer lowest-performing Title I schools for intervention than states without ESEA flexibility, allowing them to focus resources and attention on these schools. Many of these schools changed their schedules to accommodate more learning time, reduced class sizes, implemented new curricula or comprehensive schoolwide reform models, and adopted other interventions. Other than replacing the principal, however, lowest-performing schools tended not to experience the most significant governance changes and changes in personnel prior to the 2013–14 school year, echoing previous findings about interventions in lowest-performing schools going back multiple years under various policy initiatives.

Despite the fact that most states with ESEA flexibility reset their AMOs, over half of all schools missed AMOs in 2012–13, reflecting the significant work that is still required in many schools to improve student achievement toward state targets, at least for some subgroups. States with flexibility identified 10 percent of their Title I schools with substantial subgroup achievement gaps as focus schools, which were required to implement targeted interventions. Under ESSA, states are required to meaningfully

differentiate all schools, and in particular, to ensure that schools in which any subgroup is consistently underperforming implement targeted interventions. As part of the design for their accountability systems, states will have to define “consistently underperforming subgroups” and determine how their new systems will respond to other schools that miss AMOs.

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## **5. Teacher and Principal Evaluation, Support, and Equity of Distribution**

Title I and Title II-A of ESEA have long reflected the core federal emphasis on improving educator quality and ensuring equitable access to high-quality educators. The "highly qualified teacher" provisions of NCLB 2002 were intended to ensure that disadvantaged students would have the same access to high-quality teachers as more advantaged students. But almost all core subject courses are now taught by "highly qualified" teachers (U.S. Department of Education 2015a), and research suggests that the factors considered in the NCLB definition of highly qualified are not related to teacher effectiveness (Croninger et al. 2007; Goldhaber & Brewer 2000; Rice 2003).

Since the 2002 reauthorization of ESEA, a growing body of research has been investigating a variety of approaches to measure teacher and principal effectiveness. These approaches have included methods of assessing classroom practice based on explicit teaching standards with multi-level rating scales, measures of teachers' contributions to student achievement, and other measures such as student survey information (Kane & Staiger 2012; Kane, McCaffrey, Miller, & Staiger 2013; Whitehurst, Chingos & Lindquist 2014).

Consistent with this emerging research, the RTT fund, TIF, and subsequently ESEA flexibility policy encouraged states and districts to adopt new principal and teacher evaluation systems. The ratings in these evaluation systems were to include at least three categories of performance based on multiple measures. At a minimum, the measures were to include student achievement growth and, for TIF and ESEA flexibility requirements, at least two observations of practice to be conducted annually. ESEA flexibility provided incentives for statewide implementation of these evaluation systems and encouraged states to use the evaluation results to examine equity of access to effective teachers. The Department also encouraged multiple-measure evaluations to (1) diagnose specific educator performance strengths and weaknesses and provide appropriate support for improvement and (2) make performance-based decisions about educator recruitment, retention, and placement.

Section A of this chapter describes the state of educator evaluation systems, beginning with whether states changed laws and regulations governing educator evaluation after 2009. The section also describes the characteristics of evaluation systems implemented by school districts, primarily focusing on evaluation systems related to teachers. In addition, Section A discusses teachers' perceptions of the fairness of evaluation systems. Section B discusses supports provided by states and districts to improve educator effectiveness, including whether districts used evaluation results to inform professional development, which has traditionally been a major use of Title II-A funds. Given ESEA's emphasis on equity, Section C describes what measures states and districts used to examine the distribution of effective educators in 2013–14 and actions taken to address any resulting inequities.

### **A. Educator Evaluation Systems**

Within the last two decades, it has become apparent that teachers vary substantially in their effectiveness (e.g., Wright, Horn, & Sanders 1997; Rowan, Correnti, & Miller 2002; Nye, Konstanopoulos,

& Hedges 2004; Hanushek & Rivkin 2010). However, evaluation systems tended to rate the overwhelming majority of teachers as “satisfactory” with only a small proportion as “unsatisfactory” (Weisberg et al. 2009). Although still evolving, the research so far (e.g., Kane & Staiger 2012; Kane et al. 2013; Whitehurst et al. 2014; Chaplin, Gill, Tompkins, & Miller 2014) has suggested that comprehensively and reliably measuring teacher effectiveness requires multiple measures of performance, including (a) measures of teachers’ impacts on student achievement growth based on statistical methods such as value-added models (VAMs) or student growth percentiles (SGPs), and (b) multiple observations of practice conducted by trained and certified observers using a professional practice rubric. New measures of teacher performance also typically distinguish at least three performance categories or levels, in contrast to the traditional dichotomy between satisfactory and unsatisfactory performance (Donaldson & Papay, 2015; Porter, Youngs, & Odden, 2001).

This section examines state evaluation systems policy after 2009 and district implementation during 2013–14. In reauthorization, ESSA included support for evaluation systems as a possible use of Title II-A funds, but there are no specific requirements related to evaluations.

### **1. State Policy and Support for Evaluation Systems**

**Since 2009, almost all states adopted new laws or regulations governing teacher evaluation, but only a few required all of the practices that might validly and reliably differentiate among teachers.** Only four states did not adopt new teacher evaluation laws or regulations, and none of the requirements examined in exhibit 5.1 were reported as requirements in these states. In 2013–14, a majority of states (39) required teacher evaluations to include at least one classroom observation conducted with a formal rubric, and most states (36) required student achievement growth to be used for evaluating some or all teachers (exhibit 5.1). States reported a number of ways to fulfill the student achievement growth requirement, including VAMs, SGPs, or student learning or growth objectives (SLOs or SGOs) determined by educators.<sup>40</sup> Most states (37) also required at least three performance categories. Only seven states, however, required all three of the characteristics that might produce valid and reliable differentiation of evaluation ratings: at least three performance categories, at least one observation conducted by a trained and certified observer, and achievement growth measures using state-of-the-art statistical methods (VAMs or SGPs).<sup>41</sup> Since 2009, most states (48) also adopted new laws or regulations for principal evaluation (appendix exhibit F.1).

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<sup>40</sup> SLOs/SGOs are achievement targets for the teacher’s or principal’s students, often set together by educators and their evaluators at the beginning of the school year based on consideration of the students’ starting achievement levels. SLOs/SGOs may use students’ scores on standardized assessments or teacher-developed tests, performance tasks, or other customized assessments of student learning.

<sup>41</sup> The state survey asked if observations are required for teacher evaluation, but not the number of required observations.

**Exhibit 5.1. Number of states requiring teacher performance evaluation practices: 2013–14**

Teacher evaluation practices required	Number of states
<b>At least one classroom observation using a professional practice rubric</b>	39
With trained observers	34
With trained and certified observers	12
<b>Use of student achievement growth for some or all teachers<sup>1</sup></b>	36
VAM/SGP based on teacher’s own students <sup>2</sup>	19
VAM/SGP based on grade/team/school <sup>3</sup>	9
At least three performance categories	37
Combination of at least one classroom observations with trained and certified observers, student achievement growth, <sup>2</sup> and at least three performance categories	11
Combination of at least one classroom observation with trained and certified observers, student achievement growth using VAMs/SGPs based on the teacher’s own students, <sup>2</sup> and at least three performance categories	7
<b>Number of states</b>	<b>51</b>

<sup>1</sup>Student achievement growth includes growth based on the teacher’s own students and/or teamwide, gradewide, or schoolwide growth. This can include VAMs, SGPs, SLOs, or SGOs.

<sup>2</sup>This category includes VAM/SGP requirements for teachers in grades K–3 or reading/ELA or math teachers in grades 4–8 or high school.

<sup>3</sup>This category includes VAM/SGP requirements for teachers in grades K–3 or reading/ELA or math teachers in grades 4–8.

Notes: Since 2009, only four states had not adopted new teacher evaluation laws or regulations.

The state survey asked if observations are required for teacher evaluation, but not the number of required observations.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**In 2013–14, most states allowed their districts substantial latitude in designing educator evaluation systems.** A majority of states (39) did not require districts to adopt a prescribed uniform teacher evaluation model (exhibit 5.2). Specifically, 19 states allowed districts to select models that complied with state statutes and rules rather than specifying the model. Another 15 states provided an optional state exemplar model, but did not require its use. Five other states required the state model as the minimum requirement for districts. Only 12 states required districts to adopt a prescribed uniform teacher evaluation model. State guidance to districts about principal evaluation systems followed a similar pattern (appendix exhibit F.2). Most states typically did not require districts to submit plans or reports about their teacher or principal evaluation practices (appendix exhibit F.3).

**Exhibit 5.2. Number of states by type of guidance to districts for teacher evaluation systems: 2013–14**

<b>State guidance</b>	<b>Number of states</b>
Districts are required to use a uniform evaluation model prescribed by the state	12
Districts are required to adopt the state evaluation model if they cannot meet or surpass state expectations (i.e., state default model)	5
Districts are permitted to select their own teacher evaluation models so long as they comply with state statutes and rules	19
Districts may adopt state model but are not required to do so (i.e., exemplar model)	15
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Many states adopting new evaluation system requirements provided materials, training, and information to support districts with implementation of their new evaluation systems.** For example, 40 of the 47 states adopting new teacher evaluation requirements reported providing or funding training for observers on teacher professional practice rubrics (exhibit 5.3). Thirty-two states provided data on student achievement growth measures. Some states provided support with the infrastructure needed to analyze and keep track of the data. For example, 29 states provided data systems or information technology tools to help evaluators record evaluation ratings. States (41) also helped with materials to explain the new evaluation systems to staff and the public.

**Exhibit 5.3. Number of states reporting supports to districts implementing or conducting new evaluation systems, by status of state adoption of a new system as of 2009: 2013–14**

	Number of states that	
	Adopted new laws or regulations	Did not adopt new laws or regulations
<b>State supports</b>		
<b>System component supports</b>		
Provided or funded training for observers on teacher professional practice rubrics <sup>1</sup>	40	2
Provided or funded training for observers on principal professional practice rubrics <sup>2</sup>	34	1
Provided data on value added measures (VAMs) or student growth percentiles (SGPs) for schools and/or teachers <sup>3</sup>	32	1
Produced the final summative evaluation ratings for teachers and principals in each district based on information submitted by district staff <sup>3</sup>	9	0
<b>System infrastructure</b>		
Provided data systems or information technology tools to help evaluators record evaluation ratings <sup>3</sup>	29	1
Helped districts purchase or develop data systems to record and analyze data from teacher and principal evaluations to create performance ratings <sup>3</sup>	18	0
<b>System design/communication</b>		
Provided or helped develop communication materials to help explain major components of the new evaluation system to staff and the public <sup>3</sup>	41	0
Provide materials, training, or assistance to district administrators and school leaders on communicating evaluation results to principals and teachers <sup>3</sup>	37	1
Helped districts negotiate the elements of new educator evaluation systems with administrators' or teachers' associations <sup>3</sup>	20	0
<b>Number of states</b>	<b>46-48</b>	<b>3-5</b>

<sup>1</sup> For this row, the column “states adopting new laws or regulations” is limited to the 47 states that adopted new laws or regulations for their teacher evaluation system.

<sup>2</sup> For this row, the column “states adopting new laws or regulations” is limited to the 48 states that adopted new laws or regulations for their principal evaluation system.

<sup>3</sup> For this row, the column “states adopting new laws or regulations” is limited to the 46 states that adopted new laws or regulations for their teacher and principal evaluation system.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

## **2. District Implementation**

Regardless of how much discretion is granted by each state, evaluations are conducted locally, so district implementation is a critical issue. Of further interest is whether the evaluation system measures were implemented in a way that was likely to be valid and reliable. For example, emerging research has highlighted the importance of using multiple observations across a school year to validly represent the quality of teaching (Kane et al. 2013; Whitehurst et al. 2014). Training and certifying observers on a systematic observation rubric can increase reliability by improving observers' understanding of the rubric and helping them develop a common frame of reference for interpreting what they observe (Joe et al. 2013; Wohr & Huffcutt 1994). An achievement growth measure that adjusts for the type of students in a teacher's classroom (e.g., VAM or SGP) increases validity by reducing bias against teachers who teach in more disadvantaged schools (McCaffrey 2012; Meyer 1997). This section describes the characteristics of districts' evaluation systems, their implementation status, and the distribution of teacher evaluation ratings across performance categories reported by districts.

### ***a. Evaluation System Characteristics***

**While some elements of evaluation systems were present in nearly all districts, districts varied in the use of evaluation practices consistent with valid and reliable differentiation of teacher performance.** Ninety-two percent of districts conducted at least one classroom observations using a professional practice rubric (exhibit 5.4). However, only 29 percent of districts conducted at least two classroom observations using trained and certified observers. Half of districts used some form of student achievement growth for the evaluation of all or some of their teachers, but only 37 percent used a VAM or SGP calculation based on the teachers' own students.

Most districts (95 percent) used three or more performance categories to rate teacher performance (exhibit 5.4), with four being the most common number of rating categories (appendix exhibit F.4). Typically, the four levels from lowest to highest included (1) unsatisfactory or ineffective performance, (2) in need of improvement or not quite proficient, (3) effective or fully satisfactory, and (4) highly effective, outstanding, or distinguished. Non-probationary (or tenured) teachers who were rated effective or higher were observed two or more times during an evaluation cycle, and most districts evaluated teachers every year, every 2 years or every 3 years (appendix exhibit F.5)

Examining the combination of multiple practices designed to produce reliable and valid differentiation of ratings shows that 18 percent of districts reported using at least two classroom observations by trained and certified observers, student achievement growth such as VAM or SGP, and at least three performance categories (exhibit 5.4).

Districts in states requiring the uniform evaluation model were more likely than districts in states with an optional state exemplar model to use the combination of evaluation practices consistent with current research (appendix exhibit F.6).

**Exhibit 5.4. Percentage of districts using teacher performance evaluation practices: 2013–14**

Evaluation practice used	Percent of districts
<b>Classroom observation(s) using professional practice rubric</b>	92
<b>Used at least two classroom observations</b>	50
With trained observers	41
With trained and certified observers	29
<b>Student achievement growth for some or all teachers<sup>1</sup></b>	50
VAM/SGP based on teacher’s own students <sup>2</sup>	37
At least three performance categories	95
Combination of multiple observations with trained and certified observers, achievement growth, and at least three performance categories	20
Combination of multiple observations with trained and certified observers, achievement growth using VAMs/SGPs based on teacher’s own students, <sup>2</sup> and at least three performance categories	18
<b>Number of districts</b>	<b>560</b>

<sup>1</sup>Student achievement growth includes growth for the teacher’s own students and/or teamwide, gradewide, or schoolwide growth. This can include VAMs, SGPs, SLOs, or SGOs.

<sup>2</sup>This category includes VAM/SGP requirements for teachers in grades K–3 or reading/ELA or math teachers in grades 4–8 or high school.

Note: Classroom observation data were limited to non-probationary/tenured teachers whose previous performance was rated effective, satisfactory, proficient, or better.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

***b. Implementation Status***

**In 2013–14, about one-third of districts were fully implementing some type of new teacher evaluation system that had been established since 2009.** Overall, 32 percent of districts reported fully implementing a new teacher evaluation system (exhibit 5.5). Full implementation means that all components of the new system were being used for all teachers districtwide. An additional 27 percent of districts were piloting or partially implementing a new system. District implementation of new evaluation systems was far more prevalent in states that had adopted new laws or regulations for teacher evaluation. For example, 39 percent of districts were fully implementing a new system in states that adopted new laws/regulations compared to 3 percent in states that had not. Implementation status also varied somewhat by district size, with smaller districts less likely than medium-sized districts to fully implement a new teacher evaluation system (while large districts implemented at rates similar to those of medium-sized districts, but not statistically distinguishable from those of small districts) (appendix exhibit F.7).<sup>42</sup>

<sup>42</sup> Districts also were asked to report on the percentage of teachers rated in the highest and lowest performance categories. The average percentage of teachers rated in these categories is shown, by district implementation status, in appendix exhibit F.8. Note that 45 percent of districts indicated that they were unable to estimate these percentages.

**Exhibit 5.5. Percentage of districts implementing a new teacher evaluation system, by state adoption of new teacher evaluation laws or regulations established since 2009: 2013–14**

Implementation status	Percent of districts in states that		
	All districts	Adopted new laws or regulations	Did not adopt new laws or regulations
Fully implementing	32	39	3*
Piloting or partially implementing	27	33	1*
Not piloting or implementing	41	28	96*
<b>Number of districts</b>	<b>560</b>	<b>435</b>	<b>125</b>

\* Percentage is significantly different from percentage for districts in states that adopted new laws or regulations ( $p < .05$ ). Note: The category “Not piloting or implementing” includes districts that were planning new systems but no components were being implemented. Fully implementing means that all components of the new system were being used for all teachers districtwide.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

### **3. Educator Perceptions of Evaluation Systems**

Teacher buy-in for evaluation systems is important. Research suggests that evaluator credibility (Albright & Levy 1995; Bannister 1986) and an understanding of the evaluation process (Kavanaugh, Benson, & Brown 2007; Williams & Levy 2000) are important factors that influence teachers’ attitudes toward their evaluations. Some educators have expressed concerns about the fairness of using student assessment results in evaluations (Beers 2014; National Education Association 2010; Sawchuk 2014; State Collaborative on Reforming Education 2012). Others also have expressed concerns that the use of performance measures based on the achievement growth of individual teacher’s students could reduce teacher cooperation (Baker et al. 2010; Collins & Amrein-Beardsley 2014).

In this section, we describe teachers’ perceptions and attitudes about the measures and characteristics of their evaluation systems.<sup>43</sup> Teachers were asked questions based on whether they were evaluated in 2012–13 or 2013–14 and were formally observed at least once. Ninety-seven percent of teachers were observed at least once during these years. When examining teacher evaluations and the use of student achievement growth, we use a broad definition of student achievement growth to include VAMs, SGPs, SLOs, SGOs, or other measures of change in student achievement over time. Teachers were also asked questions based on the use of student achievement growth in their evaluation. Sixty-one percent of teachers reported the use of student achievement in their evaluation.

<sup>43</sup> The study relies on the district implementation status for the teacher and principal evaluation systems. If a district that is partially implementing a new teacher evaluation system, the schools involved in the partial implementation are not known. Thus, the implementation status of an individual school cannot be determined for teachers or principals.



**a. Perceptions of Feedback Based on Using a Teacher Professional Practice Rubric in Teacher Evaluations**

**The vast majority of teachers viewed the observation component of their performance evaluation favorably in 2013–14.** Ninety-seven percent of evaluated teachers received at least one formal observation to assess their performance during the school year and 76 percent of these teachers received more than one formal observation during the school year. Generally, teachers somewhat or strongly agreed that the observer was well qualified (89 percent) and that the feedback was a fair assessment of their teaching (87 percent) (exhibit 5.6). In addition, they reported having a clear sense of what kinds of things the observers were looking for when they observed their teaching (88 percent). To a lesser extent, teachers reported receiving specific ideas of how they could improve instruction or what they needed to do to get their desired performance rating (73 and 74 percent, respectively) (exhibit 5.6 and appendix exhibit F.9).

**Exhibit 5.6. Percentage of evaluated teachers who somewhat/strongly agreed with statements about their formal observation: 2013–14**

<b>Teacher perceptions</b>	<b>Percent of teachers somewhat/strongly agreeing</b>
I had a clear sense of what kinds of things the observers were looking for when they observed my teaching	88
The people who observed my teaching are well qualified to evaluate it	89
The feedback was a fair assessment of my teaching	87
The feedback provided specific ideas about how I could improve my instruction	73
<b>Number of teachers</b>	<b>5,429</b>

Notes: Exhibit is limited to teachers who were evaluated in 2012–13 or 2013–14 and were formally observed at least once. Ninety-seven percent of teachers were observed at least one during these years.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Teachers’ reports of fairness were related to a favorable assessment of observer qualifications and of their understanding of the evaluation system.** Among teachers who reported somewhat or strongly agreeing that their observers were well qualified, 92 percent thought the feedback based on the observations was a fair assessment of their teaching. In comparison, when teachers somewhat or strongly disagreed that their observers were well qualified, only 50 percent thought the feedback based on the observations was a fair assessment of their teaching (exhibit 5.7).

Teachers’ assessment of their understanding of the system also was associated with differing impressions of the fairness of their feedback. Specifically, 92 percent somewhat/strongly agreed that their feedback was a fair assessment of their teaching when they agreed that they had a good understanding of the overall evaluation system (exhibit 5.7). When they disagreed that they had a good understanding of the evaluation system, a statistically lower 71 percent somewhat/strongly agreed that the feedback was fair.

**Exhibit 5.7. Percentage of evaluated teachers who somewhat/strongly agreed that their formal evaluation feedback was a fair assessment of their teaching, by teachers’ perceptions of observer qualifications, their understanding of the evaluation system, and number of observations conducted: 2013–14**

Teacher perceptions and number of observations conducted	Percent of teachers somewhat/strongly agreeing that feedback was fair
<b>Teacher perceptions</b>	
<b>Observer qualifications</b>	
Somewhat/strongly <u>agreed</u> well-qualified	92*
Somewhat/strongly <u>disagreed</u> well-qualified	50
<b>Understanding of evaluation system</b>	
Somewhat/strongly <u>agreed</u> good understanding	92*
Somewhat/strongly <u>disagreed</u> good understanding	71
<b>Number of observations by a trained and certified observer</b>	
More than one observation per year	87
One observation per year	85
<b>Number of teachers</b>	<b>5,407</b>

\*Percentage is significantly different from its complementary category ( $p < .05$ ).  
 Notes: Exhibit is limited to teachers who were evaluated in 2012–13 or 2013–14 and were formally observed at least once. Ninety-seven percent of teachers were observed at least once during these years.  
 Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher and District Surveys.

**b. Perceptions of Student Achievement Growth in Teacher Evaluations**

More than half of teachers evaluated using student achievement growth agreed that it was a fair and beneficial measure. Among the 61 percent of teachers whose evaluations included student achievement growth, 59 percent somewhat/strongly agreed that growth was a fair way to assess their contribution to student achievement (exhibit 5.8). A similar percentage (56 percent) somewhat/strongly agreed that, in the long run, students would benefit from including student achievement growth in teacher evaluations.

**Exhibit 5.8. Percentage of teachers evaluated using student achievement growth measures who somewhat/strongly agreed with statements about their evaluation: 2013–14**

<b>Teacher perceptions</b>	<b>Percent of teachers somewhat/strongly agreeing</b>
Student achievement growth for my students is a fair way to assess my contribution to student achievement	59
In the long run, students will benefit from including measures of student achievement growth in the evaluation of teachers	56
<b>Number of teachers</b>	<b>3,400</b>

Notes: Exhibit is limited to teachers who were evaluated in 2012–13 or 2013–14 and whose evaluations included a measure of student achievement growth.

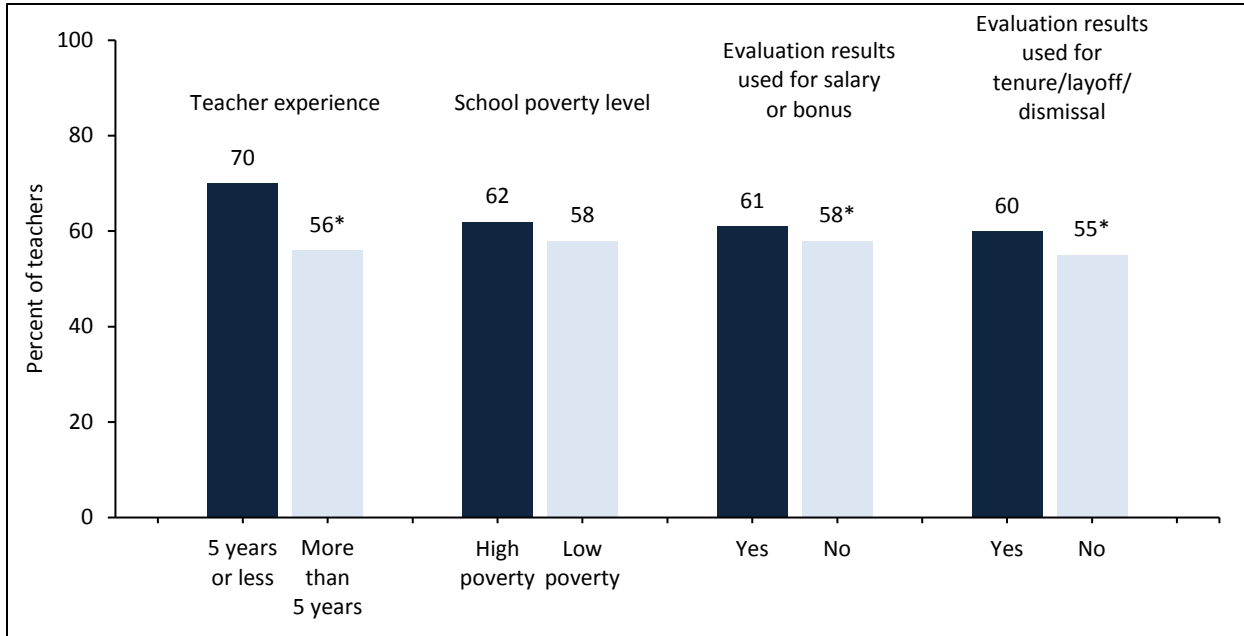
Sixty-one percent of teachers reported the use of student achievement growth in their evaluation.

For teachers, student achievement growth may be measured using VAMs, SGPs, SLOs, SGOs, or other measures of change in student achievement over time.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

Those with less teaching experience had the most favorable attitudes towards teacher evaluations that included a student achievement growth measure (exhibits 5.9 and 5.10). Surprisingly, teachers for whom evaluation results were used for high-stakes decisions such as bonus awards or tenure were more likely than other teachers to somewhat/strongly agree that evaluations that included student achievement growth were both fair and beneficial.

**Exhibit 5.9. Percentage of teachers evaluated using student achievement growth who somewhat/strongly agreed that growth is a fair way to assess their contribution to student achievement, by various teacher characteristics: 2013–14**



\* Percentage is significantly different from its complementary category ( $p < .05$ ).

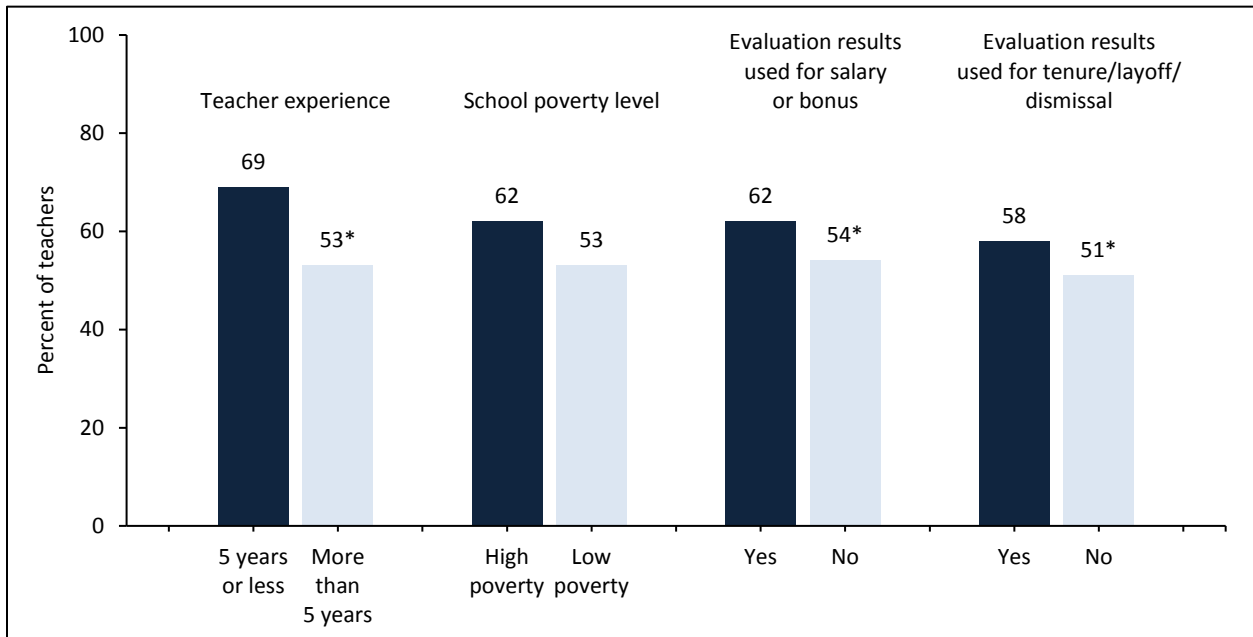
Notes: Exhibit is limited to teachers who were evaluated in 2012–13 or 2013–14 and whose evaluation included student achievement growth.

Sixty-one percent of teachers reported the use of student achievement growth in their evaluation.

Teachers in schools that were not high poverty (76 percent or more students eligible for free or reduced-price lunch) or low poverty (25 percent or fewer students eligible for free or reduced-price lunch) were excluded from the poverty comparison. For teachers, student achievement growth may be measured using VAMs, SGPs, SLOs, SGOs, or other measures of change in student achievement over time.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit 5.10. Percentage of teachers evaluated using student achievement growth who somewhat/strongly agreed that, in the long run, students will benefit by including this growth in teacher evaluations, by various teacher characteristics: 2013–14**



\* Percentage is significantly different from its complementary category ( $p < .05$ ).

Notes: Exhibit is limited to teachers who were evaluated in 2012–13 or 2013–14 and whose evaluation included student achievement growth.

Sixty-one percent of teachers reported the use of student achievement growth in their evaluation.

Teachers in schools that were not high poverty (76 percent or more students eligible for free or reduced-price lunch) or low poverty (25 percent or fewer students eligible for free or reduced-price lunch) were excluded from the poverty comparison. For teachers, student achievement growth may be measured using VAMs, SGPs, SLOs, SGOs, or other measures of change in student achievement over time.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Teacher perceptions of cooperation among colleagues did not differ by whether the evaluation included achievement growth of their own students.** Seventy-two percent of evaluated teachers somewhat/strongly agreed that teacher performance evaluation methods in their own schools encourage teachers to cooperate rather than compete (exhibit 5.11). This percentage was the same, whether or not the teacher’s evaluation included a measure of student achievement growth based on his/her own students.

**Exhibit 5.11. Percentage of evaluated teachers who somewhat/strongly agree that the method of teacher evaluation encourages cooperation rather than competition, by whether their evaluation included student achievement growth based on own students: 2013–14**

Statement about evaluation	All teachers	Percent of teachers whose evaluation	
		Included achievement growth based on individual teacher's own students <sup>1</sup>	Did not include achievement growth based on individual teacher's own students
The school's method of teacher performance evaluation encourages teachers to cooperate rather than compete	72	72	72
<b>Number of teachers</b>	<b>5,576</b>	<b>3,301</b>	<b>2,275</b>

<sup>1</sup> Includes growth based on VAMs/SGPs for the teachers' own students or based on SLOs/SGOs.

Notes: Exhibit is limited to teachers who were evaluated in 2012–13 or 2013–14 and whose evaluation included student achievement growth.

Sixty-one percent of teachers reported the use of student achievement growth in their evaluation.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

Principals' perceptions of their evaluations were similar to those of teachers in many respects. Of the 59 percent of principals with student achievement growth (VAMs or SGPs) as a component of their evaluation, 76 percent somewhat/strongly agreed that their evaluation was a fair measure of their performance (appendix exhibit F.10). Seventy-nine percent somewhat/strongly agreed that in the long run students would benefit from including this growth in the evaluations of principals. These perceptions did not vary significantly by years of the principal's experience. Most principals agreed that their performance evaluation covered all aspects of their performance, and this did not vary by whether their evaluation included student achievement growth (appendix exhibit F.11).

## **B. Supports Provided by States and Districts to Improve Educator Effectiveness**

The State Teacher Quality grants (Title II-A) under the ESEA have been the primary source of federal funds provided to states and districts to improve educator effectiveness since the program's creation as part of NCLB. Traditionally, professional development activities and class size reduction have been the largest uses of Title II-A funds (U.S. Department of Education July 2015b). However, a growing body of research has called into question, the effectiveness of professional development as it is typically provided—that is, in group settings outside the classroom context (Gersten et al. 2014).

This section describes the use of Title II-A funds by districts during the 2013–14 school year, including supports for new evaluation systems. Given that states and districts were encouraged during this time period to make changes to educator performance evaluations, this section largely focuses on whether evaluation results were used to plan or provide professional development activities or assess teacher preparation programs. Reauthorization of ESEA occurred subsequent to this data collection with allowable uses of Title II-A funds remaining largely unchanged. Although ESSA does not contain any

requirements related to teacher evaluation systems, they are explicitly included as a new allowable use of Title II-A funds.<sup>44</sup>

### **1. Use of Title II-A Funds to Improve Educator Effectiveness**

**Professional development to support instruction was the most common reported use of Title II-A funds.** In 2013–14, the majority of districts reported using Title II-A funds to provide educators with professional development on state content standards and how to analyze student assessment data to improve instruction (exhibit 5.12, 75 and 62 percent of districts, respectively). Districts fully implementing new evaluation systems were more likely to use such funds for training educators to use assessment data to improve instruction.

**Some districts used Title II-A funds to support teacher understanding of the evaluation system and resulting feedback and to target professional development linked to teacher’s evaluation results.** As might be expected, districts implementing new evaluation systems were more likely than districts not adopting new systems to use Title II-A funds to support such efforts. For example, 38 percent of districts fully implementing new systems compared to 17 percent not piloting or implementing new systems reported using Title II-A funds for professional development activities for teachers to understand their evaluation system and resulting feedback (exhibit 5.12).

**Districts fully implementing new evaluation systems, compared to those not implementing, were more likely to report using Title II-A funds to support training evaluators or observers to conduct teacher evaluations.** Forty percent of districts fully implementing new systems used Title II-A funds to train school administrators to evaluate teachers versus 22 percent of those not implementing (exhibit 5.12). Teachers reported on average participating in 10–11 hours of professional development focused on their teacher evaluation system, but these reports did not vary by whether or not the district was implementing a new evaluation system (appendix exhibit F.13).<sup>45</sup>

**Fewer districts overall used Title II-A funds for compensation or recruitment activities intended to improve teacher quality.** Only 26 percent of districts used Title II-A funds for additional compensation for teachers taking on additional professional development duties, and only 5 percent for providing financial rewards or incentives for high-performing teachers (exhibit 5.12). Districts piloting, partially implementing, or fully implementing new evaluation systems were more likely than others to use these funds for recruitment and retention.

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<sup>44</sup> Teacher residency programs are the only other newly named allowable use of Title II-A funds in ESSA.

<sup>45</sup> For context, the average required number of in-service days for teachers was about 7 days (appendix exhibit F.12).

**Exhibit 5.12. Percentage of districts reporting the use of Title II, Part A funds on teacher activities, by district implementation status of evaluation system: 2013–14**

Fund use	Percent of districts			
	All districts	Not piloting or implementing	Piloting or partially implementing	Fully implementing
<b>Professional development to support instruction to</b>				
Implement the state content standards for reading/ELA or math	75	71	73	81
Analyze student assessment data to improve instruction	62	51	65	74*
<b>Professional development to support using teacher evaluation results to</b>				
Understand teacher evaluation systems and resulting feedback	32	17	46*	38*
Link to teachers' evaluation results (e.g., performance improvement plans for low-performing teachers)	32	21	41*	37*
<b>Training to support implementation of teacher evaluation systems for</b>				
School administrators to evaluate teachers	32	22	38*	40*
Peers, mentors, or other teachers to conduct classroom observations or review artifacts used in evaluating teachers	22	16	28*	26
Survey administration of students or parents on teacher performance	12	11	14	11
<b>Other activities</b>				
Provide additional compensation to mentor teachers, master teachers, coaches, peer evaluators, or others who take on additional duties involving professional development of their peers	26	15	35*	33*
Help schools with strategies to recruit and retain effective teachers (e.g., scholarships, loan repayment assistance, or tuition reimbursement)	14	6	22*	16*
Use external providers to prepare, recruit, or supply more effective teachers to high-need schools	7	3	10*	10*
Provide financial rewards or incentives for high-performing teachers	5	4	4	6
<b>Number of districts</b>	<b>542</b>	<b>174</b>	<b>161</b>	<b>207</b>

\* Percentage is significantly different from percentage for districts not piloting or implementing a new evaluation system ( $p < .05$ ).

Notes: The category “Not piloting or implementing” includes districts that were planning their new systems but not yet piloting or implementing the system. Fully implementing means that all components of the new system were being used for all teachers districtwide.

Exhibit is limited to the 94 percent of districts that received Title II, Part A funding during the 2013–14 school year.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.



## **2. *Using Evaluation Results to Improve Teacher Effectiveness***

One potential reason for implementing new teacher evaluations is to improve the quality of the performance measures and their usefulness. If the new measures are more reliable and valid, then they have the potential to guide professional development activities to improve teacher effectiveness.

This section looks at district use of teacher evaluation results. One question is whether districts with new evaluation systems are more likely to use evaluation results to inform professional development activities as well as other personnel actions. Another question is whether districts use teacher evaluation results to assess the quality of teacher preparation programs. Two recent reports (Feuer et al. 2013; Worrell et al. 2014) suggested using teacher performance measures of recent graduates to assess the quality of educator preparation programs. States such as Louisiana, North Carolina, Tennessee, and Texas have experimented with using VAMs to assess the quality of teacher preparation programs by ranking them on the estimated productivity of their graduates (Coggshall et al. 2012).

### ***a. Linking Evaluation Results to Professional Development and Personnel Actions***

**In 2013–14, nearly all districts reported using teacher evaluation results to inform professional development.** Seventy-five to 91 percent of districts reported using evaluation results to inform professional development depending on the specific activity (exhibit 5.13). Thirty-one states required districts to use evaluation results to inform some aspect of their professional development decisions with developing performance improvement plans for low-performing teachers as the most common aspect (appendix exhibit F.14).

**Many districts reported using teacher evaluation results to inform professional development decisions, decisions related to rewards for effective teachers, and for tenure loss/termination/layoff decisions for low-performing teachers.** For example, 78 percent of districts reported using evaluation results to determine any type of professional reward, such as recognition, bonus or salary increase, tenure, opportunity for career advancement, or transfer opportunity (exhibit 5.13). The most common professional reward was recognition of high-performing teachers, used in 56 percent of districts. Eighty percent of districts reported using teacher evaluation results to inform any tenure loss/termination/layoff decision for low-performing teachers. The most common uses of evaluation results required by states in these areas were granting tenure or similar job protection (required by 18 states), and for low-performing teachers, loss of tenure or similar job protection (required by 16 states), and dismissal or terminating employment for cause (required by 15 states) (appendix exhibit F.14).

**Districts were more likely to report using evaluation results for professional development or personnel decisions if they were fully implementing a new system than if they were not.** For example, 97 percent of districts fully implementing reported using evaluation results to design professional development programs, versus 82 percent of districts not implementing (exhibit 5.13). Within the high-performing teachers category, districts that were fully implementing a new teacher evaluation system were more likely to report using evaluation results to recognize high-performing teachers (64 percent compared to 45 percent) and for career advancement opportunities (49 percent versus 31 percent) than

districts not implementing a new system. Within the low-performing teachers' category, districts fully implementing new evaluation systems were more likely than those not implementing to use evaluation results in loss of tenure or similar job protection decisions (57 percent versus 29 percent) or sequencing potential layoffs if the district needed to reduce staff (52 percent versus 29 percent).

**Exhibit 5.13. Percentage of districts using teacher evaluation results for various teacher personnel decisions, by district implementation status of a new evaluation system: 2013–14**

Personnel decision	Percent of districts			
	All districts	Not piloting or implementing	Piloting or partially implementing	Fully implementing
<b>For professional development</b>				
<b>Any professional development decisions</b>	96	92	98	100*
Design of professional development programs offered by district	90	82	94*	97*
Planning professional development for individual teachers	91	87	95*	93
Development of performance improvement plans for low-performing teachers	86	78	92*	89
Setting goals for student achievement growth for the next school year	75	63	81*	85*
Identifying low-performing teachers for coaching, mentoring, or peer assistance	84	77	92*	87
<b>For high-performing teachers</b>				
<b>Any professional rewards</b>	78	69	84*	86*
Recognizing high-performing teachers	56	45	63*	64*
Determining salary increases or other performance-based compensation	14	9	8	24†
Granting tenure or similar job protection <sup>1</sup>	46	38	47	54
Career advancement opportunities, such as teacher leadership roles	39	31	38	49*
Determining eligibility to transfer to other schools	13	11	17	13
<b>For low-performing teachers</b>				
<b>Any tenure loss/termination/layoff<sup>1</sup></b>	80	72	83	87
Loss of tenure or similar job protection <sup>1</sup>	43	29	43	57*
Sequencing potential layoffs if the district needs to reduce staff	42	29	49*	52*
Dismissal or terminating employment for cause	77	70	77	84
<b>Number of districts</b>	<b>559</b>	<b>181</b>	<b>165</b>	<b>213</b>

\* Percentage is significantly different from percentage for districts not piloting or implementing ( $p < .05$ ).

† Percentage is significantly different from percentage for districts piloting or partially implementing ( $p < .05$ ).

<sup>1</sup>Percentages for items related to granting or loss of tenure are limited to those districts where tenure is offered in the district.

Note: The category “Not piloting or implementing” includes districts that were planning new systems, but no components were implemented. Fully implementing means that all components of the new system were being used for all teachers districtwide.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

**Most teachers reported that evaluation results were used for various professional development purposes.** Eighty-six percent reported that evaluation results were used for feedback, and 71 percent reported that evaluation results were used for planning professional development (exhibit 5.14). When performance deficits are revealed by evaluation results, two common remediation strategies are (1) providing coaching, mentoring, or peer assistance and (2) developing a detailed plan for improving performance. Fifty-five percent of teachers reported evaluation results were used for each of these purposes.

Teachers in high-poverty schools were more likely than teachers in low-poverty schools to report that evaluation results were used to plan professional development; to determine whether teachers should receive coaching, mentoring, or peer assistance; and to develop a performance improvement plan (exhibit 5.14). Schools with highly disadvantaged student populations often have lower achievement levels than other schools (Reardon 2016 and exhibit 4.21 of this report), and thus may be under more pressure to improve teacher performance. The uses of evaluation results in exhibit 5.14 may be strategies to do so.

**Exhibit 5.14. Percentage of teachers reporting use of evaluation results to inform professional development, by school poverty status: 2013–14**

Use of evaluation results	Percentage of teachers in			
	All teachers	High-poverty schools	Medium-poverty schools	Low-poverty schools
For providing feedback on their professional practice	86	87	86	86
For planning the teacher's professional development	71	74	71	68*
For determining whether teacher should receive coaching, mentoring, or peer assistance	55	63	55*	52*
For developing a performance improvement plan	55	60	56	50*
<b>Number of teachers<sup>a</sup></b>	<b>4,342</b>	<b>1,233</b>	<b>2,128</b>	<b>962</b>

\* Percentage is significantly different from percentage for teachers in high-poverty schools ( $p < .05$ ).

<sup>a</sup> Table is limited to teachers who were evaluated in 2012–13 or 2013–14.

Note: High-poverty schools are those where 76–100 percent of students are eligible for free or reduced-price lunch (FRPL). Medium-poverty schools are those where 25 to 75 percent of students are eligible for FRPL. Low-poverty schools are those where 0–25 percent of students are eligible for FRPL.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Only half of teachers reported access to professional development resources specifically linked to their performance evaluation results, regardless of whether their district was implementing a new evaluation system.** In order for evaluation results to help customize professional development, teachers need access to opportunities directly linked to the evaluation system. Just over half (51 percent) of all teachers reported having access to professional development resources linked to performance evaluation of any type (exhibit 5.15). The most commonly reported linkage was support from school leaders who could identify professional development opportunities related to their evaluations, with 42 percent of teachers reporting such access. Other connections to professional

development opportunities were less frequent. Teachers in high-poverty schools were more likely than other teachers to report access to these professional development resources (exhibit 5.16).

**Exhibit 5.15. Percentage of teachers reporting access to professional development resources linked to performance evaluation results, by district's teacher evaluation system implementation status: 2013–14**

Resource	Percent of teachers in districts			
	All districts	Not piloting or implementing	Piloting or partially implementing	Fully implementing
An online resource that identifies professional development opportunities linked to specific areas for improvement	31	30	30	31
The principal or another school leader identifies professional development opportunities linked to specific areas for improvement	42	42	41	42
A video library that illustrates teaching practices consistent with higher ratings on specific items on the teacher professional practice rubric	17	13	19*	17
Self-paced, Internet-based professional development modules linked to specific areas for improvement	20	20	20	20
Any of the above	51	48	51	53
<b>Number of teachers</b>	<b>5,109</b>	<b>1,456</b>	<b>1,519</b>	<b>2,092</b>

\* Percentage is significantly different from the percentage for districts that were not piloting or implementing ( $p < .05$ ).

Notes: The category, "Not piloting or implementing" includes districts that were planning their new systems, but not yet piloting or implementing the system

Exhibit is limited to teachers who had a formal observation in 2013–14 or a completed performance evaluation in 2012–13.

Sixteen percent of teachers did not have a formal observation in 2013–14 or a completed performance evaluation in 2012–13.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit 5.16. Percentage of teachers reporting access to professional development resources linked to performance evaluation results, by school poverty status: 2013–14**

Professional development resource	Percentage of teachers in			
	All teachers	High-poverty schools	Medium-poverty schools	Low-poverty schools
An online resource that identifies professional development opportunities linked to specific areas for improvement	31	36	29*	29*
The principal or another school leader who identifies professional development opportunities linked to specific areas for improvement	42	47	42*	37*
A video library that illustrates teaching practices consistent with higher ratings on specific items on the teacher professional practice rubric	17	24	14*	16*
Self-paced, internet-based professional development modules linked to specific areas for improvement	20	26	19*	18*
Any of the above	51	56	50*	48*
<b>Number of teachers<sup>a</sup></b>	<b>5,109</b>	<b>1,408</b>	<b>2,612</b>	<b>1,070</b>

\* Percentage is significantly different from percentage for teachers in high-poverty schools ( $p < .05$ ).

<sup>a</sup> Exhibit is limited to teachers who had a formal observation this year or a completed performance evaluation for last school year. Sixteen percent of teachers did not have a formal observation this year or a completed performance evaluation last year. Note: High-poverty schools are those where 76–100 percent of students are eligible for free- or reduced-price lunch (FRPL). Medium-poverty schools are those where 25 to 75 percent of students are eligible for FRPL. Low-poverty schools are those where 0–25 percent of students are eligible for FRPL.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**A majority of teachers reported having common planning time at least once per week, as well as access to an instructional coach at their school.** Common planning time and instructional coaching allow for the kind of extended professional development that ESEA defines as high-quality--sustained, intensive, and classroom focused—as distinguished from 1-day or short-term workshops.<sup>46</sup> Sixty percent of teachers reported having common planning time once per week or more, and 48 percent reported that they were required to participate in common planning time once per week or more often (exhibit 5.17). Fifty-three percent reported the school had an instructional coach. Teachers in high-poverty schools were more likely than other teachers to report required weekly common planning time and access to an instructional coach.

<sup>46</sup> See Section 9101(34) of the ESEA.

**Exhibit 5.17. Percentage of teachers who reported common planning time and access to an instructional coach, by school poverty status: 2013–14**

Activity	Percentage of teachers in			
	All teachers	High-poverty schools	Medium-poverty schools	Low-poverty schools
Common planning time at least once per week	60	67	57*	59*
Common planning time at least once per week and school requires participation	48	57	45*	47*
School has an instructional coach <sup>a</sup>	53	71	50*	47*
<b>Number of teachers</b>	<b>6,047</b>	<b>1,663</b>	<b>3,090</b>	<b>1,272</b>

\* Percentage is significantly different from percentage for teachers in high-poverty schools ( $p < .05$ ).

<sup>a</sup> Eight percent of all teachers did not know if their school had an instructional coach and were excluded from the analysis in this row.

Note: High-poverty schools are those where 76–100 percent of students are eligible for free or reduced-price lunch (FRPL). Medium-poverty schools are those where 25 to 75 percent of students are eligible for FRPL. Low-poverty schools are those where 0–25 percent of students are eligible for FRPL.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**b. Assessing Teacher Preparation Programs**

**More than half of states reported examining the effectiveness of their teacher preparation programs.** Twenty-nine states reported that they examined the effectiveness of their teacher preparation programs in the 12 months prior to the survey administration in 2014. One state reported using only teacher evaluation ratings or VAMs/SGPs. Eight states reported using evaluation ratings or VAMs/SGPs and other factors, and 20 reported using only other factors such as teacher certification, placement or retention, qualitative reviews of the program, classroom observations ratings, and staff feedback on graduates (exhibit 5.18).

**Exhibit 5.18. Number of states examining effectiveness of their teacher preparation programs within the past 12 months, by factors used for this assessment: 2013–14**

Whether and how examined effectiveness within the past 12 months	Number of states
<b>Examined any program</b>	<b>29</b>
Using teacher evaluation ratings or VAMs/SGPs only	1
Using teacher evaluation ratings or VAMs/SGPs and other factors <sup>1</sup>	8
Using other factors <sup>1</sup> but not teacher evaluation ratings or VAMs/SGPs	20
Did not examine any programs in the last 12 months	22
<b>Number of states</b>	<b>51</b>

<sup>1</sup> Other factors included percentage of graduates who earned certification, percentage placed in teaching jobs, retention rates of program’s graduates, program reviews, classroom observation ratings, or feedback from principals or other staff on credentialed teachers from the program.

Note: Teacher preparation programs included traditional and alternative programs.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

## **C. Equitable Distribution of Effective Educators**

Improving educational equity was a key goal of NCLB (2002) and its 1994 predecessor. The “highly qualified teachers” provisions of NCLB were intended to ensure that disadvantaged students covered by Title I would have the same access to high-quality teachers as more advantaged students. However, research on teacher effectiveness indicates that degrees and state teaching certification, which were a focus of the highly qualified teacher definition, are not strongly associated with student outcomes (Croninger et al. 2007; Goldhaber & Brewer 2000; Rice 2003). This section describes the extent to which states and districts examined the distribution of access to effective educators in 2013–14, the measures of effectiveness used, and the actions states took to address inequities.

### **1. State Assessment of Equity**

**Thirty states reported examining the distribution of teacher quality or effectiveness.** Eleven of these states used some type of performance measure; 13 used non-performance measures; and 6 used both (exhibit 5.19). Evaluation ratings were the most commonly used performance measure (10 states), and highly qualified status was the most commonly used non-performance measure (12 states).

**Exhibit 5.19. Number of states that examined the distribution of teacher quality/effectiveness within the past 12 months and the measures used: 2013–14**

Whether and how examined distribution within the past 12 months	Number of states
<b>Examined distribution</b>	<b>30</b>
<b>Teacher measures used to examine distribution</b>	
<i>Performance measures of teacher quality:</i>	
Evaluation ratings	10
Effectiveness as measured by the teacher’s VAM or SGP	6
Only performance measures (evaluation ratings or effectiveness as measured by VAM or SGP) used to examine the distribution	11
<i>Non-performance measures of teacher quality:</i>	
Certification	9
Highly qualified status based on definitions of No Child Left Behind	12
Experience	6
Assignment to grades or classes outside of their field of certifications	8
Education (e.g., the proportion of teachers with master’s degrees)	1
Other	1
Only non-performance measures (certification, highly qualified status, experience, out-of-field assignment, education, or other) used to examine the distribution	13
<i>Both performance and non-performance measures used to examine the distribution</i>	6
Did not examine distribution	21
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**A majority of states that examined inequity found inequities in the distribution of teacher quality/effectiveness.** Of the 30 states that examined inequity, 21 reported finding substantial inequities (exhibit 5.20). States that incorporated performance measures and those that relied solely on the non-performance measures reported finding substantial inequities in the distribution of teacher quality/effectiveness. Fewer states (14) examined the distribution of principal quality/effectiveness, and 12 of these states reported finding substantial inequities (appendix exhibits F.15 and F.16).



**Exhibit 5.20. Number of states that used specific measures to define teacher quality/effectiveness, by whether the state found substantial inequities in teacher distribution: 2013–14**

Measures used to define teacher quality and/or effectiveness	All states	Number of states that	
		Found substantial inequities	Did not find substantial inequities
Performance measures only <sup>1</sup>	11	8	3
Non-performance measures only <sup>2</sup>	13	8	5
Both teacher performance and non-performance measures	6	5	1
<b>Number of states</b>	<b>30</b>	<b>21</b>	<b>9</b>

<sup>1</sup>Performance measures include teacher evaluation ratings or effectiveness as measured by teacher’s VAM or SGP.

<sup>2</sup>Non-performance measures include certification, highly qualified status, experience, out-of-field assignment, education, or other.

Note: Exhibit excludes states that did not examine the distribution of teacher quality/effectiveness (21 states) within the past 12 months.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**The most common state action to address inequities in the distribution of teacher quality or effectiveness was to provide additional resources to support teachers.** Thirteen of the 21 states that found substantial teacher inequities provided resources such as professional development or coaching to improve the effectiveness of less-qualified or less-effective teachers, and 6 states established financial incentives (exhibit 5.21). Fifteen states took at least one action to address teacher inequitable distribution in the schools. Six of the 21 states reported taking no action. As with teachers, the most common action to address principal inequities was to provide resources to improve the effectiveness of less-qualified or less-effective principals (appendix exhibit F.17).

**Exhibit 5.21. Number of states that found substantial inequities in the distribution of teacher quality/effectiveness and took actions to address inequities: 2013–14**

Actions taken	Number of states
<b>Number of states reporting inequities</b>	21
<b>State actions to address inequities</b>	
Provided resources (e.g., professional development, coaching) to improve the effectiveness of less-qualified or less-effective teachers	13
Provided findings about inequities to school districts and/or the public	12
Required school districts to develop a plan for addressing inequities	10
Established financial incentives to encourage qualified or effective teachers who move to or stay in schools with lower levels of teacher quality or effectiveness compared to other schools	6
Other <sup>1</sup>	5
Took any of the above actions	15
Took multiple actions	13
Had not taken action to address inequities in access to effective teachers	6
<b>Total number of states</b>	<b>21</b>

<sup>1</sup>The most common “Other” action was providing training or technical assistance to districts about attracting and retaining high-quality/effective teachers.

Note: Exhibit is limited to states that examined information about the distribution of teacher quality or effectiveness across schools or districts serving different student populations within the past 12 months and found substantial inequities.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**2. District Assessment of Equity**

**Most districts did not examine the equity of the distribution of teacher quality or effectiveness.** While states are responsible for examining the equity of the distribution of teacher quality or effectiveness, some states may leave the examination to districts, or districts may make this examination themselves. Thirty-five percent of districts examined the distribution of teacher quality or effectiveness with 46 percent of large districts, 37 percent of medium districts, and 34 percent of small districts doing so (exhibit 5.22). Large districts also were more likely to report using information provided by themselves or a contractor (39 percent) than small districts (26 percent). Relatively few districts (8 percent) reported examining the distribution using information from their state.

**Exhibit 5.22. Percentage of districts examining the distribution of teacher quality/effectiveness, by district size: 2013–14**

Method of examination	Percent of districts			
	All districts	Small districts	Medium districts	Large districts
Did not examine distribution of teacher quality/effectiveness	65	67	63	54
Examined distribution using information from study by district or district contractor	27	26	29	39*
Examined distribution using information from state education agency	8	8	8	7
<b>Number of districts</b>	<b>558</b>	<b>234</b>	<b>240</b>	<b>84</b>

\* Percentage is significantly different from the percentage for small districts ( $p < .05$ ).

Note: Small districts are those that enrolled fewer than 2,500 students, medium districts were those that enrolled 2,500 to fewer than 25,000 students, and large districts were those that enrolled 25,000 or more students.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

Twenty-one percent of districts examined the distribution of principal quality or effectiveness. Large and medium-sized districts were more likely than small districts to examine the distribution of principal quality or effectiveness using their own information (appendix exhibit F.18).

## D. Summary

Between 2009 and 2014, there was widespread state activity related to teacher evaluation policies or systems, with 47 states adopting new laws or regulations. The result was performance evaluations that tied teacher evaluations to ratings of classroom practice and growth in student achievement.

However, using both certified observers and achievement growth measures to evaluate teachers was not the norm. Research stresses the importance of valid and reliable ratings through the use of trained and certified observers, achievement growth measures that address differences in students' prior achievement levels, and at least three performance categories. While most states required districts to use at least three performance categories in rating teachers, only 18 percent of districts indicated that they used the combination of at least two classroom observations by trained and certified observers, student achievement growth such as VAM or SGP, and at least three performance categories. Since 2014, some states and districts have signaled intended changes in this area, particularly related to reducing the emphasis on student achievement growth measures (Sawchuk 2016).

Teacher buy-in for evaluation systems is important. The vast majority of teachers viewed their performance evaluation favorably. Eighty-nine percent of teachers who were evaluated in 2012–13 or 2013–14 and were formally observed at least once agreed that their evaluator was well-qualified, and 87 percent agreed that the feedback was a fair assessment of their teaching.

Many districts, particularly those implementing new evaluation systems, reported using the evaluation results to design and plan professional development activities to support teacher improvement. However, only about half of the teachers reported having access to any professional development opportunities that were linked to their specific areas in need of improvement.

Although 30 states reported examining the distribution of teacher quality/effectiveness across schools or districts serving different student populations, 11 states included only a measure of teacher performance in this examination; 13 states included a non-performance measure; and 6 states included both performance and non-performance measures. Of the 30 states that examined inequity, 21 reported finding substantial inequity, and 6 states took no action to address the identified inequities. Of those that found substantial inequities, the most common response was to provide additional resources to improve the effectiveness of teachers. Fewer states (14) examined the distribution of principal quality/effectiveness, and 12 of these states reported finding substantial inequities.

ESSA, as the reauthorized ESEA, has resulted in several policy changes for teachers. The highly qualified teacher requirements of NCLB have been eliminated. Although ESEA flexibility policy also eliminated the highly qualified teacher requirements, such flexibility was in exchange for implementing educator evaluation systems that included multiple measures that minimally included observations and a measure of student achievement growth. In ESSA, there are no evaluation system requirements or requirements related to teacher certification. ESSA addresses equity by requiring states to ensure that low-income and minority students are not served at disproportionate rates by “ineffective, out of field, or inexperienced teachers.” Accomplishing this is at the discretion of each state. However, for the first time, activities related to evaluation systems are an explicitly allowable use of Title II-A funds.

As implementation of ESSA begins, it will be interesting to see how state evaluation practices evolve within the context of ESSA, which does not contain teacher certification or evaluation system requirements. Whether or not districts make further revisions to their evaluation systems will also be of interest, including, what those revisions will be and whether the revisions lead to improvements in the usefulness of the evaluation systems.

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**Appendix A**  
**ESEA Waiver Provisions**

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## ESEA Waiver Provisions

**Purpose.** The U.S. Department of Education (Department) is offering each State educational agency (SEA) the opportunity to request flexibility on behalf of itself, its local educational agencies (LEAs), and its schools, in order to better focus on improving student learning and increasing the quality of instruction. This voluntary opportunity will provide educators and State and local leaders with flexibility 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. This flexibility is intended to build on and support the significant State and local reform efforts already underway in critical areas such as transitioning to college- and career-ready standards and assessments; developing systems of differentiated recognition, accountability, and support; and evaluating and supporting teacher and principal effectiveness.

**Description of the Waivers.** By submitting this flexibility request, the SEA requests flexibility through waivers of the ten ESEA requirements listed below and their associated regulatory, administrative, and reporting requirements by checking each of the boxes below. The provisions below represent the general areas of flexibility requested:

1. The requirements in ESEA section 1111(b)(2)(E)-(H) that prescribe how an SEA must establish annual measurable objectives (AMOs) for determining adequate yearly progress (AYP) to ensure that all students meet or exceed the State's proficient level of academic achievement on the State's assessments in reading/language arts and mathematics no later than the end of the 2013–2014 school year. The SEA requests this waiver to develop new ambitious but achievable AMOs in reading/language arts and mathematics in order to provide meaningful goals that are used to guide support and improvement efforts for the State, LEAs, schools, and student subgroups.
2. The requirements in ESEA section 1116(b) for an LEA to identify for improvement, corrective action, or restructuring, as appropriate, a Title I school that fails, for two consecutive years or more, to make AYP, and for a school so identified and its LEA to take certain improvement actions. The SEA requests this waiver so that an LEA and its Title I schools need not comply with these requirements.
3. The requirements in ESEA section 1116(c) for an SEA to identify for improvement or corrective action, as appropriate, an LEA that, for two consecutive years or more, fails to make AYP, and for an LEA so identified and its SEA to take certain improvement actions. The SEA requests this waiver so that it need not comply with these requirements with respect to its LEAs.
4. The requirements in ESEA sections 6213(b) and 6224(e) that limit participation in, and use of funds under the Small, Rural School Achievement (SRSA) and Rural and Low-Income School (RLIS) programs based on whether an LEA has made AYP and is complying with the requirements in ESEA section 1116. The SEA requests this waiver so that an LEA that

receives SRSA or RLIS funds may use those funds for any authorized purpose regardless of whether the LEA makes AYP.

5. The requirement in ESEA section 1114(a)(1) that a school have a poverty percentage of 40 percent or more in order to operate a schoolwide program. The SEA requests this waiver so that an LEA may implement interventions consistent with the turnaround principles or interventions that are based on the needs of the students in the school and designed to enhance the entire educational program in a school in any of its priority and focus schools that meet the definitions of “priority schools” and “focus schools,” respectively, set forth in the document titled *ESEA Flexibility*, as appropriate, even if those schools do not have a poverty percentage of 40 percent or more.
6. The requirement in ESEA section 1003(a) for an SEA to distribute funds reserved under that section only to LEAs with schools identified for improvement, corrective action, or restructuring. The SEA requests this waiver so that it may allocate section 1003(a) funds to its LEAs in order to serve any of the State’s priority and focus schools that meet the definitions of “priority schools” and “focus schools,” respectively, set forth in the document titled *ESEA Flexibility*.
7. The provision in ESEA section 1117(c)(2)(A) that authorizes an SEA to reserve Title I, Part A funds to reward a Title I school that (1) significantly closed the achievement gap between subgroups in the school; or (2) has exceeded AYP for two or more consecutive years. The SEA requests this waiver so that it may use funds reserved under ESEA section 1117(c)(2)(A) for any of the State’s reward schools that meet the definition of “reward schools” set forth in the document titled *ESEA Flexibility*.
8. The requirements in ESEA section 2141(a), (b), and (c) for an LEA and SEA to comply with certain requirements for improvement plans regarding highly qualified teachers. The SEA requests this waiver to allow the SEA and its LEAs to focus on developing and implementing more meaningful evaluation and support systems.
9. The limitations in ESEA section 6123 that limit the amount of funds an SEA or LEA may transfer from certain ESEA programs to other ESEA programs. The SEA requests this waiver so that it and its LEAs may transfer up to 100 percent of the funds it receives under the authorized programs among those programs and into Title I, Part A.
10. The requirements in ESEA section 1003(g)(4) and the definition of a Tier I school in Section I.A.3 of the School Improvement Grants (SIG) final requirements. The SEA requests this waiver so that it may award SIG funds to an LEA to implement one of the four SIG models in any of the State’s priority schools that meet the definition of “priority schools” set forth in the document titled *ESEA Flexibility*.



**Optional Flexibilities.** An SEA may choose to request waivers of any of the following requirements:

11. The requirements in ESEA sections 4201(b)(1)(A) and 4204(b)(2)(A) that restrict the activities provided by a community learning center under the Twenty-First Century Community Learning Centers (21st CCLC) program to activities provided only during non-school hours or periods when school is not in session (i.e., before and after school or during summer recess). The SEA requests this waiver so that 21st CCLC funds may be used to support expanded learning time during the school day in addition to activities during non-school hours or periods when school is not in session.
12. The requirements in ESEA sections 1116(a)(1)(A)-(B) and 1116(c)(1)(A) that require LEAs and SEAs to make determinations of adequate yearly progress (AYP) for schools and LEAs, respectively. The SEA requests this waiver because continuing to determine whether an LEA and its schools make AYP is inconsistent with the SEA's State-developed differentiated recognition, accountability, and support system included in its ESEA flexibility request. The SEA and its LEAs must report on their report cards performance against the AMOs for all subgroups identified in ESEA section 1111(b)(2)(C)(v), and use performance against the AMOs to support continuous improvement in Title I schools.
13. The requirements in ESEA section 1113(a)(3)-(4) and (c)(1) that require an LEA to serve eligible schools under Title I in rank order of poverty and to allocate Title I, Part A funds based on that rank ordering. The SEA requests this waiver in order to permit its LEAs to serve a Title I-eligible high school with a graduation rate below 60 percent that the SEA has identified as a priority school even if that school does not otherwise rank sufficiently high to be served under ESEA section 1113.

## **Required Interventions for Lowest-Performing Schools Identified Under NCLB, SIG, and ESEA Flexibility**

### **Schools Identified Under NCLB**

#### **Required interventions for schools in corrective action**

A Title I school that misses its annual achievement targets for four years is identified for corrective action. States and districts with Title I schools that are identified for corrective action must continue supports initiated at earlier stages, including school choice and supplemental educational services for students and technical assistance for the school.

In addition, the district must take at least one of the following corrective actions:

- Implement a new curriculum with research evidence of effectiveness and provide professional development to support its implementation.
- Extend the length of the school year or school day.
- Replace the school staff who are deemed relevant to the school not making adequate progress.
- Significantly decrease management authority at the school.
- Restructure the internal organization of the school.
- Appoint one or more outside experts to advise the school (1) how to revise and strengthen the improvement plan it created while in school improvement status, and (2) how to address the specific issues underlying the school's continued inability to make AYP

#### **Required interventions for schools in restructuring**

A Title I school that misses its annual achievement targets for five or more years is identified for restructuring. The district must create a plan to restructure the school, which entails intensive interventions to revamp the operation and governance of the school. If the school does not meet achievement targets for six years, the district must implement this plan. The restructuring plan must include one of the following "alternative governance" arrangements for the school, consistent with state law:

- Reopen the school as a public charter school.
- Replace all or most of the school staff, which may include the principal, who are relevant to the school's inability to make AYP.
- Enter into a contract with an entity, such as a private management company, with a demonstrated record of effectiveness, to operate the school as a public school.
- Turn the operation of the school over to the SEA if this action is permitted under state law and the state agrees.
- Any other major restructuring of the school's governance designed to produce major reform

## Interventions Under the School Improvement Grant (SIG) Program

### SIG School turnaround models

Adopting one of the turnaround models specified in the SIG program were considered to satisfy the turnaround principles to be used by priority schools:

- **Transformation:** Includes several reforms also required for turnaround schools: replace the principal, institute comprehensive instructional reforms, increase learning time, create community-oriented schools, and provide operational flexibility (for example, decisions about hiring and firing staff, length of the school day, and budgets). In addition, schools must incorporate student growth into teacher and principal evaluations as a significant factor, identify and reward teachers and principals who increased student achievement or graduation rates, provide ongoing mechanisms for family and community engagement, and ensure that the school receives ongoing, intensive technical assistance and supports.
- **Turnaround:** Adopt the approaches noted above that are also required for transformation schools. In addition, schools must screen staff and rehire no more than 50 percent; adopt a new governance structure, such as reporting to a state turnaround office; and provide appropriate social-emotional and community-oriented services and supports for students.
- **Restart:** Transfer control of the school to a new operator (management organization).  
**Closure:** Close the school and enroll its students in higher-achieving schools.

### Schools identified as Priority Schools under ESEA Flexibility

#### Required interventions for Title I priority schools

States with ESEA flexibility were required to provide interventions and support to Title I priority schools consistent with a set of turnaround principles included in ED's guidance to states applying for flexibility:

- Provide strong leadership by (1) reviewing the performance of the current principal; (2) either replacing the principal if such a change is necessary to ensure strong and effective leadership, or demonstrating to the SEA that the current principal has a track record in improving achievement and has the ability to lead the turnaround effort; and (3) providing the principal with operational flexibility in the areas of scheduling, staff, curriculum, and budget.
- Ensure that teachers are effective and able to improve instruction by (1) reviewing the quality of all staff and retaining only those who are determined to be effective and have the ability to be successful in the turnaround effort; (2) preventing ineffective teachers from transferring to these schools; and (3) providing job-embedded, ongoing professional development informed by the teacher evaluation and support systems and tied to teacher and student needs.
- Redesign the school day, week, or year to include additional time for student learning and teacher collaboration.

- Strengthen the school’s instructional program based on student needs and ensuring that the instructional program is research-based, rigorous, and aligned with state academic content standards.
- Use data to inform instruction and for continuous improvement, including by providing time for collaboration on the use of data.
- Establish a school environment that improves school safety and discipline and address other non-academic factors that impact student achievement, such as students’ social, emotional, and health needs.

Provide ongoing mechanisms for family and community engagement.

**Appendix B**  
**Methodology and Survey Instruments**

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This methodology appendix summarizes the data sources for the study, describes the district, school, and teacher sample designs; and presents the survey response rates. It also includes a description of the weighting, including survey non-response adjustments. In addition, the analyses presented in the report are reviewed.

## **A. Surveys and Extant Data Sources**

### **1. Data Sources**

The analyses conducted for this report primarily used data collected during spring and summer 2014 through surveys administered to all 50 states and the District of Columbia and nationally representative samples of school districts, principals, and teachers. The analysis also drew on publicly available information on states about aspects of their school accountability systems, receipt of a first or second round Race to the Top (RTT) grant, adoption of the Common Core State Standards (CCSS), and participation in the CCSS-aligned consortium assessments (i.e., Smarter Balanced or PARCC). Extant data from the U.S. Department of Education *EDFacts* and Common Core of Data (CCD) files and proficiency scores from the Department's National Assessment of Educational Progress (NAEP) were also used. The study also used district and school data from the CCD for sampling and weighting purposes. Those data items are discussed in the sampling and weighting sections below.

### **2. Survey Development**

Survey development was guided by the study's research questions, input from the U.S. Department of Education staff, reviews of previous Department studies on Title I and education policy implementation, and feedback from pilot tests of the instruments. The study team drafted state, district, principal, and teacher instruments in three key areas: (1) state content standards and assessments in reading/English language arts (ELA) and math, (2) school accountability, and (3) teacher and principal evaluation and support.

The surveys were reviewed by U.S. Department of Education staff and pretested with state education agency and school district staffs, principals, and teachers. The surveys were pretested with no more than nine respondents per survey. Protocols were developed to guide the debriefing sessions conducted with all pretest respondents by the study team members. In addition to the survey content, the pretest protocol focused on (1) wording, clarity, (2) information availability, (3) response burden, and (4) effectiveness of survey administration.

The surveys were pretested with respondents working in varying education policy environments (e.g., in Common Core State Standards or non-Common Core State Standards states, in states with and without an ESEA flexibility waiver, in states with and without a Race to the Top (RTT) grant). The pretest sample was designed to include, small, medium, and large school districts and principals and teachers from elementary, middle, and high schools; and teachers in various subject areas.

The study team revised the surveys based on the feedback from the pretest debriefings and comments from the IES staff. The state survey was developed as a fillable PDF while the district, principal, and teacher surveys were web-based.

### **3. Extant Data**

#### **a. State Extant Data**

Publicly available data on aspects of school accountability and educator evaluations were collected in an effort to reduce survey burden. Data were gathered by the study team from approved state ESEA flexibility applications and state websites using structured forms. These forms were then sent to states for verification and correction. Separate forms were developed for:

**School accountability for states with ESEA flexibility**—including the measures used for annual measurable objectives (AMOs); subgroups used for AMOs, the use of combined subgroups, and the minimum subgroup size; measures used to identify highest-performing and high progress schools and the number of such schools by school level; and the measures used to identify focus and priority schools and the number of such schools by school level.

**School accountability for states without ESEA flexibility**—including the minimum subgroup size; measures used to identify highest-performing and high progress schools and the number of such schools by school level; and the number of schools in need of improvement, in corrective action, and in restructuring by school level. Data from state forms on the school accountability for states with and without ESEA flexibility were used for analyses of school accountability, including AMO measures, subgroup sizes, and identification of high- and low-performing schools.

**Teacher and principal evaluation**—including whether the state requires or recommends that districts include measures of student achievement growth in teacher and principal evaluations, what measures of student achievement growth are required or recommended, and the weights required for these measures in the overall evaluation ratings.

#### **b. Student Achievement Data**

Data for the student achievement analyses came from publicly available data from the U.S. Department of Education. State and national proficiency rates on NAEP, proficiency rates on state assessments reported by states to the *EDFacts* system, and the number of students by state, grade level, and year from the CCD were used.

NAEP is a nationally representative assessment of students in math, reading, and other subjects that provides a common measure of achievement across states and nationally for students in grades 4 and 8 for every other year from 2003 to 2015. NAEP proficiency rates for math and reading for students in grades 4 and 8 by state and for the national public school sample were used. Historically, NAEP has tested 12th graders less frequently and does not include representative samples in all states; therefore, the available NAEP proficiency rates were used for reading and math in 12th grade for the national public school sample for 2005, 2009, 2013 and 2015. The National Center for Education Statistics (NCES)



oversees NAEP assessments and reporting. NAEP state-level and national-level data were obtained from the NAEP Data Explorer (<https://nces.ed.gov/nationsreportcard/naepdata/>).

EDFacts data are consolidated from annual state reports of the percentage of students proficient on states' own assessments in grades 3 through 8 and high school (tested high school grades vary by state). Data are available annually for all states from 2006 to 2013. State proficiency rates for grades 4 and 8 and in high school overall and for selected subgroups were used. Data were obtained from the ED Data Explorer, state tables (<http://eddataexpress.ed.gov/state-tables-main.cfm>). To estimate national proficiency rates on state assessments, state-level proficiency rates were weighted by the number of students in that grade level, state, and year. For high school assessments, proficiency rates were weighted using the number of students in grade 10 in each academic year. Weights are taken from the CCD reports of the number of students in each grade level in public elementary and secondary schools by state in each academic year. Data from the CCD are available from the Elementary/Secondary Data Information System (<https://nces.ed.gov/ccd/elsi/>).

### **c. District and School Data**

The U.S. Department of Education's CCD and EDFacts were the data sources for selected school and district characteristics for analysis purposes.<sup>1</sup> State reports of school improvement status and school Title I status were drawn from EDFacts. District size and school poverty were based on district enrollment and school poverty data available from the 2011–12 CCD school and local education agency universe files. District size was defined as large (25,000 or more students), medium (2,500 to 25,000 students), or small (fewer than 2,500 students). School poverty was defined as high (76 percent or more of students eligible for free or reduced-price lunch (FRPL)), medium (25 to 75 percent students eligible for FRPL), or low (25 percent or less students eligible for FRPL).

## **B. Sample Design**

### **1. Overview**

The study sample included the universe of states and the District of Columbia and nationally representative samples of districts and schools. The study also included a nationally representative sample of kindergarten through 12th-grade teachers who teach core academic subjects or special education. The school sample was nested in the district sample, and the teacher sample nested in the school sample.

The district sample was designed to allow for both relatively efficient estimates of the number or percentage of U.S. public school *students* in districts implementing initiatives of interest and estimates of the number or proportion of U.S. *school districts* implementing such initiatives. The sampling frame was constructed from the 2011–12 CCD. District poverty level and district size were used as the primary strata for the sample selection. A sample of 570 districts was selected from the sampling frame of 15,762 districts.

<sup>1</sup> See the sampling and weighting sections for use of the CCD data in those processes.

The school sample was nested within the district sample, with schools sampled from districts included in the district sample. Within districts, schools were stratified based on school Title I status, school poverty level, and the cross-classification of Title I and poverty status. A sample of 1,300 schools nested within the nationally representative sample of 570 school districts was selected from the universe of 92,149 schools.

A sample of almost 8,000 teachers of core academic subjects and special education were selected from teacher rosters provided by 1,251 sampled schools. Within schools, the teacher sample was selected using an approach similar to the teacher sampling in the NCES Schools and Staffing Survey to determine the overall number of teachers to select from each sampled school. The remainder of this section provides details on the district, school, and teacher sampling.

## **2. Details of District Sampling**

The study's analysis objectives focused on examining the implementation of initiatives promoted by Title I and Title II in districts nationwide. We also were interested in statistically comparing implementation by district level of poverty and district size.

The Title I/II district sample of 570 districts was taken from a frame generated from the 2011–12 CCD.<sup>2</sup> The final district frame consisted of 15,762 districts, with 48,715,165 enrolled students.

The district frame was stratified by district poverty status (high-poverty versus low-/medium-poverty based on the percentage of children in poverty in the district<sup>3</sup>) and district size class. In addition, a separate stratum was created for small states (according to the number of districts) to guarantee that every state has at least one selected district.

Within the poverty and district size class strata, we implicitly stratified districts by drawing a systematic sample from a list of districts ordered by the implicit stratification characteristics. Districts in the small state stratum (all states with expected district sample sizes less than or equal to 5) were implicitly stratified by Census region, state, poverty status, urbanicity, and district enrollment. Districts in large states (all states with expected district sample sizes greater than 5) were implicitly stratified by poverty status, Census region, urbanicity, and district enrollment. The implicit stratification by Census region and urbanicity promotes the nationally representative nature of the sample.

<sup>2</sup> We excluded from the sampling frame the following types of districts: 1—Districts outside the 50 states and the District of Columbia; 2—Bureau of Indian Education districts; 3—Department of Defense districts; 4—Detention centers; 5—Special Education Only districts; 6—Districts with no eligible schools, or only schools with no enrollment.

<sup>3</sup> Districts were assigned to the two district poverty strata according to the percentages of 5 to 17 year olds in families with incomes below the poverty line. Districts exceeding 27.7 percent of students in families below the poverty line were assigned to the high-poverty stratum, and the complement set became the low-/medium-poverty stratum. This cutoff was roughly the weighted 75th percentile for this poverty percentage. This assignment was done based on the US Census Bureau Small Area Income and Poverty Estimates Program (SAIPE) for districts included in the SAIPE program. For other districts, an imputation was done of the percentage of families below the poverty line based on the district's percentage of students eligible for free or reduced-price lunch, or other means (using for example the poverty percentage for a SAIPE district in the same geographic area).

We selected the largest districts with certainty.<sup>4</sup> The remaining districts<sup>5</sup> were selected within the district size and poverty strata using a “minimax” design. The minimax design oversamples the size strata corresponding to larger enrollment (but not as heavily as a probability proportionate to size design would).<sup>6</sup> In addition, districts in the high-poverty stratum are oversampled by a factor of three to improve analytic precision. High-poverty districts are roughly one-quarter of the districts, but with oversampling were roughly one-half of the sample. The realized sample sizes were 296 and 274 for low-/medium- and high-poverty districts, respectively.

Exhibit B.1 provides a more detailed presentation of the oversampling strata, including the seven strata by district size. The oversampling rate was based on the 0.535 root of the relative enrollment means for the seven district size strata.<sup>7</sup> For example, for a ratio of 3 to 1 in enrollment mean (e.g., comparison of enrollment for low-/medium-poverty district class sizes 501 to 1,500 students compared to less than 500 students the oversampling rate would be 1.8 to 1. Note that the high-poverty district size strata are all three times the corresponding low-/medium-poverty district size strata, reflecting the 3:1 oversampling for the high-poverty stratum.

<sup>4</sup> The largest six high-poverty stratum districts and the largest eight low-/medium-poverty stratum districts were sampled with certainty (those in the ‘A’ district size strata in exhibit B.2). The exceptionally large size of these districts made them larger than the sampling interval under the minimax design, and they were taken as certainties to maintain efficiency.

<sup>5</sup> Districts with only one school had a sampling rate set to one-quarter of other districts in the same poverty/district size stratum (with correspondingly higher weights to ensure unbiased estimates). They were still represented in the study, but we had fewer of these districts. This method of under sampling is similar to that done in the NAEP for schools with very small numbers of students.

<sup>6</sup> Note that this relative oversampling factor is somewhat larger than the square root of the relative mean enrollment size, and that within each district size stratum the districts are selected with equal probability.

<sup>7</sup> This sample design we call a ‘minimax’ design, as it is designed to equalize the efficiency for two types of estimates. The first type of estimate counts each district as one in the population (a ‘count-based’ estimate). This type of estimate answers questions such as “What percentage of districts have characteristic X?” The second type of estimate includes enrollment of the district in the weights, so that the sampling base weight is the enrollment divided by the probability of selection. This type of ‘enrollment based’ estimate answers questions such as “What percentage of students are enrolled in districts that have characteristic X?” A probability proportionate to enrollment design will lead to optimal efficiency for the second type of estimate, but will have poor efficiency for the first type of estimate. On the other hand, a simple stratified design with no oversampling of larger district-size strata has high efficiency for count-based estimates, but poor efficiency for enrollment-based estimates. The minimax design as given in Exhibit B.2 has reasonable efficiency for both count-based and enrollment-based estimates, at the cost of not being best for either.

**Exhibit B.1. Final district sample sizes and relative sampling rates by district poverty and size strata**

Poverty stratum	District size class	District count	Student enrollment (in 1000s)	Relative sampling rate	District sample size
Low/medium poverty	G	3,961	937.4	1.0	24
Low/medium poverty	F	3,430	3,127.0	1.8	55
Low/medium poverty	E	3,060	8,426.0	3.2	97
Low/medium poverty	D	1,112	9,139.5	5.8	65
Low/medium poverty	C	346	8,728.7	10.5	36
Low/medium poverty	B	59	4,529.1	18.9	11
Low/medium poverty	A	8	1,643.1	Inf	8
Low/medium poverty	Total	11,976	36,530.8		296
High poverty	G	1,687	384.7	3.0	25
High poverty	F	948	838.6	5.4	49
High poverty	E	763	2,095.3	9.7	89
High poverty	D	265	2,172.1	17.5	56
High poverty	C	98	2,592.6	31.5	37
High poverty	B	19	1,364.9	56.7	12
High poverty	A	6	2,736.2	Inf	6
High poverty	Total	3,786	12,184.4		274

Note: District size class was defined in terms of student enrollment intervals: G: less than 500; F: 501 to 1,500; E: 1,501 to 5,000; D: 5,001 to 15,000; C: 15,001 to 50,000; B: 50,001 to 150,000; A: 150,001 and over.

### 3. Details of School Sampling

The study was interested in describing the implementation of Title I- and Title II-related initiatives occurring in schools as well as districts. In addition to examining initiatives in schools nationwide, we were interested in statistical comparisons of implementation by school Title I status, poverty level, and the cross-classification of Title I and poverty status (high-poverty Title I schools, low-/medium-poverty Title I schools, and non-Title I schools<sup>8</sup>).

The school sample was not limited to Title I schools. While a key part of the study focuses on initiatives promoted by Title I, the study did not look exclusively at initiatives funded by Title I. Furthermore, non-Title I schools may benefit from professional development funded by district Title II funds.

The Title I/II school sample was a nationally representative sample of 1,300 public schools drawn from the 2011–12 CCD within the 570 sampled districts, with at least one school from every sampled district. School sampling rates were defined based on the cross-classification of Title I<sup>9</sup> and

<sup>8</sup> High poverty and low/medium poverty were defined in the same way as for districts, based on whether the district had greater than or less than 27.7 percent families in poverty. For sampling purposes, we used the Title I status variable that is on the CCD that indicates whether the school is a Title I eligible school. Also, since the majority of non-Title I schools are low-/medium-poverty schools, these schools will not be broken out by poverty status.

<sup>9</sup> There were three school strata: non-Title I schools, low-/medium-poverty Title I schools, and high-poverty Title I schools. There was a goal to have sample sizes of roughly 390, 390, and 520 schools in these strata respectively (or reflecting 30 percent of the sample in non-Title I schools, 30 percent of the sample in Title I low-/medium-poverty schools, and 40 percent of the sample in Title I high-poverty schools).

poverty status, school span and school size class. As with the district sample, larger schools had a higher sampling rate, but the rate is proportional to the 3/4 root of mean enrollment of the school sampling group rather than fully proportional as under a probability proportionate to size (PPS) design.<sup>10</sup> Given their analytic importance, high-poverty Title I schools were oversampled at a rate of 2.73 compared to low-/medium-poverty Title I schools. Non-Title I schools were oversampled at a rate of 1.69 compared to low-/medium-poverty Title I schools to ensure that we had enough non-Title I schools for comparisons.

The school sample was fully nested within the 570 sampled districts. The school frame was subsetted to these sampled districts. This subsetted frame was the final school frame. For this final school frame, the school measures of size for each stratum as given in the 'Final Relative Sampling Rate' column in Exhibit B.3 were divided by the district probability of selection. Sampled districts with aggregate measures less than 1 had their schools' measures increased to equal 1 (to guarantee at least one sampled school in each sampled district). These school measures were recalibrated to add to 390, 520, and 390 for non-Title I, Title I high-poverty, and Title I low-/medium-poverty schools respectively across the final school frame. There were schools with final measures greater than 1: these 23 schools were designated as certainties and the measures of the remaining schools recalibrated to equal the remaining school sample size. This was an iterative process that continued until all remaining schools were non-certainties (had measures strictly less than 1).

The final noncertainty schools on the final school frame were ordered by district, major school subgroup, and span (elementary, middle, high, combined) with their final school measures, and a systematic sample of noncertainty schools was drawn. The realized sample sizes for the major school subgroups crossed with span and three school size subgroups within span are given in Exhibit B.2.

#### **4. *Details of Teacher Sampling***

The teacher sample was designed to facilitate several kinds of analyses. First, it was designed to include a nationally representative sample of core academic teachers<sup>11</sup> and special education teachers, so the study can make statements about teachers nationwide. Second, the sample was designed to ensure a sufficient number of teachers of ESEA-tested subjects and grades,<sup>12</sup> so that statements can be made about these teachers and their responses compared with teachers on non-ESEA-tested subjects and grades. "ESEA-tested teachers" have been the focus of the federal accountability system under No Child Left Behind, and they were most likely to be affected by state-set annual measurable objectives promoted by the ESEA flexibility waivers. Finally, the sample was designed to allow sufficient numbers of teachers per district and school to allow examination of the relationship between implementation of

<sup>10</sup> This was again as for the district sample a minimax approach, though in this case tilted more toward enrollment (and number of teachers) to facilitate teacher-based estimates from the teacher sample.

<sup>11</sup> Core academic teachers are those whose primary subject taught was general elementary, reading/ELA, math, science, or social studies.

<sup>12</sup> These are teachers who taught a class whose students were tested for accountability requirements under the No Child Left Behind.

various initiatives promoted by Title I and Title II as described by principals and district officials and teachers' reports of their experiences and responses.

The Title I/II teacher sample was designed to be a total of 9,100 public school teachers who taught core academic subjects or special education, nested within the Title I/II school sample of 1,300 schools (an average of 7 sampled teachers per sampled school). The teacher sample development was a multi-step process that involved creating initial, or estimated, teacher sample sizes for schools using full-time equivalent (FTE) teacher counts from the CCD then refining the estimated teacher sample sizes after receiving the first batch of completed rosters.

***a. Initial Sample Size Allocations***

We developed an initial allocation of teacher sample sizes to the three major subgroups of schools (non-Title I schools, Title I high-poverty schools, and Title I low-/medium-poverty schools) based on the sampled school's FTE teacher count aggregated over the major school subgroup, multiplied by the oversampling rate for the major subgroup. This FTE comes from the 2011–12 CCD School Universe file. The assigned teacher sample sizes were equal to the proportion of teacher measure multiplied by 9,100.

**Exhibit B.2. Final expected and realized school sample sizes by school stratum**

Major school group	Span	School size group	3/4 root enrollment ratio	Major school group multiplier	Final relative sample rate	Realized sample size
Non-Title I	Elementary	C-Small	0.990	1.69	1.67	32
Non-Title I	Elementary	B-Medium	1.671	1.69	2.82	49
Non-Title I	Elementary	A-Large	2.318	1.69	3.92	81
Non-Title I	Middle	C-Small	1.136	1.69	1.92	15
Non-Title I	Middle	B-Medium	2.065	1.69	3.49	22
Non-Title I	Middle	A-Large	2.926	1.69	4.95	39
Non-Title I	High	C-Small	1.008	1.69	1.70	38
Non-Title I	High	B-Medium	2.940	1.69	4.97	47
Non-Title I	High	A-Large	4.742	1.69	8.01	50
Non-Title I	Comb		1.291	1.69	2.18	15
Non-Title I						388
Title I high poverty	Elementary	C-Small	1.040	2.73	2.84	77
Title I high poverty	Elementary	B-Medium	1.656	2.73	4.52	93
Title I high poverty	Elementary	A-Large	2.359	2.73	6.44	112
Title I high poverty	Middle	C-Small	1.126	2.73	3.07	42
Title I high poverty	Middle	B-Medium	2.053	2.73	5.60	32
Title I high poverty	Middle	A-Large	2.991	2.73	8.17	32
Title I high poverty	High	C-Small	1.099	2.73	3.00	28
Title I high poverty	High	B-Medium	2.842	2.73	7.76	39
Title I high poverty	High	A-Large	5.165	2.73	14.10	34
Title I high poverty	Comb		1.361	2.73	3.71	36
Title I high poverty						525
Title I low/med poverty	Elementary	C-Small	1.000	1.00	1.00	70
Title I low/med poverty	Elementary	B-Medium	1.658	1.00	1.66	79
Title I low/med poverty	Elementary	A-Large	2.274	1.00	2.27	60
Title I low/med poverty	Middle	C-Small	1.095	1.00	1.10	27
Title I low/med poverty	Middle	B-Medium	2.054	1.00	2.05	27
Title I low/med poverty	Middle	A-Large	2.865	1.00	2.86	25
Title I low/med poverty	High	C-Small	0.983	1.00	0.98	20
Title I low/med poverty	High	B-Medium	2.931	1.00	2.93	24
Title I low/med poverty	High	A-Large	4.885	1.00	4.89	32
Title I low/med poverty	Comb		1.405	1.00	1.41	23
Title I low/med poverty						387
Total					2.664	1,300

Note: Elementary is defined to have a low grade of Pre-K through 3rd grade, and a high grade of Pre-K through 8th grade. Middle school is defined to have a low grade of 4th through 7th grade, and a high grade of 4th through 9th grade. High school is defined to have a low grade of 7th through 12th, and a high grade of 12th only. Elementary, middle, and high schools were defined using the NCES/CCD definitions. Combined is defined to be the complement set (not elementary, middle, or high, according to the definitions above). For elementary schools, schools with up to 400 enrollment were considered small; schools with enrollment 401 to 600 were medium; and schools with enrollment 601 and above were large. For middle schools, schools with up to 525 enrollment were considered small; schools with enrollment 526 to 800 were medium; and schools with enrollment 801 and above were large. For large schools, schools with up to 700 enrollment were considered small; schools with enrollment 701 to 1,450 were medium; and schools with enrollment 1,451 and above were large. These cutoffs were set to roughly equalize expected sample sizes among the three size categories (within each span set).

This FTE-based allocation had 31 percent of the teacher sample allocated to Non-Title I schools (2,816 teachers), 38 percent to Title I high-poverty schools (3,461 teachers), and 31 percent to Title I low-/medium-poverty schools (2,824 teachers). Note that the FTE percentages are not equal to the actual *eligible* teacher percentage (i.e., percentages for core academic and special education teachers), but at this initial stage only the FTE was known.

Teacher sample sizes were then allocated to individual schools based on the frame FTE as given for the school divided by the school's probability of selection. There was a cutoff of 10 eligible teachers for each school: schools that had an assigned sample size larger than 10 were re-assigned to have 10, and the remaining schools had their sample sizes proportionately increased to achieve the necessary total teacher sample size for each school stratum. Note that this is an iterative process. These sample sizes were then implemented for 'Batch 1': the first 423 schools for which rosters were collected in the first weeks of data collection.

#### ***b. Refining School Sample Size Allocations***

The real school sample size allocations should be based on eligible teacher counts, not the FTE frame. We waited several weeks into data collection to accumulate enough teacher rosters to estimate eligibility rates in a stable fashion. At that point, we recomputed the allocations and then applied these more accurate allocations to the remaining sampled schools (Batches 2 and 3).

After teacher rosters were collected from these first 423 schools, the eligibility rate was computed.<sup>13</sup> We did regression analyses to define which characteristics determined differential eligibility rates. We found that school span was very important: elementary schools and combined schools had relatively high eligibility rates, high schools relatively low eligibility rates, and middle schools were in between. Also size was important for elementary and middle schools. Small elementary and middle schools had higher relative eligibility rates than large elementary and middle schools respectively. Title I status crossed with poverty status was not an important predictor of eligibility rate.

Using this information, eligibility rates (number of eligible teachers divided by number of FTE teachers) were then imputed to all 1,300 of the sampled schools. Estimates of total eligible teachers were generated by taking the sum of the FTE multiplied to these eligibility rates defined within the major school group/school span strata (see paragraph above). This led to updated assigned teacher sample sizes for the major school strata. For example, the assigned teacher sample sizes for high schools were lower than the original assigned teacher sample sizes based on FTE alone, as the eligibility rate for high schools was lower. The new assigned teacher sample sizes by school stratum became normative for the full teacher sampling process.

<sup>13</sup> We waited until a large enough sample was generated to get stable estimates. It should be noted that the batches were not random samples, but were simply based on the order the schools responded to the initial mailing, which went out to all 1,300 schools simultaneously. As such, a school's presence in one of the three batches is self-selected. We have no basis for assuming these batches are different in any way (and found no empirical difference we could adjust for).



Teacher sampling ‘Batch 2’ had 595 sampled schools. Teacher sample sizes were then allocated to individual schools based on the estimated number of eligible teachers (FTE multiplied by estimated eligibility rate) as given for the school, divided by the school’s probability of selection. As with Batch 1, there was a cutoff of 10 eligible sampled teachers for each school: schools that had an assigned sample size larger than 10 were re-assigned to have 10, and the remaining schools had their sample sizes proportionately increased to achieve the necessary total teacher sample size for each school stratum. Again, this is an iterative process. A total of 19,096 teachers were rostered from these schools, and 4,179 were sampled.

The final Batch (Batch 3) did not change the targeted allocations as in Batch 2, but instead changed the within-school allocations. The sample sizes were increased to equal 10 for *all* schools to address perceived shortfalls in teacher roster responses. This maximized the teacher yield for this final batch at the expense of some added design effects. ‘Batch 3’ included 82 sampled schools. A total of 2,778 teachers were rostered from these schools, and 790 were sampled.

Exhibit B.3 summarizes the sampled teachers from the three batches, and how they compared to the final assigned teachers. The overall total of 7,905 sampled teachers fell short of the assigned 9,100 due to school nonresponse.

***c. Sampling Teachers From Rosters***

The sample was implicitly stratified. A sort order was defined, and a systematic sample taken. The first sort variable in this case was whether the teacher was an “ESEA-tested teacher”—that is, a teacher who teaches any class whose students are tested for ESEA accountability requirements. Within the ESEA/non-ESEA tested teacher status, the sort order was by main grade taught and then by primary subject taught or special education status, in a ‘serpentine’ manner.<sup>14</sup> This provided some very limited balance across grades taught, subject, and special education status within ESEA/non-ESEA tested teacher status.

<sup>14</sup>Within the two primary subgroups ESEA/non-ESEA tested teacher status, the sort order for main grade taught was lowest grade to highest grade for ESEA-tested teachers, and highest grade to lowest grade for non-ESEA tested teachers. With the systematic sampling procedure (every  $k^{\text{th}}$  teacher), this minimized the instances of two teachers at the same grade being selected across neighboring cells. The sort order for subjects was, for example, special education to social science within ESEA-grade  $m$ , social science to special education within ESEA-grade  $m+1$ , etc.

**Exhibit B.3. Final assigned and realized teacher sample sizes by school span and major school subgroup**

Title I/poverty status	School span	Assigned teacher sample size final	Batch 1 sampled teachers	Batch 2 sampled teachers	Batch 3 sampled teachers	Total sampled teachers	Ratio final sample to assigned sample
Non-Title I	Elementary	1,077	396	457	60	913	84.77%
Non-Title I	Middle	555	173	277	30	480	86.49%
Non-Title I	High & Other	1,082	300	510	68	878	81.15%
Non-Title I	Total	2,714	869	1,244	158	2,271	83.68%
Title I high poverty	Elementary	1,981	604	984	170	1,758	88.74%
Title I high poverty	Middle	567	147	313	58	518	91.36%
Title I high poverty	High	680	152	338	140	630	92.65%
Title I high poverty	Other	292	96	123	56	275	94.18%
Title I high poverty	Total	3,520	999	1,758	424	3,181	90.37%
Title I low/med	Elementary	1,611	626	680	104	1,410	87.52%
Title I low/med	Middle	533	184	200	50	434	81.43%
Title I low/med	High	527	146	241	40	427	81.02%
Title I low/med	Other	195	112	56	14	182	93.33%
Title I low/med pov	Total	2,866	1,068	1,177	208	2,453	85.59%
Total	Total	9,100	2,936	4,179	790	7,905	86.87%

**C. Survey Response Rates and Weighting**

The surveys were fielded in spring and summer 2014. All states and 99 percent of districts responded to their surveys. Eighty-eight percent of schools provided a teacher roster, and 87 percent of principals responded to their surveys. Eighty percent of teachers responded to their surveys.

The study involves four levels of analysis: states, districts, schools/principals, and teachers. Data from the state survey require no weights, as every state was selected and participated in the study. District, school/principal, and teacher survey data were weighted to generate the estimates found in this report. The district- and school-level estimates in the report are based on “unit-based” weights, which are appropriate when generating estimates to answer the study questions for this report that ask, for example, about the percentage of districts and schools nationwide implementing various school policies or practices.<sup>15</sup> This rest of this section describes the process of developing the final sampling and replicate weights for the district, school/principal, and teacher survey data.

<sup>15</sup> The study team also generated a set of “enrollment-based” weights for the district and school survey data, which incorporate the district or school’s enrollment into the base weight. These weights can be used to make unbiased estimates of total enrollment in districts or schools nationwide. These weights were not used for the analyses in this report, but are available to users through the restricted-use data file available through the IES Data Security Office to licensed users.

## **1. District Weights**

The district weighting process involved developing unit-based sampling and replicate weights, then adjusting these weights to account for survey nonresponse.

### **a. Base Weights**

The base sampling weight for the unit-based district weight is equal to the inverse of the district's probability of selection. When aggregated, these unit-based base sampling weights generate unbiased estimates of total districts.

### **b. Replicate Weights**

While we can use sampling weights alone to obtain approximately unbiased percentage estimates, we needed to apply appropriate variance estimation techniques to produce approximately unbiased estimates of the standard errors (Brick, Morganstein, and Valliant, 2000, p. 2). As a result, we relied on replication methods<sup>16</sup> and generated district replicate weights.

For the 14 districts selected with certainty into the sample (selected with a probability of 1), the replicate weights are equal to the base sampling weights, reflecting a zero variance contribution for district certainties. For the 556 noncertainty districts (selected with a probability less than 1), the replicate weights were generated using the jackknife replication method, with the variance strata based on the ordering of districts on the district frame. Appropriate finite population corrections were incorporated into the replicate weights, following a new procedure applied in the NAEP.<sup>17</sup>

### **c. Nonresponse Adjustments**

We incorporated nonresponse adjustments to the sampling and replicate weights since the district response rate was not 100 percent. District level nonresponse adjustments were done in a single step with calibration adjustments. Nonresponse adjustments are designed to adjust for differential response propensity by placing the sample units in response adjustment cells that are heterogeneous in response propensity across cells and homogeneous in response propensity within cells.<sup>18</sup> Calibration is designed to adjust the nonresponse-adjusted weights to auxiliary control totals. This lowers the variance by calibrating the weights to known auxiliary information with reduced or no variability.<sup>19</sup> For the district weights, the auxiliary information used for calibration was from the sampling frame itself, which has

<sup>16</sup>As noted in Brick et al. (2000), replication involves repeatedly selecting subsamples from the full sample. The desired statistics are computed from each subsample, and the variability among these subsamples or replicate estimates is used to compute the standard error of the full sample estimate (pp. 2-3).

<sup>17</sup>Rizzo, L., and Rust, K. (2011). *Finite population correction (FPC) for NAEP variance estimation*. Proceedings of the Section on Survey Methods, American Statistical Association, 2501-2515.

<sup>18</sup>See, for example, Valliant, R., Dever, J. A., and Kreuter, F. (2013), *Practical Tools for Designing and Weighting Survey Samples*. Springer: <http://www.springer.com>, Section 13.5.

<sup>19</sup>See, for example, Valliant et al. (2013), Section 14.1.

complete information about numbers of schools, students, and teachers based on a complete census from the CCD.<sup>20</sup>

The calibration adjustments were according to a raking process, in which base and replicate weights for responding districts were calibrated to make sure totals matched frame control totals for cells in several dimensions.<sup>21</sup> These raking adjustments were fully nested within the four cells defined by district certainty status and high-/low-poverty status. The two district certainty cells (high poverty, district certainty and low-/medium-poverty, district certainty) are very small and were stand-alone nonresponse cells. Within the remaining two cells (high poverty, district noncertainty and low-/medium-poverty, district noncertainty) the raking dimensions were<sup>22</sup>: district size class (up to six cells<sup>23</sup>); urbanicity (central city, urban fringe, town, rural) (up to four cells); and Census region (Northeast, South, Central, West).

Checks were conducted to confirm that response rates did not differ across other characteristics such as Census division. Checks also were conducted for significant interactions using logistic regression and a data mining tool.<sup>24</sup> The results of these analyses suggested that no adjustments to the raking cells were needed. This allowed us to use the same raking cells for nonresponse adjustment and for calibration, which then allowed for the two adjustments to be done in one single step.<sup>25</sup>

The control totals for the unit-based weights were the district totals for each of the raking cells using the final district frame. The nonresponse and calibration adjusted replicate weights were computed by taking the appropriate district replicate base weights and carrying them through the calibration process with the same control totals for each replicate base weight. This resulted in nonresponse- and calibration-adjusted replicate weights that aligned with the control totals.

## **2. School Weights**

### **a. Base Weights**

For the schools, the base sampling weight for the unit-based weight is equal to the district base weight divided by the conditional school probability (conditional given that the district was selected into the sample). As with the district base weight, the unit-based base weights when aggregated generate unbiased estimates of total schools.

<sup>20</sup> Note that there is no variance, but there are biases as the frame is two to three years old, and the data has measurement error. These effects are small.

<sup>21</sup> See, for example, Valliant et al. (2013), Section 14.2.

<sup>22</sup> The raking cells had a minimum sample size of 10. Some cells were collapsed if the sample sizes had less than 10.

<sup>23</sup> District size class strata were 1 to 500 students; 501 to 1,500 students; 1,501 to 5,000 students; 5,001 to 15,000 students; 15,001 to 50,000 students; 50,001 to 150,000 students. Sometimes these were collapsed.

<sup>24</sup> The data mining tool was WESSEARCH, a tree creation algorithm, dividing the universe into response cells based on the school or teacher characteristics.

<sup>25</sup> See for example Valliant et al. (2013), p. 386.

### ***b. Replicate Weights***

Within the noncertainty districts, district selection is the first stage of selection. Schools are the second stage of selection. For variance estimation purposes, the key level to capture is always the first stage of selection. In this case, it is the district selection: the replicate weights should primarily reflect noncertainty district sampling. The variance from the district sampling is correctly measured by the district replicate weights, which are then multiplied by the conditional school selection factor (the inverse of the conditional school probability of selection) to get to the school level. But the finite populations corrections at the school level are not properly reflected by the adjusted district replicate weights, so an extra set of school-specific replicate weights to reflect properly the school finite population correction was needed.<sup>26</sup> The unit-based school-level replicate-based weights for noncertainty district schools were computed by taking the school base weights described in the previous section and replacing the district base weight with the corresponding district replicate base weight.

Within the certainty districts, school selection is the first stage of selection. The schools were sampled using the district as strata. The starting point for the school replicate base weights is the school base sampling weight. This is perturbed to reflect school-level selection within the certainty districts. Finite population corrections for school-level selection were also included.

### ***c. Nonresponse Adjustments***

There were two types of school nonresponse. The first was school principal survey response. The second was teacher roster listing response. Two sets of weights were generated with nonresponse adjustments for both of these types of nonresponse.<sup>27</sup>

School level nonresponse adjustments was done in a single step with poststratification adjustments. These adjustments were according to a raking process, which raked the unit-based school base weights and the school replicate weights for the responding schools to control totals for cells in several dimensions. The original school frame (before subsetting to the sampled districts) was used to provide these control totals. The unit-based school weights were raked to school counts within each cell.

The raking was done separately within the following three primary cells: non-Title I schools, Title I schools with high school-level poverty, and Title I schools with low/medium school-level poverty. This improved precision as much as possible for these three important school analysis groups. School-level high-poverty status is defined as schools with greater than 71.31 percent of students eligible for FRPL.<sup>28</sup> The three dimensions consist of cells determined by the following school-level characteristics:<sup>29</sup>

- School Size (Small, Medium, Large) nested with School Span (Elementary, Middle, High School, Other);

<sup>26</sup> See Rizzo, L, and Rust, K. (2011).

<sup>27</sup> The school level findings were weighted using the nonresponse-adjusted weight related to principal survey response. The second school-level weight related to teacher roster was used as an input to the teacher weights.

<sup>28</sup> 71.31 percent is the 75th weighted percentile in the school frame for the percentage of students eligible for FRPL.

<sup>29</sup> Raking cells had a minimum sample size of 10. Smaller cells were collapsed with other cells.

- Census Region (Northeast, Central, South, West) crossed with Urbanicity (Central City; Urban Fringe; Town; Rural).

The schools with principal survey response had their unit-based base weights raked to these controls. The schools with completed teacher rosters also had their unit-based base weights raked to these controls. The corresponding replicate weights also were raked to the same control totals.

### **3. Teacher Weights**

#### **a. School-Level Full-Time Equivalent Teacher-Based Weights**

The development of the teacher weights begins with the construction of an FTE teacher-based weight at the school level. These were only designed to be an intermediate weight towards final teacher weights since we do not have a sampling frame for teachers beyond the completed teacher rosters from the sampled schools.

At the school level, FTE teacher-based base sampling weights were generated by multiplying a school's FTE teacher count by the school's unit-based base sampling weight. FTE teacher-based replicate and nonresponse-adjusted weights were generated using a similar process as the unit-based school weight. For the raking process, the FTE teacher-based school weights were raked to FTE teacher counts within each raking cell.

#### **b. Teacher-Level Weights**

Teacher-level base sampling weights were generated based on two factors. The first factor was the final non-response-adjusted FTE teacher-based school weight, with the FTE teacher count of the school divided out. The second factor was the reciprocal of the within-school teacher sampling rate: the teacher's probability of selection conditional on school selection. The resultant teacher base weight is the reciprocal of the product of the school's probability of selection and the teacher's conditional probability of selection, adjusted for school nonresponse for the teacher roster and calibration. Similar calculations were done to compute teacher replicate base weights, except that the final nonresponse-adjusted FTE teacher-based school weight divided by the FTE teacher count was replaced by the corresponding final nonresponse-adjusted FTE teacher-based school replicate weight, with the FTE teacher count again divided out.

#### **c. Nonresponse Adjustments**

The final step was to carry out teacher-level nonresponse adjustments by calibrating (raking) the teacher weights to teacher-level control totals for the following control cells:

- Main grade taught within school span (elementary, middle, high, combined);
- Primary subject taught (general elementary, reading/ELA, math, science, social studies, or special education) within school span; and
- Whether the teacher taught a class whose students were tested for accountability requirements under ESEA (i.e., ESEA testing status) within school span.

Note that these were all defined at the individual teacher level: different eligible teachers in a single school will be assigned to different control cells based on their teacher characteristics (main grade taught, main subject taught, ESEA testing status).

The control totals were generated by taking the summation over the teacher frames (i.e., teacher rosters) from the sampled schools that submitted a teacher roster over all eligible teachers in all teacher-roster responding schools in the same control cells listed above.

The weights used in the aggregation of teachers in these teacher frames are the final-nonresponse-adjusted FTE teacher-based school weights. These aggregations become estimates over the full set of all public schools of the number of teachers in these cells. Thus, the nonresponse-adjusted weights of responding teachers are calibrated to add to these estimates of all teachers in all schools with the same characteristics.

The replicate teacher base weights also were calibrated in the same way. In this case though the control totals are replicate control totals, i.e., they are aggregations over the teacher frames from the sampled schools that submitted a teacher roster, but the school weight used was the replicate nonresponse-adjusted FTE teacher-based school weight. These replicate control totals thus reflect the variability in these control totals as national estimates from the school sampling process (and from the effects on variance of school variance). Calibrating the replicate teacher base weights to these control totals then incorporates these variance components into the final teacher weights.

## **D. Statistical Tests Used**

In this section, we describe the statistical tests run to test for significant differences in the district, school, and teacher data by subgroups of interest. Statistical testing was not required to examine the state data because those data are universe data from all 50 states and the District of Columbia. At the district and school-levels, the statistical tests were run using the final unit-based replicate weights. At the teacher level, the statistical tests were run using the final replicate weights. These replicate weights take into account the complex sample design and nonresponse adjustments.

Statistical tests comparing differences across subgroups were conducted by testing the null hypothesis of no difference in the particular item percentage of interest, between the two subgroups. The null hypothesis of no difference was tested by taking the calculated difference in percentages divided by the replicate variance for this difference, and computing a two-sided  $p$ -value (assuming a  $t$ -distribution with degrees of freedom equal to the number of replicate weights). This procedure accounts correctly for the covariance that may exist between the domain means. In the report, we note where statistical differences between subgroups were statistically significant at the  $p < .05$  level.

## References

- Brick, M., Morganstein, D., & Valliant, R. (2000). *Analysis of Complex Sample Data Using Replication*. Rockville, MD: Westat.
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## Survey Instruments

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## **State Survey**

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OMB#: 1850-0902

Expiration Date: 02/28/2017

# *Implementation of Title I/II Program Initiatives*

## **Survey of State Education Agencies ESEA Flexibility Version**

**2013-2014**



### **Paperwork Reduction Act of 1995**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Education Department General Administrative Regulations, Sections 75.591 and 75.592). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1850-0902. Note: Please do not return the completed survey to this address.

### **Notice of Confidentiality**

Information collected for this study comes under the confidentiality and data protection requirements of the Institute of Education Sciences (The Education Sciences Reform Act of 2002, Title I, Part E, Section 183). Responses to this data collection will be used only for statistical purposes. The reports prepared for this study will summarize findings across the sample and will not associate responses with a specific individual. We will not provide information that identifies you to anyone outside the study team, except as required by law.

## Introduction

The **Implementation of Title I/II Program Initiatives** study will examine the implementation of policies promoted through the Elementary and Secondary Education Act (ESEA) at the state, district, and school levels, in four core areas: state content standards, assessments, school accountability and turning around low-performing schools, and teacher and principal evaluation. The study will serve as an update on implementation of the Title I and Title II provisions since the last national assessment that concluded in 2006. The study includes surveys of officials from all state education agencies and district officials, school principals, and core academic and special education teachers from nationally representative samples of schools and districts. The United States (U.S.) Department of Education, Institute of Education Sciences (IES) is sponsoring this study. We recognize the burden placed on states in the coming year. The study team has worked to reduce the burden on this survey as much as possible. The study team wants to reiterate the need for collecting this data.

- This survey includes four sections aligned with four core areas. Given the scope of topics, the survey will likely require more than one respondent.
- Your state’s responses are critical to drawing lessons about the implementation of ESEA.
- States may be identified in reporting but individual respondents will not be identified. We will survey your state again at a later date to examine changes over time.

The study, including this survey, is being conducted by Westat and its partners, Mathematica Policy Research and edCount.

**NOTE: SOME TEXT IN THIS SURVEY WILL BE CUSTOMIZED AS FOLLOWS DEPENDING ON WHETHER THE STATE HAS ADOPTED THE COMMON CORE STATE STANDARDS (CCSS) FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH.**

**IF THE STATE HAS ADOPTED THE CCSS IN ELA OR MATH, THE QUESTIONNAIRE WILL SAY “COMMON CORE STATE STANDARDS (CCSS)” OR “CCSS” WHERE NOTED.**

**IF THE STATE HAS NOT ADOPTED THE CCSS IN ELA OR MATH, THE QUESTIONNAIRE WILL SAY “CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH” OR “CURRENT STATE CONTENT STANDARDS” WHERE NOTED.**

## Section 1. State Content Standards

### DEFINITIONS FOR USE THROUGHOUT THIS SECTION:

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**Diagnostic assessments** are assessments that measure students' knowledge and skills at interim points during the school year to provide timely feedback on their progress toward grade-level content standards so that instruction can be adjusted or other support can be provided.

Many states have recently adopted the Common Core State Standards (CCSS)—that is, content standards for English language arts (ELA) and Math that are shared across these states. [CCSS STATES: The CCSS also may be known as your state's recently revised college and career ready standards in ELA and Math, core academic standards in ELA and Math, or something similar. Since your state may have its own name for the CCSS, in this survey we refer to these standards simply as the Common Core State Standards or CCSS.] Other states have substantially revised their own state content standards for ELA and Math in recent years. This section includes questions about your state's content standards and the materials, professional development, and resources your state has provided to support implementation of those standards.

1-1. In the past 12 months, has your state legislature, state education department, or state board of education adopted or approved new or substantially revised state content standards in the following subjects?

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. English language arts (ELA) .....	1	0
b. Math.....	1	0

1-2. Some states' content standards for ELA and Math are entirely Common Core State Standards (CCSS), some are entirely state specific, and others use a combination of the two. Are your current state content standards for ELA and Math all Common Core, all state specific, or a combination of Common Core and state specific standards?

SELECT ONE RESPONSE IN EACH ROW

	STATE STANDARDS ARE ALL COMMON CORE	STATE STANDARDS ARE ALL STATE SPECIFIC	STATE STANDARDS ARE A COMBINATION OF COMMON CORE AND STATE SPECIFIC STANDARDS
a. ELA.....	1	2	3
b. Math .....	1	2	3

**1-3. Does your state currently require all districts to implement curricula (in some or all grades) aligned with the state content standards for ELA and Math?**

Yes ..... 1  
 No ..... 0 → Skip to 1-5

**1-4. During this school year (2013-14), are districts required to fully implement ELA and Math curricula that are aligned with the [COMMON CORE STATE STANDARDS/CURRENT STATE CONTENT STANDARDS]? (Indicate for each grade level whether full implementation is required this school year.)**

SELECT ONE RESPONSE IN EACH ROW

ELA Curricula	FULL IMPLEMENTATION IS REQUIRED IN 2013-14	FULL IMPLEMENTATION IS NOT REQUIRED IN 2013-14
a. Pre-K.....	1	0
b. Kindergarten .....	1	0
c. Grade 1.....	1	0
d. Grade 2.....	1	0
e. Grade 3.....	1	0
f. Grade 4.....	1	0
g. Grade 5.....	1	0
h. Grade 6.....	1	0
i. Grade 7.....	1	0
j. Grade 8.....	1	0
k. Grade 9.....	1	0
l. Grade 10.....	1	0
m. Grade 11.....	1	0
n. Grade 12.....	1	0
Math Curricula	FULL IMPLEMENTATION REQUIRED IN 2013-14	FULL IMPLEMENTATION IS NOT REQUIRED IN 2013-14
a. Pre-K.....	1	0
b. Kindergarten .....	1	0
c. Grade 1.....	1	0
d. Grade 2.....	1	0
e. Grade 3.....	1	0
f. Grade 4.....	1	0
g. Grade 5.....	1	0
h. Grade 6.....	1	0
i. Grade 7.....	1	0
j. Grade 8.....	1	0
k. Grade 9.....	1	0
l. Grade 10.....	1	0
m. Grade 11.....	1	0
n. Grade 12.....	1	0



1-5. In the past 12 months, has your state legislature, state education department, or state board of education adopted or approved new or substantially revised state content standards in the following subjects?

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Science .....	1	0
b. Social Studies .....	1	0

1-6. Has your state legislature, state education department, or state board of education adopted the Next Generation Science Standards?

Yes ..... 1  
No ..... 0

1-7. In the past 12 months, has your state legislature, state education department, or state board of education adopted or approved new or substantially revised English Language proficiency standards for English learners (ELs)?

Yes ..... 1  
No ..... 0

Next we would like to ask you about your state’s course requirements for high school graduation.

1-8. For students graduating in 2014 (current seniors), how many years of coursework in each of the following subjects does the state require for a standard or regular high school diploma?

SELECT ONE RESPONSE IN EACH ROW

	YEARS OF COURSEWORK REQUIRED								
	NONE	0.5	1	1.5	2	2.5	3	3.5	4
a. ELA .....	0	0.5	1	1.5	2	2.5	3	3.5	4
b. Math .....	0	0.5	1	1.5	2	2.5	3	3.5	4
c. Science .....	0	0.5	1	1.5	2	2.5	3	3.5	4
d. Social Studies/History .....	0	0.5	1	1.5	2	2.5	3	3.5	4
e. World/Foreign Language .....	0	0.5	1	1.5	2	2.5	3	3.5	4
f. Arts (Music, Drama, Fine Arts, other arts) .....	0	0.5	1	1.5	2	2.5	3	3.5	4
g. Physical Education .....	0	0.5	1	1.5	2	2.5	3	3.5	4

1-9. For students graduating in 2014 (current seniors), please indicate the specific Math courses that are *required* for a standard or regular high school diploma (*if specified in state requirements*).

(Select “No” for the courses listed if particular Math courses are not specified in state requirements for a standard or regular high school diploma.)

SELECT ONE RESPONSE IN EACH ROW		
	YES	NO
a. Algebra I .....	1	0
b. Geometry .....	1	0
c. Algebra II .....	1	0
d. Pre-Calculus.....	1	0
e. Calculus I .....	1	0
f. Other (specify) .....	1	0
_____		

1-10. Next, think about the graduation requirements for this year’s freshman class (students who entered high school in fall 2013) compared to the graduation requirements for this year’s senior class (students who entered high school in fall 2010).

In what ways are your state’s course requirements for a standard or regular high school diploma for this year’s freshmen different than they are for this year’s seniors? That is, compared to this year’s seniors, are any of the following different for this year’s freshmen, and in what ways?

SELECT ONE RESPONSE IN EACH ROW			
	GRADUATION REQUIREMENTS HAVE INCREASED	GRADUATION REQUIREMENTS HAVE DECREASED	GRADUATION REQUIREMENTS HAVE NOT CHANGED
a. Required years of ELA.....	2	1	0
b. Required years of Math .....	2	1	0
c. Required years of Science.....	2	1	0
d. Required years of Social Studies/History.....	2	1	0
e. Specific required courses in Math .....	2	1	0
f. Specific required courses in Science.....	2	1	0
g. Other course requirements (specify).....	2	1	0
_____			

**1-11. Which of the following strategies does your state currently use to evaluate how well the [COMMON CORE STATE STANDARDS (CCSS) FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH] prepare students for college and/or careers?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Track employment rates of students after graduation.....	1	0
b. Track enrollment in postsecondary education (two- and four-year programs) .....	1	0
c. Track rates at which postsecondary students take remedial courses .....	1	0
d. Track postsecondary persistence rates (two- and four-year programs).....	1	0
e. Track students' postsecondary degree attainment within specified time since enrollment (two- and four-year programs).....	1	0
f. Something else (specify) .....	1	0

---

Next we would like to ask you about materials, training, and resources for district administrators, school leaders, and teachers to help them implement the [COMMON CORE STATE STANDARDS (CCSS) FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH].

1-12. During this school year (2013-14), which of the following materials has the state made available to help district administrators, school leaders, and teachers understand the [COMMON CORE STATE STANDARDS (CCSS) FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH] and/or change curriculum and instruction based on these standards?

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO
-----	----

**Materials to help align curriculum and instruction with the content standards**

a. Documents showing alignment between the previous state standards and the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
b. Documents showing alignment between required state summative assessments and the [CCSS/ CURRENT STATE CONTENT STANDARDS] such as blueprints .....	1	0
c. Tools or guidance on providing instruction aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] such as scope and sequence, curriculum maps, or frameworks .....	1	0
d. A state-developed model curriculum for ELA or Math instruction for each grade level or course .....	1	0
e. Sample lesson plans consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] ....	1	0
f. Examples or videos of instruction consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
g. Sample student work .....	1	0
h. Sample performance tasks for formative assessment purposes including rubrics or scoring guides.....	1	0
i. Banks of diagnostic assessment items aligned with [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
j. Textbooks or other instructional materials aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0

**Materials to facilitate instruction for special populations**

k. Documents showing alignment between the [CCSS/ CURRENT STATE CONTENT STANDARDS] and the state’s English Language Proficiency standards .....	1	0
l. Materials for understanding how to adapt instruction to help English learners meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
m. Materials for understanding how to adapt instruction to help students with disabilities meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0

**Other materials**

n. Walk-through or observation protocols to aid in monitoring alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
o. Something else (specify) .....	1	0

**1-13. During this school year (2013-14) and including last summer (2013), has the state funded or provided professional development on the following topics related to the [COMMON CORE STATE STANDARDS (CCSS) FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH]?**

SELECT ONE RESPONSE IN EACH ROW

YES	NO
-----	----

**Professional development topics**

a. Information about the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as content covered at each grade level and instructional changes or shifts required ...	1	0
b. Instructional strategies consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as model lessons or designing student work .....	1	0
c. Adapting instruction to help English learners meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
d. Adapting instruction to help students with disabilities meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
e. Using student assessment data to improve instruction.....	1	0
f. Monitoring alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as the use of observation protocols.....	1	0

**1-14. Through which methods did the state fund or provide the professional development on the topics listed above?**

SELECT ONE RESPONSE IN EACH ROW

YES	NO
-----	----

**Method of delivery of professional development**

a. Statewide or regional/county conference(s) on these topics .....	1	0
b. Presentation(s) via webinar or video recording(s) on these topics.....	1	0
c. Instructional coaches that worked with teachers or teams of teachers on these topics .....	1	0
d. Training of selected district staff, who provided the information to others in the district on these topics (train the trainer approach).....	1	0
e. Some other mode (specify) .....	1	0

---

1-15. During this school year (2013-14), in which of the following ways does the state monitor the implementation of the [COMMON CORE STATE STANDARDS (CCSS) FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH]?

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. State requires districts to provide evidence of curriculum revisions .....	1	0
b. State requires districts to use a state model curriculum.....	1	0
c. State staff conduct visits or observations in districts .....	1	0
d. State reviews the district and school results of statewide student assessments that are aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
e. State requires teacher evaluations to include evidence of teaching approaches consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
f. State requires principal evaluations to include evidence that the [CCSS/ CURRENT STATE CONTENT STANDARDS] have been implemented in their schools .....	1	0
g. Other (specify) .....	1	0

Please provide the following information for each state education department staff member who assisted with the completion of this survey section.

Name	Position Title	Number of years in the position

## Section 2. Assessments

**DEFINITIONS FOR USE THROUGHOUT THIS SECTION:**

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**Student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:

1. **Value added measures (VAMs) or student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher's own students based on state summative assessments or other standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
2. **Student learning objectives (SLOs) or student growth objectives (SGOs)** are achievement targets for a teacher's own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher's assessment of the students' starting achievement levels. SLOs/SGOs may relate to students' scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

In this section of the survey, we will ask about the assessments your state requires districts to administer, any recent changes in those assessments, and the support you are providing to districts and schools for required assessment activities.

2-1. For this school year (2013-14), did your state require districts to assess children's academic readiness at kindergarten entry? By kindergarten entry assessment, we mean any test, survey, observation, or formal collection of quantitative data about the child's development and achievement at about the time of kindergarten entry.

Yes ..... 1

No ..... 0 → Skip to 2-3

**2-2. In what areas were districts required to assess children at kindergarten entry?**

SELECT ONE RESPONSE IN EACH ROW

	YES	NO
a. Language and literacy.....	1	0
b. Cognition and general knowledge.....	1	0
c. Early mathematics.....	1	0
d. Early scientific development .....	1	0
e. Approaches toward learning .....	1	0
f. Social and emotional development.....	1	0
g. Physical well-being and motor development (including adaptive skills) .....	1	0

**2-3. Has your state developed (or made available) an assessment or battery of assessments that districts can use to assess children at kindergarten entry?**

Yes ..... 1  
 No ..... 0

Next, we will ask about required state summative assessments in kindergarten through grade 8.

**2-4. During this school year (2013-14), what subjects are assessed using summative assessments statewide and in which grades between kindergarten and grade 8?**

SELECT ALL GRADES THAT APPLY IN EACH ROW  
 OR SELECT "0" IF THERE IS NO STATE ASSESSMENT IN ANY OF THE GRADES

	GRADE LEVEL										NO STATE ASSESSMENT IN ANY OF THESE GRADE LEVELS
a. English language arts (ELA).....	K	1	2	3	4	5	6	7	8		0
b. Math .....	K	1	2	3	4	5	6	7	8		0
c. Science.....	K	1	2	3	4	5	6	7	8		0
d. Social Studies .....	K	1	2	3	4	5	6	7	8		0



Next, we would like to ask you about your state’s exam requirements for a standard or regular high school diploma (not a GED).

2-5. For students graduating in 2014 (current seniors), does your state require students to either take or pass any statewide exams in order to receive a standard or regular high school diploma?

- Yes ..... 1
- No ..... 0

2-6. Indicate the types of exams required in high school, whether they are required for a standard or regular high school diploma, and list the subjects included in each type of exam.

SELECT ONE RESPONSE IN EACH ROW

Types of High School Exams:	STUDENTS MUST PASS EXAM(S)	STUDENTS MUST TAKE EXAM(S) BUT THOSE NOT PASSING MAY EARN A STANDARD/REGULAR DIPLOMA IN OTHER WAYS	STUDENTS MUST TAKE EXAM(S) BUT NO THRESHOLD SCORE REQUIRED	THIS EXAM IS NOT REQUIRED
a. End-of-course subject tests ..... What subject tests are used for graduation purposes? (list those subjects) _____ _____	3	2	1	0
b. A college entrance exam (SAT or ACT) .....	3	2	1	0
c. Comprehensive exam, exit exam, or grade specific exam .....	3	2	1	0
d. Other (specify)..... _____ _____	3	2	1	0

**2-7. Do state requirements for a standard or regular high school diploma (not a GED) include any of the following non-course-unit form of student achievement evidence?**

SELECT ONE RESPONSE IN EACH ROW

Requirements for a Standard or Regular High School Diploma	REQUIRED FOR ALL STUDENTS	AVAILABLE OPTION FOR ANY STUDENT	AVAILABLE OPTION ONLY FOR ELIGIBLE STUDENTS WITH DISABILITIES OR ENGLISH LEARNERS	NOT AN OPTION FOR ANY STUDENT
a. Alternative state assessment or the use of substitute scores from another assessment ...	3	2	1	0
b. Portfolio of coursework or end-of-course project(s) .....	3	2	1	0
c. Individual waivers or appeals of exit exam requirements.....	3	2	1	0
d. Other (specify).....	3	2	1	0

---

2-8. What question formats are used in your state summative assessments in each content area from kindergarten through grade 8 and for high school end-of-course and exit exams? Four formats are defined below.

(In each row, select the grades in which that particular question format is used or select “NA (Not Applicable)” if this type of format is not used at any grade level in the designated subject.)

**TYPES OF QUESTIONS-RESPONSES:**

- **Single-step selected-response (multiple choice):** Includes questions in which students select from one set of response choices (for example, multiple choice or true-false)
- **Multiple-step selected-response:** Includes multiple choice questions that build on one another. Students select a response to the first question and the next question builds on that response. May involve scaffolding across these opportunities (for example, identify the theme of a passage, then identify two pieces of evidence from the passage for that theme)
- **Short constructed-response or grid-in:** Includes fill in the blank, or writing from one word to a few sentences in response to a prompt or single-step math or science item. Some math or science items require students to calculate an answer and then use a number grid to indicate that answer
- **Extended constructed-response:** Includes essay questions or questions where two or more paragraphs are written in response to a prompt or a multi-step show-your-work math or science item

SELECT ALL GRADE LEVELS THAT APPLY IN EACH ROW

GRADE LEVEL – K THROUGH 8TH	HIGH SCHOOL	NA
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**English Language Arts (ELA)**

a. Single-step selected-response (multiple choice).....	K	1	2	3	4	5	6	7	8	HS	na
b. Multiple-step selected-response.....	K	1	2	3	4	5	6	7	8	HS	na
c. Short constructed-response or grid-in .....	K	1	2	3	4	5	6	7	8	HS	na
d. Extended constructed-response .....	K	1	2	3	4	5	6	7	8	HS	na

**Math**

e. Single-step selected-response (multiple choice).....	K	1	2	3	4	5	6	7	8	HS	na
f. Multiple-step selected-response.....	K	1	2	3	4	5	6	7	8	HS	na
g. Short constructed-response or grid-in .....	K	1	2	3	4	5	6	7	8	HS	na
h. Extended constructed-response .....	K	1	2	3	4	5	6	7	8	HS	na

**Science**

i. Single-step selected-response (multiple choice).....	K	1	2	3	4	5	6	7	8	HS	na
j. Multiple-step selected-response.....	K	1	2	3	4	5	6	7	8	HS	na
k. Short constructed-response or grid-in .....	K	1	2	3	4	5	6	7	8	HS	na
l. Extended constructed-response .....	K	1	2	3	4	5	6	7	8	HS	na

SELECT ALL GRADE LEVELS THAT APPLY IN EACH ROW

GRADE LEVEL – K THROUGH 8TH	HIGH SCHOOL	NA
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**Social Studies**

m. Single-step selected-response (multiple choice).....	K	1	2	3	4	5	6	7	8	HS	na
n. Multiple-step selected-response.....	K	1	2	3	4	5	6	7	8	HS	na
o. Short constructed-response or grid-in .....	K	1	2	3	4	5	6	7	8	HS	na
p. Extended constructed-response .....	K	1	2	3	4	5	6	7	8	HS	na

**2-9. During this school year (2013-14), how have your state’s summative assessments in ELA and Math been aligned with the [COMMON CORE STATE STANDARDS/CURRENT STATE CONTENT STANDARDS] in these areas?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. The state is using summative assessments that are fully aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] in ELA and Math.....	1	0
b. The state has developed crosswalks showing alignment between the [CCSS/ CURRENT STATE CONTENT STANDARDS] and on the state’s summative assessments in ELA and Math .....	1	0
c. The state’s summative assessments include some items measuring [CCSS/ CURRENT STATE CONTENT STANDARDS] in ELA and Math.....	1	0
d. The state is using the pilot or field test version of the assessments developed by one of the assessment consortia (Smarter Balanced Assessment Consortium -- SBAC -- or Partnership for Assessment of Readiness for College and Careers -- PARCC) for accountability purposes.....	1	0
e. The state is using the pilot or field test version of the assessments developed by one of the assessment consortia (SBAC or PARCC) but <u>NOT</u> for accountability purposes.....	1	0
f. The state’s summative assessments have not been changed to reflect the [CCSS/ CURRENT STATE CONTENT STANDARDS] in ELA and Math.....	1	0
g. Other (specify)..... _____	1	0

2-10. Which, if any, of the following summative assessments will your state require districts to use in 2014-15 (in any grade level) to gauge student achievement in ELA and/or Math?

SELECT ONE RESPONSE IN EACH ROW

ELA ONLY	MATH ONLY	BOTH ELA AND MATH	NEITHER
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**General State Assessments**

a. Assessments developed by the Smarter Balanced Assessment Consortium (SBAC) .....	1	2	3	0
b. Assessments developed by the Partnership for Assessment of Readiness for College and Careers (PARCC) .....	1	2	3	0
c. Our state's own summative assessments .....	1	2	3	0

**Alternate Assessments for Students with Significant Cognitive Disabilities**

d. Alternate assessments for students with significant cognitive disabilities developed by the National Center and State Collaborative (NCSC).....	1	2	3	0
e. Alternate assessments for students with significant cognitive disabilities developed by the Dynamic Learning Maps (DLM) consortium .....	1	2	3	0
f. Our state's own alternate assessments for students with significant cognitive disabilities .....	1	2	3	0

2-11. During this school year (2013-14), has the state made investments in new technology or assisted districts with acquiring technology needed to implement the required state summative assessments in ELA and/or Math?

SELECT ONE RESPONSE IN EACH ROW

YES	NO
-----	----

a. State provided new funding or assistance with acquiring expanded bandwidth for schools to provide broader and quicker access to internet resources .....	1	0
b. State provided new funding or assistance with acquiring computers (desktops, laptops, or tablets) .....	1	0
c. New state funding to districts was specifically earmarked for technology .....	1	0

Next we'd like you to think about your policies for state summative assessments for English learners and students with disabilities.

2-12. Which statement(s) below describe accommodations for state summative assessments that your state allows for English learners (ELs) in the content areas of English language arts (ELA) and/or Math?

*(If ELs are given an accommodation for either ELA or Math, or only in certain grades, mark "Yes." If ELs are given the same assessments as other general education students, without any accommodations, check box below.)*

**Not applicable, no accommodations** → Skip to 2-14

			SELECT ONE RESPONSE IN EACH ROW	
			YES	NO
a.	ELs are given the same assessments as other general education students, but they may be <b>given extra time</b> .....		1	0
b.	ELs are given the same assessments as other general education students, but an <b>adult may read the assessment aloud in English</b> .....		1	0
c.	ELs are given the same assessments as other general education students, but an <b>adult may translate the <u>instructions</u> into the student's primary language</b> .....		1	0
d.	ELs are given the same assessments as other general education students, but an <b>adult may translate the <u>reading passages</u> into the student's primary language</b> ....		1	0
e.	ELs are given the same assessments as other general education students, but an <b>adult may translate the <u>entire assessment</u> into the student's primary language</b> ...		1	0
f.	ELs are given the same assessments as other general education students, but the <b>assessment booklet (or online version) can be provided in the student's primary language</b> .....		1	0
g.	ELs are given the same assessments as other general education students, but they can <b>use a dual-language dictionary</b> during the assessment.....		1	0
h.	ELs are given <b>an alternate assessment</b> .....		1	0
i.	Other (specify)..... <hr style="width: 60%; margin-left: 0;"/>		1	0

**2-13. What criteria are used to determine whether ELs should be provided with an accommodation for state summative assessments or an alternate assessment?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Beyond a particular grade level, ELs are given the same assessments as other general education students, without any accommodations (if yes, specify grade level)..... _____	1	0
b. Once ELs have been assessed using an accommodation or alternate assessment for the maximum number of years allowed, they are given the same assessments as other general education students, without any accommodations (if yes, specify number of years)..... _____	1	0
c. Once ELs meet or exceed a threshold score on an English language proficiency assessment, they are given the same assessments as other general education students, without any accommodations.....	1	0
d. School districts must assess certain ELs using either an accommodation or an alternate assessment .....	1	0
e. School districts determine whether or not to use an accommodation or an alternate assessment for ELs.....	1	0
f. Other (specify)..... _____	1	0

**2-14. Which, if any, of the following English Language Proficiency assessments will your state use in 2014-15 (in any grade level) for English learners?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. The English Language Proficiency assessment developed by the Assessment Services Supporting ELs through Technology Systems (ASSETS) consortium.....	1	0
b. The English Language Proficiency assessment developed by the English Language Proficiency Assessment for the 21st Century (ELPA21) consortium .....	1	0
c. Our state’s own English Language Proficiency assessment.....	1	0

2-15. Thinking about the administration of state summative assessments to students with disabilities (SWDs), which statement(s) below describe accommodations for summative assessments or alternate assessments that your state allows for SWDs in the content areas of ELA and Math?

(If SWDs are given the same assessments as other general education students, without any accommodations, check box below.)

Not applicable, no accommodations → Skip to 2-16

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. SWDs are given the same assessments as other general education students, but they may be <b>given flexibility in timing or scheduling</b> (for example, extended time, breaks, different time of day) .....	1	0
b. SWDs are given the same assessments as other general education students, but <b>they may be presented differently</b> (for example, an adult may read the entire test or reading passages aloud, directions may be repeated, may be presented in Braille) .....	1	0
c. SWDs are given the same assessments as other general education students, but they <b>may respond in a different manner</b> (for example, an adult may serve as a scribe, or they may use speech-to-text) .....	1	0
d. SWDs are given the same assessments as other general education students, but they <b>may use equipment or materials to assist them</b> (for example, a calculator, math tables, or manipulatives) .....	1	0
e. SWDs are given the same assessments as other general education students, but in a <b>different setting</b> (for example, in a separate room or study carrel, or in a small group setting) .....	1	0
f. SWDs may be given an <b>alternate assessment based on <u>modified</u></b> state achievement standards (known as 2% tests for SWDs) .....	1	0
g. SWDs may be given an <b>alternate assessment based on <i>alternate</i></b> state achievement standards (known as 1% tests for students with significant cognitive disabilities) .....	1	0
h. SWDs may be assessed by <b>submitting a portfolio</b> of their work.....	1	0
i. SWDs may be assessed by a <b>task-based performance assessment</b> .....	1	0
j. Other (specify) .....	1	0



**2-16. Does your state currently have a statewide longitudinal data system that includes a consistent identifier for each student in the state and individual student records that can track student achievement and other education data across districts and over time?**

Yes .....1

No .....0 → Skip to 2-20

**2-17. During this school year (2013-14), what information is available in the state’s student-level longitudinal data system?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. State summative assessment scores and demographic information for each student .....	1	0
b. Teacher identifiers that indicate, for each student, the teacher(s) responsible for each grade and course.....	1	0
c. Data on individual students linked from state or local early childhood education program systems, such as pre-kindergarten or Head Start programs .....	1	0
d. Courses taken and grades received for each high school student .....	1	0
e. Advanced Placement test scores or college entrance exam scores for each high school student .....	1	0
f. Linked data for individual students who enroll in state postsecondary institutions .....	1	0
g. Linked data on individual students from state workforce or unemployment insurance systems .....	1	0
h. Information on the individual student’s teacher of record that links to a state database on individual teachers .....	1	0
i. Other (specify) .....	1	0
_____		

**2-18. For which of the following purposes are data in the state’s student-level longitudinal data system currently used by state-level staff?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. To track overall school performance and identify areas for improvement .....	1	0
b. To monitor the progress of English Learners (ELs) and students with disabilities (SWDs).....		
c. To evaluate instructional programs such as measuring program effectiveness.....	1	0
d. To inform professional development offerings such as identifying specific content or skills where teachers need assistance or support.....	1	0
e. To evaluate the success of professional development offerings for teachers or principals.....	1	0
f. To inform resource allocation such as which schools and students receive which programs or which staff work with which students.....	1	0
g. To provide information to teachers about their students’ progress .....	1	0
h. To provide information to parents about the school or their children.....	1	0
i. To provide information to students about their own progress .....	1	0
j. To track students’ postsecondary enrollment and progress after high school graduation such as credits earned in public colleges or universities in your state...	1	0
k. To provide information to federal agencies (e.g., ED Facts).....	1	0
l. Something else (specify) .....	1	0

---

**2-19. During this school year (2013-14), what information has the state provided to districts from the state’s student-level longitudinal data system?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Student achievement growth reports on individual <u>schools</u> using value added models (VAMs) or student growth percentiles (SGPs).....	1	0
b. Student achievement growth reports on individual <u>teachers</u> using value added models (VAMs) or student growth percentiles (SGPs).....	1	0
c. Student achievement growth reports on different <u>subgroups</u> of students using value added models (VAMs) or student growth percentiles (SGPs) .....	1	0
d. Postsecondary outcomes associated with districts and schools.....	1	0

**2-20. Does the state require districts to implement a district data system, or technologically based tools that provide school leaders and teachers with data to manage continuous instructional improvement efforts?**

Yes .....1  
 No .....0

**2-21. During this school year (2013-14), did the state provide any of the following funding, materials, or technical assistance to help district administrators, school leaders, and teachers use data to improve instruction?**

SELECT ONE RESPONSE  
 IN EACH ROW

	YES	NO
a. Funding for or direct provision of student-level data management systems .....	1	0
b. Access by district administrators and school leaders to a statewide student-level data system .....	1	0
c. Materials or documents for district administrators and school leaders on the use of data for school improvement plans .....	1	0
d. Materials or documents for school leaders and teachers on the use of data for instructional planning or improvement .....	1	0
e. Technical assistance and/or support on hardware or software issues, such as making technical systems or computer networks experts available to districts .....	1	0

**Please provide the following information for each state education department staff member who assisted with the completion of this survey section.**

Name	Position Title	Number of years in the position

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### Section 3. School Accountability and Turning Around Low-Performing Schools

**DEFINITIONS FOR USE THROUGHOUT THIS SECTION:**

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**3-1. Which of the following best describes your state's goal for student achievement under the federal Elementary and Secondary Education Act (ESEA)?**

SELECT ONE ONLY

- That 100% of the students achieve proficiency on the state assessments(s) by 2013-14..... 1
  - To reduce by half the percentage of all students and subgroups who are not proficient on the state assessment(s) within 6 years..... 2
  - That 100% of students achieve proficiency on the state assessment(s) by 2019-20 ..... 3
  - Other (specify) ..... 4
- 

**3-2. States monitor proficiency rates on state summative assessments for all students as well as for subgroups specified in ESEA (e.g., students with disabilities, low-income students, and students of specific racial/ethnic groups). Does your state merge some of the student subgroups specified in ESEA into a single combined subgroup for school accountability?**

- Yes ..... 1
- No ..... 0 → Skip to 3-6

**3-3. Which subgroups are merged into a single combined subgroup?**

*(If your state has only one combined subgroup, please indicate which groups are included in the first column, and check the box below indicating only one combined subgroup. If your state defines more than one combined subgroup, please indicate which subgroups are included in the second combined subgroup using the second column.)*

- Check box if only one combined subgroup. (Indicate groups included in first combined subgroup column. Leave second combined subgroup column blank.)*

	FIRST COMBINED SUBGROUP		SECOND COMBINED SUBGROUP	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. White.....	1	0	1	0
b. Black or African American .....	1	0	1	0
c. Hispanic.....	1	0	1	0
d. Asian.....	1	0	1	0
e. American Indian or Alaska Native .....	1	0	1	0
f. Native Hawaiian or Other Pacific Islander .....	1	0	1	0
g. Multiracial/two or more races .....	1	0	1	0
h. Other individual racial/ethnic subgroup (specify)..... _____	1	0	1	0
i. Economically disadvantaged .....	1	0	1	0
j. English learners .....	1	0	1	0
k. Students with disabilities .....	1	0	1	0
l. Low academic performance (for example, lowest 25 percent based on proficiency) .....	1	0	1	0

**3-4. Are combined subgroups used by all schools in the state, or only for schools in which the individual subgroups are below the state’s minimum group size or n-size?**

SELECT ONE ONLY

- Combined subgroups are used by all schools..... 1
- Combined subgroups are used only when the number of students in the individual subgroups for that school is below the minimum group size or n-size ..... 2

**3-5. For schools that fell short of Annual Measurable Objectives (AMOs) for a state-designated combined subgroup in 2012-13, what actions did the state require?**

- Check box if all schools in the state met their AMOs for combined subgroups and skip to 3-6.*
- Check box if state does not set AMOs for combined subgroups and skip to 3-6.*

SELECT ONE RESPONSE  
IN EACH ROW

Schools that fell short of AMOs for a state-designated combined subgroup in 2012-13 are required to:	YES	NO
a. Develop a school improvement plan .....	1	0
b. Examine the reasons for low achievement of that combined subgroup .....	1	0
c. Implement interventions to address the reasons for low achievement of the combined subgroup .....	1	0
d. Report to the district or state on the interim progress of the combined subgroup more than once during this school year (2013-14) .....	1	0
e. Examine the reasons for low achievement of <u>each constituent subgroup</u> within that combined subgroup .....	1	0
f. Implement interventions to address the reasons for low achievement of <u>each constituent subgroup</u> within that combined subgroup .....	1	0
g. Report to the district or state on the interim progress of <u>each constituent subgroup</u> within that combined subgroup more than once during this school year (2013-14) .....	1	0

**3-6. For this school year (2013-14), does the state set the same Annual Measurable Objectives (AMOs) for every school or do AMOs vary in different schools?**

SELECT ONE ONLY

- AMOs are the same for every school ..... 1 → Skip to 3-8
- AMOs vary in different schools ..... 0

**3-7. In which ways do the AMOs vary for schools?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. AMOs vary depending on school level (elementary, middle, and high schools) .....	1	0
b. AMOs vary depending on each school's initial proficiency level in the first year of the ESEA Flexibility .....	1	0
c. AMOs vary based on something else (specify) .....	1	0

**3-8. During this school year (2013-14), has your state identified “Reward” schools (i.e. ,“highest-performing” or “high-progress” schools), based on student outcomes measured by required state summative assessments and other data collected through the end of the 2012-13 school year?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. State has identified highest-performing Reward schools .....	1	0
b. State has identified high-progress Reward schools .....	1	0

**IF NO TO BOTH, SKIP TO 3-11.**

**3-9. Does your state recognize Title I Reward schools (highest-performing and/or high-progress schools) in any of the following ways?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Public recognition.....	1	0
b. Financial rewards for teachers and/or principals .....	1	0
c. Additional funding for schools to use for educational purposes .....	1	0
d. Additional operating flexibility or exemption from state/district requirements.....	1	0
e. Opportunities to share best practices with other schools in the state.....	1	0
f. Other (specify) .....	1	0

\_\_\_\_\_

**3-10. Does your state identify any Non-Title I Reward schools (i.e., highest-performing or high-progress schools)?**

Yes ..... 1  
No ..... 0

**3-11. Does your state have any other programs to identify and recognize high-performing schools other than Reward school? (Do not include National Blue Ribbon Schools)**

Yes ..... 1  
No ..... 0



ESEA Flexibility states have identified low-performing schools as Priority schools and Focus schools for interventions. This section asks about Priority schools and Focus schools in your state.

**3-12. How often does the state identify Priority and Focus schools?**

SELECT ONE RESPONSE IN EACH ROW

	EVERY YEAR	EVERY 2 YEARS	EVERY 3 YEARS
a. Priority schools.....	1	2	3
b. Focus schools.....	1	2	3

**3-13. Does your state identify any Non-Title I Priority or Focus schools?**

SELECT ONE RESPONSE IN EACH ROW

	YES	NO
a. Non-Title I Priority schools.....	1	0
b. Non-Title I Focus schools.....	1	0

The next questions pertain to your state's Title I and Non-Title I Priority schools.

**3-14. Among the schools in your state that were designated as Priority schools during the last school year (2012-13), how many were closed after the 2012-13 school year for performance reasons?**

*(Write in NA if you had no Priority schools during the 2012-13 school year. Write in "0" if no schools were closed.)*

\_\_\_\_\_ NUMBER OF TITLE I PRIORITY SCHOOLS THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

\_\_\_\_\_ NUMBER OF NON-TITLE I PRIORITY SCHOOLS THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

**3-15. Does the state require any interventions or changes to be made in Title I and Non-Title I Priority schools this year (2013-14)?**

*(Leave the second column blank if the state has no Non-Title I Priority schools.)*

	TITLE I PRIORITY SCHOOLS	NON-TITLE I PRIORITY SCHOOLS
SELECT ONE RESPONSE PER COLUMN		
a. State requires specific interventions/changes in Priority schools .....	1	1
b. State leaves interventions/changes in Priority schools to local discretion with state approval.....	2	2
c. State leaves interventions/changes in Priority schools completely to local discretion .....	3	3

3-16. During this school year (2013-14), what interventions, if any, does the state require for Title I or Non-Title I Priority schools?

*(Leave the second column blank if the state has no Non-Title I Priority schools.)*

Interventions for Priority schools:	TITLE I PRIORITY SCHOOLS		NON-TITLE I PRIORITY SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	REQUIRED	NOT REQUIRED	REQUIRED	NOT REQUIRED
a. Schools must prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs.....	1	2	1	2
b. School improvement plans must be available to the public.....	1	2	1	2
c. Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs.....	1	2	1	2
d. Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs.....	1	2	1	2

The next questions pertain to your state's Title I Priority schools.

3-17. Among Title I Priority schools, how many are implementing each of the following initiatives during this school year (2013-14)?

*(Write in the number of Title I Priority schools implementing each initiative, or select "none" or "don't know" for Title I Priority schools.)*

School Initiatives	SELECT ONE RESPONSE IN EACH ROW		
	TITLE I PRIORITY SCHOOLS		
	NUMBER OF SCHOOLS	NONE	DON'T KNOW
a. Implementing a "restart" model as defined in U.S. Department of Education regulations.....	_____	0	d
b. Implementing a "transformation" model as defined in U.S. Department of Education regulations.....	_____	0	d
c. Implementing a "turnaround" model as defined in U.S. Department of Education regulations .....	_____	0	d

**3-18. Are all, some, or no Title I Priority schools in the state implementing the following academic and structural changes during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

TITLE I PRIORITY SCHOOLS		
ALL	SOME	NONE

**School Academic and Structural Changes**

a. Implementing a comprehensive schoolwide reform model .....	2	1	0
b. Operating an extended school day, week, or year.....	2	1	0

**3-19. For Title I Priority schools implementing intervention models during this school year (2013-14), did the state provide any of the following types of guidance to districts regarding the selection of school intervention models?**

SELECT ONE RESPONSE IN EACH ROW

GUIDANCE TO DISTRICTS ABOUT TITLE I PRIORITY SCHOOLS	
YES	NO

a. The state allowed or prohibited specific models and/or strategies .....	1	0
b. The state provided guidance on how to match the model to school needs and capacity.....	1	0
c. The state provided guidance on models appropriate for addressing the needs of English learners.....	1	0
d. The state provided guidance on models appropriate for addressing the needs of students with disabilities .....	1	0
e. The state provided guidance on how to engage the community in the selection of the model.....	1	0
f. Something else (specify) .....	1	0

---

The next questions pertain to your state's Title I and Non-Title I Priority schools

**3-20. How many Title I and Non-Title I Priority schools in the state have been placed under a new form of management for the 2013-14 school year?**

*(Write the number of Priority schools in each category. If "none" write in 0.)*

*(Leave the second column blank if the state has no Non-Title I Priority schools.)*

	NUMBER OF SCHOOLS	
	TITLE I PRIORITY SCHOOLS	NON-TITLE I PRIORITY SCHOOLS
a. Direct state control or statewide accountability district .....	_____	_____
b. Converted to charter school .....	_____	_____
c. Managed by a school management organization, either for-profit or nonprofit .....	_____	_____
TOTAL SCHOOLS UNDER NEW FORM OF MANAGEMENT	_____	_____

**3-21. How many Title I and Non-Title I Priority schools in the state have been removed from district control since the beginning of the 2012-13 school year?**

\_\_\_\_\_ NUMBER OF TITLE I PRIORITY SCHOOLS REMOVED FROM DISTRICT CONTROL

\_\_\_\_\_ NUMBER OF NON-TITLE I PRIORITY SCHOOLS REMOVED FROM DISTRICT CONTROL

**3-22. To what extent were changes in personnel used to turn around Title I and Non-Title I Priority schools before the start of this school year (2013-14)?**

*(Write the number of Priority schools in which the principal was replaced or in which half or more of the teaching staff was replaced before the start of the 2013-14 school year as part of the school improvement plan.)*

*(Leave the second column blank if the state has no Non-Title I Priority schools.)*

	NUMBER OF SCHOOLS	
	TITLE I PRIORITY SCHOOLS	NON-TITLE I PRIORITY SCHOOLS
a. Principal replaced.....	_____	_____
b. Half or more of the teaching staff replaced.....	_____	_____

**3-23. Do the state’s current teacher assignment laws or policies for Title I and Non-Title I Priority schools include any of the following features?**

*(Leave the second column blank if the state has no Non-Title I Priority schools.)*

	TITLE I PRIORITY SCHOOLS		NON-TITLE I PRIORITY SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Financial incentives for teachers to begin or continue to work in the state’s Priority schools.....	1	0	1	0
b. Financial incentives for staff with English learner expertise to begin or continue to work in the Priority schools.....	1	0	1	0
c. Financial incentives for staff with expertise working with students with disabilities to begin or continue to work in the Priority schools .....	1	0	1	0
d. More flexibility in, or exemptions from, collective bargaining agreements or certain state employment laws/regulations that guide staffing decisions .....	1	0	1	0
e. School discretion or authority to decide which staff to hire for the Priority schools .....	1	0	1	0
f. Exemptions from teacher tenure rules that affect placement in or removal from the Priority schools (specify which rules)..... _____	1	0	1	0

The next questions pertain to your state's **Title I and Non-Title I Focus schools**.

**3-24. During this school year (2013-14), what interventions, if any, does the state require for Title I and Non-Title I Focus schools?**

*Check box if no specific interventions are required in Focus schools and skip to 3-26.*

*(Leave the second column blank if the state has no Non-Title I Focus schools.)*

	TITLE I FOCUS SCHOOLS		NON-TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	REQUIRED	NOT REQUIRED	REQUIRED	NOT REQUIRED
<b>Interventions for Focus schools:</b>				
a. Schools must prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs .....	1	2	1	2
b. School improvement plans must be available to the public.....	1	2	1	2
c. Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs.....	1	2	1	2
d. Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs .....	1	2	1	2

3-25. For Focus schools implementing intervention strategies during this school year (2013-14), did the state provide any of the following types of guidance to districts regarding the selection of school intervention strategies?

*(Leave the second column blank if the state has no Non-Title I Focus schools.)*

	GUIDANCE TO DISTRICTS ABOUT:			
	TITLE I FOCUS SCHOOLS		NON-TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. The state allowed or prohibited specific initiatives and/or strategies.....	1	0	1	0
b. The state provided guidance on how to match the initiatives to school needs and capacity .....	1	0	1	0
c. The state provided guidance on initiatives appropriate for addressing the needs of English learners .....	1	0	1	0
d. The state provided guidance on initiatives appropriate for addressing the needs of students with disabilities .....	1	0	1	0
e. The state provided guidance on initiatives appropriate for addressing the needs of other subgroups (specify which subgroups)..... _____	1	0	1	0
f. The state provided guidance on how to engage the community in the selection of the initiatives .....	1	0	1	0
g. Something else (specify) .....	1	0	1	0
_____				

The next questions pertain to your state's Title I Priority and Focus schools.

3-26. During this school year (2013-14), and including last summer (2013), what additional professional development or technical assistance has the state provided to principals in Title I Priority and Focus schools, beyond what is available to any Title I school?

Additional professional development or assistance for principals on...	PROVIDED TO TITLE I PRIORITY SCHOOLS		PROVIDED TO TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. School improvement planning, identifying interventions, or budgeting effectively.....	1	0	1	0
b. Acting as instructional leaders.....	1	0	1	0
c. Recruiting, retaining, and developing more effective teachers.....	1	0	1	0

3-27. Thinking now about teachers, during this school year (2013-14) and including last summer (2013), what additional professional development or technical assistance has the state provided to teachers in Title I Priority and Focus schools, beyond what is available to any Title I school?

Additional professional development or assistance for teachers on...	PROVIDED TO TITLE I PRIORITY SCHOOLS		PROVIDED TO TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Analyzing student assessment data to improve instruction.....	1	0	1	0
b. Working effectively in teacher teams to improve instruction.....	1	0	1	0
c. Identifying and implementing strategies to address the needs of English learners.....	1	0	1	0
d. Identifying and implementing strategies to address the needs of students with disabilities.....	1	0	1	0



3-28. During this school year (2013-14), what additional resources has the state provided to Title I Priority and Focus schools, beyond what is available to any Title I school?

	PROVIDED TO TITLE I PRIORITY SCHOOLS		PROVIDED TO TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Additional resources to be used for purposes specified in the school improvement plan .....	1	0	1	0
b. Additional resources to be used to reduce class sizes ..	1	0	1	0
c. Additional resources to be used to add instructional time (extended day or extended school year) .....	1	0	1	0
d. Other additional resources (specify) .....	1	0	1	0
_____				

3-29. Does the state currently have any organizational or administrative structures specifically intended to improve state capacity to support school turnaround efforts? By school turnaround, we mean the implementation of changes in low-performing schools designed to rapidly and substantially increase student achievement.

Yes ..... 1

No ..... 0 → Skip to Intro before 3-31

**3-30. During this school year (2013-14), which of the following organizational or administrative structures are in place in your state to support school turnaround efforts?**

SELECT ONE RESPONSE IN EACH ROW		
	YES	NO
a. State staff or office whose sole responsibility is to support school turnaround.....	1	0
b. Regional staff or office whose sole responsibility is to support school turnaround .....	1	0
c. Contracts with external consultants to support school turnaround .....	1	0
d. State-level staff or consultants to provide support to turnaround schools and districts in working with English learners.....	1	0
e. State-level staff or consultants to provide support to turnaround schools and districts in working with students with disabilities .....	1	0
f. Monitoring or reporting requirements specifically for schools designated as Priority or Focus schools .....	1	0
g. Something else (specify) .....	1	0
_____		

We would like to learn more about how your state monitors the activities and progress of Title I and Non-Title I Priority and Focus schools.

3-31. During this school year (2013-14), which of the following groups are responsible for monitoring the state’s Title I and Non-Title I Priority and Focus schools?

*(If your state has no Non-Title I Priority or Focus schools, leave those columns blank.)*

	MONITORS TITLE I				MONITORS NON-TITLE I			
	PRIORITY SCHOOLS		FOCUS SCHOOLS		PRIORITY SCHOOLS		FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO	YES	NO	YES	NO
a. State Education Agency .....	1	0	1	0	1	0	1	0
b. Regional staff such as staff from the county office of education or BOCES (Boards of Cooperative Educational Services) .....	1	0	1	0	1	0	1	0
c. External consultants.....	1	0	1	0	1	0	1	0
d. District central office staff.....	1	0	1	0	1	0	1	0

The next questions pertain to monitoring your state's Title I Priority and Focus schools.

3-32. During this school year (2013-14), which of the following strategies are used for monitoring the Title I Priority schools in your state and, for each strategy that is used, how often is it used?

SELECT YES OR NO IN EACH ROW. IF YES, SELECT ONE OPTION FOR HOW OFTEN USED

TITLE I PRIORITY SCHOOLS	USED FOR MONITORING IN YOUR STATE?		IF USED, HOW OFTEN FOR EACH TITLE I PRIORITY SCHOOL?				
	YES	NO	ONCE PER SCHOOL YEAR	TWICE PER SCHOOL YEAR	QUARTERLY	MONTHLY	OTHER (specify)
a. Site visits .....	1	0	1	2	3	4	_____
b. Telephone conferences .....	1	0	1	2	3	4	_____
c. Discussions with parents/community..	1	0	1	2	3	4	_____
d. Analysis of student data.....	1	0	1	2	3	4	_____
e. Other (specify) .....	1	0	1	2	3	4	_____

3-33. During this school year (2013-14), which of the following strategies are used for monitoring the Title I Focus schools in your state and, for each strategy that is used, how often is it used?

SELECT YES OR NO IN EACH ROW. IF YES, SELECT ONE OPTION FOR HOW OFTEN USED

TITLE I FOCUS SCHOOLS	USED FOR MONITORING IN YOUR STATE?		IF USED, HOW OFTEN FOR EACH TITLE I FOCUS SCHOOL?				
	YES	NO	ONCE PER SCHOOL YEAR	TWICE PER SCHOOL YEAR	QUARTERLY	MONTHLY	OTHER (specify)
a. Site visits .....	1	0	1	2	3	4	_____
b. Telephone conferences .....	1	0	1	2	3	4	_____
c. Discussions with parents/community..	1	0	1	2	3	4	_____
d. Analysis of student data.....	1	0	1	2	3	4	_____
e. Other (specify) .....	1	0	1	2	3	4	_____

**3-34. During this school year (2013-14), approximately how many full-time-equivalent (FTE) staff or consultants is the state providing or funding specifically to assist its Title I Priority and Focus schools and their districts?**

*(Write the number of FTE staff or select "none". If "none", skip to introduction before 3-36.)*

\_\_\_\_\_ NUMBER OF FULL-TIME-EQUIVALENT STAFF OR CONSULTANTS SUPPORTING TITLE I PRIORITY OR FOCUS SCHOOLS

NONE ..... 0 → Skip to Intro before 3-36

**3-35. How many Title I Priority and Focus schools, in total, are being served by those state staff or state-funded consultants?**

*(Write the number of schools. If "none", write in 0.)*

\_\_\_\_\_ NUMBER OF TITLE I PRIORITY SCHOOLS SERVED

\_\_\_\_\_ NUMBER OF TITLE I FOCUS SCHOOLS SERVED *(Write zero if staff or consultants serve only Title I Priority schools.)*

**For the next set of questions, please consider Title I and Non-Title I schools in your state that are NOT Priority or Focus schools.**

**3-36. Apart from Priority and Focus schools, did any school in your state (either Title I or Non-Title I) fall short of Annual Measurable Objectives (AMOs) for the previous school year (2012-13)?**

Yes ..... 1

No ..... 0 → Skip to Intro before 3-42

**3-37. Excluding Priority and Focus schools, does your state require schools not meeting AMOs to take any action during this school year (2013-14)?**

	TITLE I SCHOOLS NOT MEETING AMOs	NON-TITLE I SCHOOLS NOT MEETING AMOs
SELECT ONE RESPONSE PER COLUMN		
a. Yes, <u>all</u> schools falling short of AMOs must take action.....	1	1
b. Yes, <u>some</u> schools falling short of AMOs must take action (specify) .....	2	2
_____		
c. No, schools falling short of AMOs are not required to take action .....	3	3

3-38. For schools that did not meet AMOs for 2012-13 (excluding Priority and Focus schools), what interventions, if any, does the state require?

- Check box if no specific interventions are required in schools that did not meet AMOs in 2012-13 (excluding Priority and Focus schools) and skip to 3-40.

(If your state has no Non-Title I schools not meeting AMOs, leave that column blank.)

<b>Interventions for schools not meeting AMOs (excluding Priority and Focus schools):</b>	<b>TITLE I SCHOOLS NOT MEETING AMOs</b>		<b>NON-TITLE I SCHOOLS NOT MEETING AMOs</b>	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	<b>REQUIRED</b>	<b>NOT REQUIRED</b>	<b>REQUIRED</b>	<b>NOT REQUIRED</b>
a. Schools must prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs .....	1	2	1	2
b. School improvement plans must be available to the public.....	1	2	1	2
c. Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs .....	1	2	1	2
d. Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs .....	1	2	1	2
e. Schools must take some other action (specify) .....	1	2	1	2
_____				

3-39. During this school year (2013-14), how does the state monitor schools that did not meet AMOs (excluding Priority and Focus schools)?

	TITLE I SCHOOLS NOT MEETING AMOs		NON-TITLE I SCHOOLS NOT MEETING AMOs	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. The State Education Agency reviews and provides feedback on the school improvement plan .....	1	0	1	0
b. The school improvement plan must be approved by the State Education Agency .....	1	0	1	0
c. The State Education Agency monitors the thoroughness of district oversight of schools as appropriate to the performance category of those schools .....	1	0	1	0
d. The State Education Agency conducts monitoring visits to all schools in this performance category .....	1	0	1	0
e. The State Education Agency conducts monitoring visits to a sample of schools in this performance category .....	1	0	1	0

The next questions pertain to your state's Title I schools that did not meet AMOs for 2012-13.

3-40. During this school year (2013-14), and including last summer (2013), what additional professional development or technical assistance has the state provided to principals in Title I schools that did not meet AMOs for 2012-13 (excluding Priority and Focus schools), beyond what is available to any other Title I school?

Additional professional development of assistance for principals on...	SELECT ONE RESPONSE IN EACH ROW	
	TITLE I SCHOOLS NOT MEETING AMOs	
	YES	NO
a. School improvement planning, identifying interventions, or budgeting effectively.....	1	0
b. Acting as instructional leaders.....	1	0
c. Recruiting, retaining, and developing more effective teachers .....	1	0

**3-41. Thinking now about teachers, during this school year (2013-14), and including last summer (2013), what additional professional development or technical assistance has the state provided to teachers in Title I schools that did not meet AMOs for 2012-13 (excluding Priority and Focus schools), beyond what is available to any other Title I school?**

SELECT ONE RESPONSE  
IN EACH ROW

Additional professional development of assistance for teachers on...	TITLE I SCHOOLS NOT MEETING AMOs	
	YES	NO
a. Analyzing student assessment data to improve instruction.....	1	0
b. Working effectively in teacher teams to improve instruction.....	1	0
c. Identifying and implementing strategies to address the needs of English learners.....	1	0
d. Identifying and implementing strategies to address the needs of students with disabilities.....	1	0

Next, we ask about your state’s approach to working with or through “intermediaries” to support the implementation of statewide education reforms and priorities. These “intermediaries” may be regional branches, contractors, consultants, or grant recipients of the State Education Agency, who support the State Education Agency’s work but are not paid as State Education Agency employees.

**3-42. Does your State Education Agency currently work with any intermediaries to support the implementation of statewide education reform priorities in any of the following areas?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Implementing college and career ready standards and assessments.....	1	0
b. Using data to improve instruction.....	1	0
c. Recruiting, developing, rewarding, and retaining effective teachers and school leaders.....	1	0
d. Turning around your state’s Priority schools.....	1	0
e. Providing supports for English learners.....	1	0
f. Providing supports for students with disabilities.....	1	0
g. Increasing state capacity in any of the areas listed in items a through f above.....	1	0
h. Some other reform area (specify area).....	1	0

**IF AT LEAST ONE YES, PROCEED TO 3-43. IF ALL OF THE ABOVE ARE NO, SKIP TO 3-45.**



**3-43. Within the past year, did the State Education Agency work with any of the following type(s) of intermediaries to support the implementation of statewide education reform priorities in the various areas identified in the preceding question?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Federally-supported comprehensive center, regional educational laboratory, equity assistance center, or content center (specify) .....	1	0
b. Postsecondary institutions .....	1	0
c. Regional/county offices.....	1	0
d. Educators contracted by the state such as distinguished educators .....	1	0
e. Other external organizations (specify) .....	1	0

**3-44. Continuing to focus on the intermediaries with whom the State Education Agency worked in the past year, with which of the following groups were these intermediaries expected to work?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. State-level staff .....	1	0
b. All districts .....	1	0
c. Schools identified as Priority schools and/or districts in which these schools are located .....	1	0
d. Schools identified as Focus schools and/or districts in which these schools are located.....	1	0
e. Some other groups of districts and/or schools (specify).....	1	0

3-45. Considering the availability of state staff and consultants, to what extent are the following a challenge during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Monitoring districts and/or schools .....	1	2	3
b. Providing targeted support or technical assistance to districts and/or schools .....	1	2	3
c. Developing guidelines for teacher and principal evaluation in the state .....	1	2	3
d. Working with districts to implement teacher and principal evaluation models .....	1	2	3
e. Developing state longitudinal data systems.....	1	2	3
f. Working with districts and/or schools on the use of data to improve instruction .....	1	2	3
g. Supporting districts and/or schools in the process of turning around low-achieving schools .....	1	2	3
h. Some other type of expertise (specify) .....	1	2	3

\_\_\_\_\_

Please provide the following information for each state education department staff member who assisted with the completion of this survey section.

Name	Position Title	Number of years in the position

## Section 4. Teacher and Principal Evaluation

### DEFINITIONS FOR USE THROUGHOUT THIS SECTION:

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**Standardized assessments** are assessments consistently administered and scored for all students in the same grades and subjects, districtwide or statewide. These might include required state summative assessments, assessments purchased from testing companies, or district-developed assessments that are administered districtwide.

**Student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:

1. **Value added measures (VAMs) or student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher's own students based on state summative assessments or other standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
2. **Student learning objectives (SLOs) or student growth objectives (SGOs)** are achievement targets for a teacher's own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher's assessment of the students' starting achievement levels. SLOs/SGOs may relate to students' scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

## Teacher Evaluation

In this section, we want to gather information on the status of and requirements for teacher evaluation practices in your state during this school year (2013-14). Many states are implementing new teacher evaluation policies or systems based on new laws or regulations adopted since 2009.

- Check box if your state has adopted new laws or regulations for teacher evaluation since 2009 (including those in response to ESEA Flexibility waiver requirements).** We are interested in learning about the status of and requirements for teacher evaluation practices being piloted or implemented in your state in response to these new laws or regulations. Please answer the questions in this section based on the new teacher evaluation practices as they are being piloted or implemented in the 2013-14 school year. For example, if a new system is being piloted during the 2013-14 school year, respond only about the components being piloted this year. —**SKIP TO 4-1**
- Check box if your state has not adopted new laws or regulations for teacher evaluation since 2009.** Please respond about the requirements of teacher evaluation practices in your state during the 2013-14 school year. —> **SKIP TO 4-3**

**4-1. During this school year (2013-14), what is the status of the new teacher evaluation system in your state?**

SELECT ONE ONLY

- The system is in the planning stage and no components are being implemented ..... 1 → Skip to 4-3
- The system is in the piloting stage and some, but not all, components are being implemented ..... 2
- The system is in the piloting stage and all components are being implemented ..... 3
- The system is being implemented statewide, and some but not all components are being implemented ..... 4 → Skip to 4-3
- The system is fully implemented statewide ..... 5 → Skip to 4-3

**4-2. During this school year (2013-14), in how many districts and schools is the state piloting the teacher evaluation system?**

ENTER NUMBER

- a. Number of districts..... \_\_\_\_\_
- b. Number of schools ..... \_\_\_\_\_

**4-3. During this school year (2013-14), which of the following statements best describes the state’s requirements and regulations related to teacher evaluation?**

*(As a reminder, if your state has adopted new laws or regulations for teacher evaluation since 2009, please refer to the teacher evaluation practices being piloted or implemented in response to these new laws or regulations when responding to this and other questions in this section. For all other states, please refer to the practices in your state during the 2013-14 school year.)*

SELECT ONE ONLY

- Districts in your state are required to use a uniform evaluation model prescribed by the state..... 1
- Districts in your state are required to adopt the state model for evaluating teachers if they cannot meet or surpass state expectations, sometimes referred to as the state default model ..... 2
- Districts in your state may adopt but are not required to adopt the state model for evaluating teachers, sometimes referred to as the state exemplar model ..... 3
- Districts are permitted to select their own teacher evaluation models as long as they comply with state statutes and rules ..... 4

4-4. During this school year (2013-14), do state regulations stipulate a specific number of rating levels or a minimum number of rating levels (such as highly effective, effective, satisfactory, needs improvement) to be used when evaluating overall teacher performance? If so, what is the specific or minimum number of rating categories that is required?

SELECT ONE ONLY

Yes, districts must use a specific or minimum number of rating categories for teacher evaluation..... 1

Specify specific or minimum number of rating categories \_\_\_\_\_

No, there is no specific or minimum number of rating categories that districts must use for teacher evaluation..... 0

The next several questions ask about the use of student achievement growth in teacher evaluations.

As a reminder, student achievement growth may be measured using value added measures (VAMs), student growth percentiles (SGPs), student learning objectives (SLOs), student growth objectives (SGOs), or other measures of change in student achievement over time.

4-5. During this school year (2013-14), does your state require that student achievement growth be used as one component of the performance evaluation of some, all, or no teachers? This can include student achievement growth for the teacher’s own students and/or teamwide, gradewide, or schoolwide student achievement growth.

*(Note: If your state is piloting a new system in some districts or schools, then this question refers to teachers in the pilot schools. In order to report “all teachers,” student achievement growth would need to be used with all teachers, including teachers of Art, Music, Physical Education, and special populations such as English learners or students with disabilities.)*

SELECT ONE ONLY

The state requires student achievement growth to be included as an evaluation component for some but not all teachers..... 1 → Skip to 4-7

The state requires student achievement growth to be included as an evaluation component for all teachers across all grades (K-12), all subjects, and special education..... 2 → Skip to 4-7

The state does not require student achievement growth to be included in teacher evaluations, but local districts may choose to include it..... 3

The state does not permit student achievement growth to be included in the evaluations of any teachers..... 4

**4-6. Please tell us about the reasons that your state either does not require or does not permit student achievement growth to be included among the components of a teacher’s evaluation during the 2013-14 school year.**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Teachers are evaluated based on professional practice rather than student achievement.....	1	0
b. Inability to link teachers with the students they teach in the state’s data system.	1	0
c. Concerns about the validity of student achievement growth as a measure of teacher performance or quality .....	1	0
d. No tests available to measure student achievement growth in many grades and subjects .....	1	0
e. Concerns about the appropriateness of available assessments as a measure of student achievement growth.....	1	0
f. Opposition from teacher unions to using student achievement growth to evaluate teachers.....	1	0
g. Opposition from teachers to using student achievement growth to evaluate teachers.....	1	0
h. Inadequate technology, technical expertise, staff, or other resources .....	1	0
i. Teacher evaluation is a matter for local determination .....	1	0
j. Other (specify).....	1	0

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<b>SKIP TO 4-15.</b>
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The next several questions ask specifically about the use of value added measures (VAMs) or student growth percentiles (SGPs). As a reminder, VAMs/SGPs apply complex statistical methods to calculate achievement growth for a teacher's own students based on state summative assessments or other standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.

4-7. This question focuses on teachers of English language arts (ELA) and/or Math in grades 4 through 8. Indicate whether during this school year (2013-14) your state requires teacher evaluations to include VAMs or SGPs based on state summative assessments for the teacher's own students and/or for a broader group of students.

The state requires evaluations for teachers of ELA and Math in grades 4 through 8 to include:	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. VAM or SGP based on state summative assessments for the teacher's own students .....	1	0
b. VAM or SGP based on state summative assessments for a broader group than the teacher's own students, for example, a team, grade, or school.....	1	0

4-8. This question focuses on teachers of Science in grades 6 through 8. Indicate whether during this school year (2013-14) your state requires teacher evaluations to include VAMs or SGPs based on state summative assessments for the teacher's own students and/or for a broader group of students.

*(For each VAM/SGP measure, select all grades in which your state uses state summative assessments to estimate VAMs or SGPs to be used in Science teacher evaluations. Select NA (not applicable) for each VAM/SGP measure that is not used for Science teachers' evaluations in any of grades 6-8.)*

The state requires evaluations for teachers of Science in grades 6 through 8 to include:	NA	SELECT GRADES IN WHICH EACH VAM/SGP MEASURE IS USED IN SCIENCE TEACHER EVALUATIONS		
		6	7	8
a. VAM or SGP based on state summative assessments for the teacher's own students .....	na	6	7	8
b. VAM or SGP based on state summative assessments for a broader group than the teacher's own students, for example, a team, grade, or school .....	na	6	7	8

4-9. This question focuses on teachers of Social Studies in grades 6 through 8. Indicate whether during this school year (2013-14) your state requires teacher evaluations to include VAMs or SGPs based on state summative assessments for the teacher’s own students and/or for a broader group of students.

*(For each VAM/SGP measure, select all grades in which your state uses state summative assessments to estimate VAMs or SGPs to be used in Social Studies teacher evaluations. Select NA (not applicable) for each VAM/SGP measure that is not used for Social Studies teachers’ evaluations in any of grades 6-8.)*

The state requires evaluations for teachers of Social Studies in grades 6 through 8 to include:	NA	SELECT GRADES IN WHICH EACH VAM/SGP MEASURE IS USED IN SOCIAL STUDIES TEACHER EVALUATIONS		
		6	7	8
a. VAM or SGP based on state summative assessments for the teacher’s own students.....	na	6	7	8
b. VAM or SGP based on state summative assessments for a broader group than the teacher’s own students, for example, a team, grade, or school .....	na	6	7	8

4-10. This question focuses on early elementary teachers in grades K through 3. Indicate whether during this school year (2013-14) your state requires teacher evaluations to include VAMs or SGPs based on state summative assessments for the teacher’s own students and/or for a broader group of students.

*(For each VAM/SGP measure, select all grades in which your state uses state summative assessments to estimate VAMs or SGPs to be used in teacher evaluations. Select NA (not applicable) for each VAM/SGP measure that is not used for teachers’ evaluations in any of grades K-3.)*

The state requires evaluations of early elementary teachers to include:	NA	SELECT GRADES IN WHICH EACH VAM/SGP MEASURE IS USED IN EARLY ELEMENTARY TEACHER EVALUATIONS			
		K	1	2	3
a. VAM or SGP based on state summative assessments for the teacher’s own students .....	na	K	1	2	3
b. VAM or SGP based on state summative assessments for a broader group than the teacher’s own students, for example, a team, grade, or school.....	na	K	1	2	3



4-11. During this school year (2013-14), does your state require use of VAMs or SGPs for the teacher's own students as a component of the evaluations of high school teachers in any of the following subjects and courses?

*(For each subject, select the name of each course for which your state requires use of a state summative assessment to estimate student achievement growth of the teacher's own students in high school teacher evaluations. Select NA if student achievement growth of the teacher's own students on state summative assessments is not required as part of high school teachers' evaluations in any course in that subject.)*

	NA	SELECT COURSES IN WHICH VAMS OR SGPS ARE USED IN TEACHER EVALUATIONS					
a. High school ELA teachers .....	na	English 9	English 10	English 11	English 12	Other ELA	
b. High school Math teachers...	na	Algebra I	Geometry	Algebra 2		Other Math	
c. High school Science teachers.....	na	Biology	Chemistry	Physics		Other Science	
d. High school Social Studies teachers.....	na	Civics	U.S. History			Other Social Studies	

4-12. During this school year (2013-14), does the state require that a locally-selected measure of student achievement growth be included in any teachers' evaluations?

Yes ..... 1

No ..... 0 → Skip to Intro before 4-14

4-13. For which teachers does the state require that a locally-selected measure of student achievement growth for a teacher's own students be included in these teachers' evaluations?

*(Select "yes" for the row if any teachers in that category must include a locally-selected measure of student achievement growth for their own students in their evaluations.)*

A <u>locally-selected</u> measure of student achievement growth for a teacher's own students must be used to evaluate:	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Kindergarten teachers.....	1	0
b. Teachers of grades 1, 2, or 3.....	1	0
c. Teachers of ELA and/or Math in grades 4-8.....	1	0
d. Teachers of Science in grades 6, 7, or 8.....	1	0
e. Teachers of Social Studies in grades 6, 7, or 8.....	1	0
f. High school ELA teachers.....	1	0
g. High school Math teachers.....	1	0
h. High school Science teachers.....	1	0
i. High school Social Studies teachers.....	1	0
j. Any teachers of other subjects, such as Art, Music, or Physical Education.....	1	0

Many teachers serve grades and subjects that lack state summative assessments that can be used to measure student achievement growth for the teacher’s own students. The next question is about the evaluations of teachers for whom growth cannot be measured for their own students based on required state summative assessments.

4-14. During this school year (2013-14), for teachers of grades and subjects for which growth on state assessments cannot be calculated, does the state require any of the following approaches to measuring student achievement growth in teacher evaluation?

SELECT ONE RESPONSE IN EACH ROW

	REQUIRED IN TEACHER EVALUATION	FULFILLS A REQUIRED CHOICE FOR MEASURING GROWTH	PERMITTED BUT NOT REQUIRED FOR USE IN TEACHER EVALUATION	PROHIBITED FOR USE IN TEACHER EVALUATION
a. Gradewide, teamwide, or schoolwide VAMs or SGPs based on state summative assessments.....	1	2	3	4
b. VAMs or SGPs for the teacher’s own students on district-selected or district-developed standardized assessments (i.e., assessments consistently administered and scored for all students in the same grades and subjects districtwide).....	1	2	3	4
c. Student learning/growth objectives or other teacher-selected aims based on assessments selected or developed by individual teachers .....	1	2	3	4
d. Another approach (specify)..... _____	1	2	3	4

4-15. During this school year (2013-14), does the state require any of the following sources of information on teacher performance (other than student achievement growth) be used in teacher evaluations?

Check box if your state has no legislation or regulations about particular sources of information to be used to evaluate teacher performance and skip to instructions before 4-16.

SELECT ONE RESPONSE IN EACH ROW

	REQUIRED IN TEACHER EVALUATION	FULFILLS A REQUIRED CHOICE FOR TEACHER EVALUATION	PERMITTED BUT NOT REQUIRED FOR USE IN TEACHER EVALUATION	PROHIBITED FOR USE IN TEACHER EVALUATION
a. Classroom observations using a teacher professional practice rubric, conducted by the principal or other school administrator .....	1	2	3	4
b. Classroom observations using a teacher professional practice rubric, conducted by someone other than a school administrator (such as a peer or mentor teacher, instructional coach, central office staff member, or an observer from outside the school or district).....	1	2	3	4
c. Teacher self-assessment .....	1	2	3	4
d. Portfolios or other artifacts of teacher professional practice .....	1	2	3	4
e. Assessments by a peer or mentor teacher that are <u>not</u> based on a teacher professional practice rubric .	1	2	3	4
f. Student work samples .....	1	2	3	4
g. Student surveys or other student feedback .....	1	2	3	4
h. Parent surveys or other parent feedback .....	1	2	3	4
i. Something else (specify) .....	1	2	3	4

## Principal Evaluation

In this section, we want to gather information on the status of and requirements for principal evaluation practices in your state during this school year (2013-14). Many states are implementing new principal evaluation policies or systems based on new laws or regulations adopted since 2009.

- Check box if your state has adopted new laws or regulations for principal evaluation since 2009 (including those in response to ESEA Flexibility waiver requirements).** We are interested in learning about the status of and requirements for principal evaluation practices being piloted or implemented in your state in response to these new laws or regulations. Please answer the questions in this section based on the new principal evaluation practices as they are being piloted or implemented in the 2013-14 school year. For example, if a new system is being piloted during the 2013-14 school year, respond only about the components being piloted this year. → **SKIP TO 4-16.**
- Check box if your state has not adopted new laws or regulations for principal evaluation since 2009.** Please respond about the requirements of principal evaluation practices in your state during the 2013-14 school year. → **SKIP TO 4-18.**

### 4-16. During this school year (2013-14), what is the status of the new principal evaluation system in your state?

SELECT ONE ONLY

- The system is in the planning stage and no components are being implemented ..... 1 → Skip to 4-18
- The system is in the piloting stage and some, but not all, components are being implemented ..... 2
- The system is in the piloting stage and all components are being implemented ..... 3
- The system is being implemented statewide, and some but not all components are being implemented ..... 4 → Skip to 4-18
- The system is fully implemented statewide ..... 4 → Skip to 4-18

### 4-17. During this school year (2013-14), in how many districts and schools is the state piloting the principal evaluation system?

ENTER NUMBER

- a. Number of districts ..... \_\_\_\_\_
- b. Number of schools ..... \_\_\_\_\_

**4-18. During this school year (2013-14), which of the following statements best describes the state’s requirements and regulations related to principal evaluation?**

*(As a reminder, if your state has adopted new laws or regulations for principal evaluation since 2009, please refer to the principal evaluation practices being piloted or implemented in response to these new laws or regulations when responding to this and other questions in this section. For all other states, please refer to the practices in your state during the 2013-14 school year.)*

SELECT ONE ONLY

Districts in your state are required to use a uniform evaluation model prescribed by the state..... 1

Districts in your state are required to adopt the state model for evaluating principals if they cannot meet or surpass state expectations, sometimes referred to as the state default model ..... 2

Districts in your state may adopt but are not required to adopt the state model for evaluating principals, sometimes referred to as the state exemplar model..... 3

Districts are permitted to select their own principal evaluation models as long as they comply with state statutes and rules ..... 4

**4-19. During this school year (2013-14), do state regulations stipulate a specific number of rating levels or a required minimum number of rating levels (such as highly effective, effective, satisfactory, needs improvement) to be used when evaluating overall principal performance? If so, what is the specific or minimum number of rating categories that is required?**

SELECT ONE ONLY

Yes, districts must use a specific or minimum number of rating categories for principal evaluation ..... 1

Specify specific or minimum number of rating categories\_\_\_\_\_

No, there is no specific or minimum number of rating categories that districts must use for principal evaluation ..... 0

4-20. During this school year (2013-14), does the state require any of the following student outcomes for use in principal evaluations for elementary or middle school principals?

Check box if your state has no legislation or regulations about using student outcomes to evaluate principal performance and skip to 4-22.

SELECT ONE RESPONSE IN EACH ROW

ELEMENTARY AND MIDDLE SCHOOL PRINCIPALS				
	REQUIRED IN PRINCIPAL EVALUATION	FULFILLS A CHOICE FOR PRINCIPAL EVALUATION	PERMITTED BUT NOT REQUIRED FOR USE IN PRINCIPAL EVALUATION	PROHIBITED FOR USE IN PRINCIPAL EVALUATION
a. Schoolwide proficiency rates on required state summative assessments .....	1	2	3	4
b. Schoolwide year-to-year changes in proficiency rates on required state summative assessments .....	1	2	3	4
c. Achievement growth of students schoolwide using a value added measure (VAM) or student growth percentiles (SGPs).....	1	2	3	4
d. Student promotion/graduation rate .....	1	2	3	4
e. Student dropout rate.....	1	2	3	4
f. Gaps in achievement or low student achievement growth for English learners.	1	2	3	4
g. Gaps in achievement or low student achievement growth for students with disabilities .....	1	2	3	4
h. Gaps in achievement or low student achievement growth for other subgroups .....	1	2	3	4
i. Student attendance .....	1	2	3	4
j. Student behavior/discipline/ safety .....	1	2	3	4
k. Other student outcome (specify) .....	1	2	3	4

**4-21. Thinking now about high school principals, during this school year (2013-14), does the state require any of the following student outcomes for use in principal evaluations for high school principals?**

SELECT ONE RESPONSE IN EACH ROW

	HIGH SCHOOL PRINCIPALS			
	REQUIRED IN PRINCIPAL EVALUATION	FULFILLS A CHOICE FOR PRINCIPAL EVALUATION	PERMITTED BUT NOT REQUIRED FOR USE IN PRINCIPAL EVALUATION	PROHIBITED FOR USE IN PRINCIPAL EVALUATION
a. Schoolwide proficiency rates on required state summative assessments .....	1	2	3	4
b. Schoolwide year-to-year changes in proficiency rates on required state summative assessments .....	1	2	3	4
c. Achievement growth of students schoolwide using a value added measure (VAM) or student growth percentiles (SGPs).....	1	2	3	4
d. Student promotion/graduation rate .....	1	2	3	4
e. Student dropout rate.....	1	2	3	4
f. Gaps in achievement or low student achievement growth for English learners.	1	2	3	4
g. Gaps in achievement or low student achievement growth for students with disabilities .....	1	2	3	4
h. Gaps in achievement or low student achievement growth for other subgroups	1	2	3	4
i. Student attendance .....	1	2	3	4
j. Student behavior/discipline/ safety .....	1	2	3	4
k. Other student outcome (specify) .....	1	2	3	4



4-22. During this school year (2013-14), does the state require any of the following sources of information on principal performance (other than student outcome measures) be used in principal evaluations?

Check box if your state has no legislation or regulations about particular sources of information to be used to evaluate principal performance and skip to introduction before 4-23.

SELECT ONE RESPONSE IN EACH ROW

	REQUIRED IN PRINCIPAL EVALUATION	FULFILLS A REQUIRED CHOICE FOR PRINCIPAL EVALUATION	PERMITTED BUT NOT REQUIRED FOR USE IN PRINCIPAL EVALUATION	PROHIBITED FOR USE IN PRINCIPAL EVALUATION
a. Ratings based on a principal professional practice rubric.....	1	2	3	4
b. Principal self-assessment .....	1	2	3	4
c. Input from district administrators that is not based on a principal professional practice rubric.....	1	2	3	4
d. Staff surveys or other staff feedback ..	1	2	3	4
e. Student surveys or other student feedback.....	1	2	3	4
f. Parent surveys or other parent feedback.....	1	2	3	4
g. Something else (specify) .....	1	2	3	4
_____				

### Uses of Evaluation Ratings

As a reminder, if your state has adopted new laws or regulations for teacher or principal evaluation since 2009, please refer to the teacher or principal evaluation practices being piloted or implemented in response to these new laws or regulations when responding to questions in this section. For all other states, please refer to the practices in your state during the 2013-14 school year.

4-23. During this school year (2013-14), do state requirements allow teachers to earn tenure or some other continuing right to their job that cannot be revoked without due process?

Yes ..... 1

No ..... 0

**4-24. Does the state require, recommend (but not require), permit, or prohibit teacher evaluation results for this year (2013-14) to be used to inform any of the following decisions?**

*(Select NA, where available, if tenure is not offered in your state.)*

SELECT ONE RESPONSE IN EACH ROW

	REQUIRED	RECOMMENDED (BUT NOT REQUIRED)	PERMITTED	PROHIBITED	NA
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**Teacher evaluation results are required, recommended, permitted, or prohibited to be used to inform decisions about teacher professional development:**

a. Planning professional development for individual teachers .....	1	2	3	4	
b. Development of performance improvement plans for low-performing teachers .....	1	2	3	4	
c. Setting goals for student achievement growth for the next school year .....	1	2	3	4	
d. Identifying low-performing teachers for coaching, mentoring, or peer assistance .....	1	2	3	4	

**Teacher evaluation results are required, recommended, permitted, or prohibited to be used to inform decisions about teacher career advancement:**

e. Recognizing high-performing teachers .....	1	2	3	4	
f. Determining annual salary increases .....	1	2	3	4	
g. Determining bonuses or performance-based compensation other than salary increases .....	1	2	3	4	
h. Granting tenure or similar job protection.....	1	2	3	4	na
i. Career advancement opportunities, such as teacher leadership roles.....	1	2	3	4	
j. Determining eligibility to transfer to other schools .....	1	2	3	4	

**For low-performing teachers, evaluation results are required, recommended, permitted, or prohibited to be used to inform decisions about:**

l. Loss of tenure or similar job protection.....	1	2	3	4	na
m. Sequencing potential layoffs if the district needs to reduce staff .....	1	2	3	4	
n. Dismissal or terminating employment for cause ....	1	2	3	4	

**4-25. During this school year (2013-14), do state requirements allow principals to earn tenure or some other continuing right to their job that cannot be revoked without due process?**

Yes ..... 1

No ..... 0

**4-26. Does the state require, recommend (but not require), permit, or prohibit principal evaluation results for this school year (2013-14) to be used to inform any of the following decisions?**

*(Select NA, where available, if tenure is not offered in your state.)*

SELECT ONE RESPONSE IN EACH ROW

	REQUIRED	RECOMMENDED (BUT NOT REQUIRED)	PERMITTED	PROHIBITED	NA
--	----------	--------------------------------------	-----------	------------	----

**Principal evaluation results are required, recommended, permitted, or prohibited to be used to inform decisions about principal professional development:**

a. Planning professional development for individual principals .....	1	2	3	4	
b. Development of performance improvement plans for low-performing principals.....	1	2	3	4	
c. Identifying low-performing principals for coaching or mentoring.....	1	2	3	4	

**Principal evaluation results are required, recommended, permitted, or prohibited to be used to inform decisions about principal career advancement:**

d. Recognizing high-performing principals.....	1	2	3	4	
e. Determining annual salary increases .....	1	2	3	4	
f. Determining bonuses or performance-based compensation other than salary increases .....	1	2	3	4	
g. Granting tenure or similar job protection.....	1	2	3	4	na
h. Career advancement opportunities, such as additional leadership roles.....	1	2	3	4	
i. Deciding on renewal of a principal's contract.....	1	2	3	4	
j. Assigning principals to schools.....	1	2	3	4	

**For low-performing principals, evaluation results are required, recommended, permitted, or prohibited to be used to inform decisions about:**

k. Loss of tenure or similar job protection .....	1	2	3	4	na
l. Sequencing potential layoffs if the district needs to reduce staff .....	1	2	3	4	
m. Transfer to a different school.....	1	2	3	4	
n. Demotion .....	1	2	3	4	
o. Dismissal or terminating employment for cause ...	1	2	3	4	

## Requirements and Supports for Implementing Evaluation Systems

As a reminder, if your state has adopted new laws or regulations for teacher or principal evaluation since 2009, please refer to the teacher or principal evaluation practices being piloted or implemented in response to these new laws or regulations when responding to questions in this section. For all other states, please refer to the practices in your state during the 2013-14 school year.

4-27. During this school year (2013-14), does your state require any of the following training for staff who conduct evaluations of principals or teachers?

*(Select NA if your state does not require use of a professional practice rubric to evaluate either teachers or principals.)*

	SELECT ONE RESPONSE IN EACH ROW		
	YES	NO	NA
a. Teacher evaluators must receive training on the teacher professional practice rubric.....	1	0	na
b. Teacher evaluators must pass a test that assesses their accuracy in using the teacher professional practice rubric .....	1	0	na
c. Principal evaluators must receive training on the principal professional practice rubric.....	1	0	na
d. Principal evaluators must pass a test that assesses their accuracy in using the principal professional practice rubric.....	1	0	na

**4-28. During this school year (2013-14), has your state provided any of the following supports to district administrators, school leaders, or teachers in implementing or conducting principal or teacher evaluations?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Provided or funded training for observers on teacher professional practice rubrics .....	1	0
b. Provided or funded training for observers on principal professional practice rubrics .....	1	0
c. Provided data on value added measures (VAMs) or student growth percentiles (SGPs) for schools and/or teachers .....	1	0
d. Provided data systems or information technology tools to help evaluators record evaluation ratings .....	1	0
e. Produced the final summative evaluation ratings for teachers and principals in each district based on information submitted by district staff.....	1	0
f. Helped districts purchase or develop data systems to record and analyze data from teacher and principal evaluations to create performance ratings.....	1	0
g. Helped districts negotiate the elements of new educator evaluation systems with administrators' or teachers' associations .....	1	0
h. Provided or helped develop communication materials to help explain major components of the new evaluation system to staff and the public.....	1	0
i. Provided materials, training, or assistance to district administrators and school leaders on communicating evaluation results to principals and teachers.....	1	0

**4-29. During this school year (2013-14), what information does the state require districts to submit in order to monitor implementation of teacher and principal evaluation practices according to state requirements and regulations?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. The district’s plans for evaluating principals and teachers, including information about any measures that are selected by districts .....	1	0
b. Periodic reports about the number of principals and teachers observed or rated over a specific time period .....	1	0
c. Periodic reports about meeting other milestones or progress indicators (such as the number of principals and teachers who participated in a discussion of the past year’s performance by a specific date) .....	1	0
d. Plans describing what will be done to improve the performance of teachers identified as ineffective, low-performing, or unsatisfactory.....	1	0
e. Periodic reports on the number or percentage of teachers identified as ineffective, low-performing, or unsatisfactory who were provided with assistance or were terminated.....	1	0
f. Plans describing what will be done to improve the performance of principals identified as ineffective, low-performing, or unsatisfactory.....	1	0
g. Periodic reports on the number or percentage of principals identified as ineffective, low-performing, or unsatisfactory who were provided with assistance or were terminated.....	1	0
h. Reports on the number or percentage of teachers whose performance evaluation included a measure of student achievement growth .....	1	0
i. Plans for using evaluation results in hiring/placement/promotion decisions .....	1	0
j. Other (specify).....	1	0

---

**Statewide Data on Individual Teachers**

**4-30. During this school year (2013-14), does your state have statewide data on individual teachers that includes any of the following elements?**

*(Select NA, where available, if tenure is not offered in your state.)*

	SELECT ONE RESPONSE IN EACH ROW		
	YES	NO	NA
a. Overall (summative) evaluation ratings for individual teachers .....	1	0	
b. Value added measures (VAMs) or student growth percentiles (SGPs) for (some) individual teachers .....	1	0	
c. Observation ratings for individual teachers .....	1	0	
d. Tenure status of individual teachers .....	1	0	na
e. Degree-granting institutions and degrees earned by individual teachers .....	1	0	
f. Certification/license status of individual teachers .....	1	0	
g. Years of experience of individual teachers .....	1	0	
h. Highly qualified teacher status.....	1	0	
i. Other (specify)..... _____	1	0	

**4-31. For the most recent school year with complete teacher evaluations (for example, 2012-13), does the state have statewide data on the number of teachers in each evaluation rating category?**

Yes ..... 1  
 No ..... 0



4-32. Based on the most recent evaluations completed (for example, 2012-13), please indicate the percentage of teachers in your state who fell into each of the performance evaluation rating categories, from the highest to lowest category.

*(If your state has adopted new laws or regulations for teacher evaluation since 2009, please refer to the teacher evaluation practices being piloted or implemented in response to these new laws or regulations when responding. If no evaluations were completed in 2012-13 using that system, please refer to the evaluation practices in your state during the most recent evaluation year.*

*Please select the column that matches the number of rating categories in your state in place for the most recent evaluations completed. Write in the percentage of teachers in each category. If no teachers fell into a category, please enter a "0".*

*Your best estimate for percentages is fine.)*

Check box if you are unable to estimate the percentages.

TWO RATING CATEGORIES		THREE RATING CATEGORIES		FOUR RATING CATEGORIES		FIVE RATING CATEGORIES	
CATEGORY	% OF ALL TEACHERS	CATEGORY	% OF ALL TEACHERS	CATEGORY	% OF ALL TEACHERS	CATEGORY	% OF ALL TEACHERS
First (Highest).....	_____	First (Highest) .....	_____	First (Highest) .....	_____	First (Highest).....	_____
Second (Lowest).....	_____	Second .....	_____	Second .....	_____	Second .....	_____
<b>TOTAL</b>	<b>100 %</b>	Third (Lowest) .....	_____	Third.....	_____	Third .....	_____
		<b>TOTAL</b>	<b>100 %</b>	Fourth (Lowest) .....	_____	Fourth .....	_____
				<b>TOTAL</b>	<b>100 %</b>	Fifth (Lowest) .....	_____
						<b>TOTAL</b>	<b>100 %</b>

4-33. When answering the rating question above, were the teacher evaluation policies and practices in that year ....

SELECT ONE ONLY

A pilot of the state’s new teacher evaluation policies and practices based on new laws or regulations since 2009 ..... 1

Statewide teacher evaluation policies and practices that were the same as or very similar to those in place during this school year (2013-14)..... 2

Older teacher evaluation practices that were in effect in your state during the most recent evaluation year and are not the same as or similar to current practices based on the state’s new laws or regulations for teacher evaluation since 2009? ..... 3

**Statewide Data on Individual Principals**

**4-34. During this school year (2013-14), does your state have statewide data on individual principals that includes any of the following elements?**

*(Select NA, where available, if tenure is not offered in your state.)*

	SELECT ONE RESPONSE IN EACH ROW		
	YES	NO	NA
a. Overall (summative) evaluation ratings for individual principals .....	1	0	
b. Schoolwide value added measures (VAMs) or student growth percentiles (SGPs) for (some) individual principals.....	1	0	
c. Rating from a principal professional practice rubric for individual principals .....	1	0	
d. Tenure status of individual principals .....	1	0	na
e. Degree-granting institutions and degrees earned by individual principals .....	1	0	
f. Certification status of individual principals.....	1	0	
g. Years of experience of individual principals.....	1	0	
h. Other (specify)..... _____	1	0	

**4-35. For the most recent school year with complete principal evaluations (for example, 2012-13), does the state have statewide data on the number of principals in each evaluation rating category?**

Yes ..... 1

No ..... 0

4-36. Based on the most recent evaluations completed (for example, 2012-13), please indicate the percentage of principals in your state who fell into each of the performance evaluation rating categories, from the highest to lowest category.

*(If your state has adopted new laws or regulations for principal evaluation since 2009, please refer to the principal evaluation practices being piloted or implemented in response to these new laws or regulations when responding. If no evaluations were completed in 2012-13 using that system, please refer to the evaluation practices in your state during the most recent evaluation year.*

*Please select the column that matches the number of rating categories in your state in place for the most recent evaluations completed. Write in the percentage of principals in each category. If no principals fell into a category, please enter a "0".*

*Your best estimate for percentages is fine.)*

Check box if you are unable to estimate the percentages.

TWO RATING CATEGORIES		THREE RATING CATEGORIES		FOUR RATING CATEGORIES		FIVE RATING CATEGORIES	
CATEGORY	% OF ALL PRINCIPALS	CATEGORY	% OF ALL PRINCIPALS	CATEGORY	% OF ALL PRINCIPALS	CATEGORY	% OF ALL PRINCIPALS
First (Highest).....	_____	First (Highest) .....	_____	First (Highest) .....	_____	First (Highest).....	_____
Second (Lowest).....	_____	Second .....	_____	Second .....	_____	Second .....	_____
<b>TOTAL</b>	<b>100 %</b>	Third (Lowest).....	_____	Third.....	_____	Third .....	_____
		<b>TOTAL</b>	<b>100 %</b>	Fourth (Lowest) .....	_____	Fourth .....	_____
				<b>TOTAL</b>	<b>100 %</b>	Fifth (Lowest) .....	_____
						<b>TOTAL</b>	<b>100 %</b>

4-37. When answering the rating question above, were the principal evaluation policies and practices in that year ....

SELECT ONE ONLY

A pilot of the state’s new principal evaluation policies and practices based on new laws or regulations since 2009 ..... 1

Statewide principal evaluation policies and practices that were the same as or very similar to those in place during this school year (2013-14)..... 2

Older principal evaluation practices that were in effect in your state during the most recent evaluation year and are not the same as or similar to current practices based on the state’s new laws or regulations for principal evaluation since 2009?..... 3

**Educator Distribution**

**4-38. Within the past 12 months, has your state examined information about the distribution of teacher quality or effectiveness across schools or districts serving different student populations (e.g., high-poverty or urban schools compared with low-poverty or rural schools)?**

SELECT ONE ONLY

- Yes, conducted by a contractor hired by the State Education Agency ..... 1
- Yes, conducted by State Education Agency staff ..... 2
- No ..... 0 → Skip to 4-41

**4-39. What information was used to define teacher quality or effectiveness in this examination of the distribution of teachers?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Teacher evaluation ratings.....	1	0
b. Teacher effectiveness as measured by the teacher’s value added measure (VAM) or student growth percentile (SGP).....	1	0
c. Teacher experience.....	1	0
d. Teacher certification.....	1	0
e. Teacher education (e.g., proportion of teachers with master’s degrees).....	1	0
f. Assignment of teachers to grades or classes outside of their field of certification	1	0
g. Teacher’s “highly qualified” status based on definitions of No Child Left Behind.	1	0
h. Other (specify).....	1	0

\_\_\_\_\_

**4-40. What actions has your state taken to address any inequities found in teacher quality or effectiveness?**

- Check box if not applicable – Analysis found no substantial inequities in teacher quality or effectiveness and skip to 4-41.**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. State provided findings about inequities to school districts and/or the public.....	1	0
b. State has established financial incentives to encourage qualified or effective teachers who move to or stay in schools with lower levels of teacher quality or effectiveness compared to other schools.....	1	0
c. State has provided resources (e.g., professional development, coaching) to improve the effectiveness of less-qualified or effective teachers .....	1	0
d. State requires school districts to develop a plan for addressing inequities .....	1	0
e. Other (specify)..... _____	1	0
f. State has not taken action to address inequities in access to effective teachers.....	1	0

**4-41. Within the past 12 months, has your state examined information about the distribution of principal quality or effectiveness across schools or districts serving different populations (e.g., high-poverty or urban schools compared with low-poverty or rural schools)?**

SELECT ONE ONLY

- Yes, conducted by a contractor hired by the State Education Agency ..... 1
- Yes, conducted by State Education Agency staff..... 2
- No ..... 0 → Skip to 4-44

**4-42. In this examination of the distribution of principals, what information was used to define principal quality or effectiveness?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Principal evaluation ratings.....	1	0
b. Principal effectiveness as measured by achievement growth of students using a value added measure (VAM) or student growth percentile (SGP) .....	1	0
c. Principal experience .....	1	0
d. Principal certification .....	1	0
e. Principal educational attainment.....	1	0
f. Other (specify).....	1	0

---

**4-43. What actions has your state taken to address any inequities found in principal quality or effectiveness?**

**Check box if not applicable – Analysis found no substantial inequities in principal quality or effectiveness and skip to 4-44.**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. State provided findings about inequities to school districts and/or the public.....	1	0
b. State has established financial incentives to encourage qualified or effective principals who move to or stay in schools with lower levels of principal quality or effectiveness compared to other schools.....	1	0
c. State has provided resources (e.g., professional development, coaching) to improve the effectiveness of less-qualified or effective principals.....	1	0
d. State requires school districts to develop a plan for addressing inequities .....	1	0
e. Other (specify).....	1	0

---

f. State has not taken action to address inequities in access to effective principals.....	1	0
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## Educator Preparation

- 4-44. Within the past 12 months, has the state assessed the effectiveness of any of its teacher preparation programs? Indicate whether the state assessed the effectiveness of traditional preparation programs or alternative preparation programs. (Select NA if your state does not have alternative preparation programs.)

	SELECT ONE RESPONSE IN EACH ROW		
	YES	NO	NA
a. Traditional programs.....	1	0	
b. Alternative programs .....	1	0	na

**IF NO OR NA ANSWERED TO BOTH ITEMS IN 4-44 SKIP TO 4-48.**

- 4-45. Within the past 12 months, which of the following types of information did the state use to assess the effectiveness of any of its teacher preparation programs? Please indicate if each type of information has been used for assessing effectiveness of traditional preparation programs only, alternative preparation programs only, both traditional and alternative programs, or neither.

	SELECT ONE RESPONSE IN EACH ROW			
	TRADITIONAL ONLY	ALTERNATIVE PREPARATION ONLY	BOTH TRADITIONAL AND ALTERNATIVE PREPARATION	NEITHER
a. The percentage of the program's graduates who earn certification.....	1	2	3	0
b. The percentage of the program's graduates placed in teaching jobs.....	1	2	3	0
c. Rates of retention in the profession of the program's graduates .....	1	2	3	0
d. Teacher evaluation ratings of teachers who graduated from each program.....	1	2	3	0
e. Value added measures (VAMs) or student growth percentiles (SGPs) for teachers who graduated from each program.....	1	2	3	0
f. Classroom observation ratings for teachers who graduated from each program.....	1	2	3	0
g. Qualitative program reviews.....	1	2	3	0
h. Feedback from principals, other school staff, or human resources staff on credentialed teachers from each program .....	1	2	3	0
i. Something else (specify) .....	1	2	3	0

**4-46. Within the past 12 months, has your state reported information about the effectiveness of the teachers they prepared to the schools of education or alternative preparation programs that the teachers attended using information listed in question 4-45?**

*(Select NA if your state does not have alternative preparation programs.)*

SELECT ONE RESPONSE IN EACH ROW			
	YES	NO	NA
a. State reported information about effectiveness to schools of education .....	1	0	
b. State reported information about effectiveness to alternative preparation programs .....	1	0	na

**4-47. Within the past 12 months, has your state publicly reported information about the effectiveness of teachers prepared by schools of education or alternative preparation programs?**

*(Select NA if your state does not have alternative preparation programs.)*

SELECT ONE RESPONSE IN EACH ROW			
	YES	NO	NA
a. State publicly reported information about the effectiveness of schools of education .....	1	0	
b. State publicly reported information about the effectiveness of alternative preparation programs .....	1	0	na

**4-48. Within the past 12 months, has the state assessed the effectiveness of its principal preparation programs? Indicate whether the state assessed the effectiveness of traditional preparation programs or alternative preparation programs.**

*(Select NA if your state does not have alternative preparation programs.)*

SELECT ONE RESPONSE IN EACH ROW			
	YES	NO	NA
a. Traditional programs .....	1	0	
b. Alternative programs .....	1	0	na

**IF NO OR NA ANSWERED TO BOTH ITEMS IN 4-48 SKIP TO END OF THIS SECTION OF THE SURVEY.**



**4-49. Within the past 12 months, which of the following types of information did the state use to assess the effectiveness of any of its principal preparation programs? Please indicate if each type of information has been used for assessing effectiveness of traditional preparation programs only, alternative preparation programs only, both traditional and alternative programs, or neither.**

SELECT ONE RESPONSE IN EACH ROW

	TRADITIONAL ONLY	ALTERNATIVE PREPARATION ONLY	BOTH TRADITIONAL AND ALTERNATIVE PREPARATION	NEITHER
a. The percentage of the program’s graduates who earn certification.....	1	2	3	0
b. The percentage of the program’s graduates placed as school principals.....	1	2	3	0
c. Rates of retention in the profession of the program’s graduates .....	1	2	3	0
d. Principal evaluation ratings of principals who graduated from each program.....	1	2	3	0
e. Value added measures (VAMs) or student growth percentiles (SGPs) associated with principals who graduated from each program .....	1	2	3	0
f. Ratings on a professional practice rubric for principals who graduated from each program .....	1	2	3	0
g. Qualitative program reviews.....	1	2	3	0
h. Feedback from district administrators or human resources staff on credentialed principals from each program .....	1	2	3	0
i. Something else (specify) .....	1	2	3	0
_____				

**4-50. Within the past 12 months, has your state reported information about the effectiveness of the principals they prepared to the schools of education or alternative preparation programs that the principals attended?**

*(Select NA if your state does not have alternative preparation programs.)*

SELECT ONE RESPONSE IN EACH ROW

	YES	NO	NA
a. State reported information about effectiveness to schools of education.....	1	0	
b. State reported information about effectiveness to alternative preparation programs .....	1	0	na

**4-51. Within the past 12 months, has your state publicly reported information about the effectiveness of principals prepared by schools of education or alternative preparation programs?**

*(Select NA if your state does not have alternative preparation programs.)*

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO	NA
a. State publicly reported information about the effectiveness of schools of education .....	1	0	
b. State publicly reported information about the effectiveness of alternative preparation programs.....	1	0	na

Please provide the following information for each state education department staff member who assisted with the completion of this survey section.

Name	Position Title	Number of years in the position

**Thank you for completing this survey.**

OMB#: 1850-0902

Expiration Date: 02/28/2017

# ***Implementation of Title I/II Program Initiatives***

## **Survey of State Education Agencies Version For States without ESEA Flexibility**

### **SECTION 3:**

### **School Accountability and Turning Around Low-Performing Schools**

*(Remaining Sections are the Same as the ESEA Flexibility Version)*

**2013-2014**



#### **Paperwork Reduction Act of 1995**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Education Department General Administrative Regulations, Sections 75.591 and 75.592). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1850-0902. Note: Please do not return the completed survey to this address.

#### **Notice of Confidentiality**

Information collected for this study comes under the confidentiality and data protection requirements of the Institute of Education Sciences (The Education Sciences Reform Act of 2002, Title I, Part E, Section 183). Responses to this data collection will be used only for statistical purposes. The reports prepared for this study will summarize findings across the sample and will not associate responses with a specific individual. We will not provide information that identifies you to anyone outside the study team, except as required by law.

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### Section 3. School Accountability and Turning Around Low-Performing Schools

**DEFINITIONS FOR USE THROUGHOUT THIS SECTION:**

**Cohort-to-cohort improvement** is the change in schoolwide proficiency rates, attendance, or other group-level measures of academic performance from one year to the next (for example, last year’s fourth grade proficiency rate compared with this year’s fourth grade proficiency rate).

**Student achievement growth** is the change in student achievement for an *individual student* between two or more points in time, and may be measured using student growth percentiles (SGPs), value added measures (VAMs), student growth objectives (SGOs), or other measures of change in student achievement over time.

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**3-1. Which of the following best describes your state’s goal for student achievement under the federal Elementary and Secondary Education Act (ESEA)?**

SELECT ONE ONLY

- That 100% of the students achieve proficiency on the state assessments by 2013-14 ... 1
- To reduce by half the percentage of all students and subgroups who are not proficient on the state assessment(s) within 6 years ..... 2
- That 100% of students achieve proficiency on the state assessment(s) by 2019-20 ..... 3
- Other (specify) ..... 4

**3-2. During this school year (2013-14), has your state recognized any schools as high-performing or as making high progress (i.e., substantially improving), based on student outcomes measured by required state summative assessments and/or graduation rates?**

*(Include Title I Distinguished Schools and other state recognition programs. Do not include National Blue Ribbon Schools (as designated by the U.S. Department of Education) unless they have also been designated as high-performing or high-progress schools as part of a state program.)*

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. State has identified high-performing schools .....	1	0
b. State has identified high-progress schools.....	1	0

**IF NO TO BOTH, SKIP TO INTRODUCTION BEFORE 3-7.**

3-3. How many of the schools currently identified as high-performing or high-progress (substantially improving) are Title I and Non-Title I schools?

*(If your state did not identify any high-progress schools based on 2012-13 performance, write NA in the space provided.)*

NUMBER OF SCHOOLS		
	HIGH-PERFORMING SCHOOLS	HIGH-PROGRESS SCHOOLS
a. Title I schools .....	_____	_____
b. Non-Title I schools .....	_____	_____

3-4. What criteria were used to identify high-performing schools?

Check box if your state does not have a category of schools identified as high-performing and skip to 3-5.

	TITLE I HIGH-PERFORMING SCHOOLS				NON-TITLE I HIGH-PERFORMING SCHOOLS			
	ELEMENTARY/ MIDDLE SCHOOLS		HIGH SCHOOLS		ELEMENTARY/ MIDDLE SCHOOLS		HIGH SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO	YES	NO	YES	NO
a. Achievement/proficiency in English language arts (ELA) and Math for all students ...	1	0	1	0	1	0	1	0
b. Cohort-to-cohort improvement in achievement/ proficiency in ELA and Math for all students .....	1	0	1	0	1	0	1	0
c. Growth in the achievement of individual students in ELA and Math, measured for all students .....	1	0	1	0	1	0	1	0
d. Achievement/proficiency in ELA and Math for student subgroups .....	1	0	1	0	1	0	1	0
e. Achievement/proficiency in Science or Social Studies for all students .....	1	0	1	0	1	0	1	0
f. Attendance rates for all students .....	1	0	1	0	1	0	1	0
g. Graduation rates for all students .....	1	0	1	0	1	0	1	0
h. Dropout rates for all students .....	1	0	1	0	1	0	1	0
i. Graduation rates for student subgroups .....	1	0	1	0	1	0	1	0
j. Dropout rates for student subgroups .....	1	0	1	0	1	0	1	0
k. Other (specify) .....	1	0	1	0	1	0	1	0

3-5. What criteria were used to identify high-progress (substantially improving) schools?

Check box if your state does not have a category of schools identified as making high progress (substantially improving) and skip to 3-6.

	TITLE I HIGH-PROGRESS SCHOOLS				NON-TITLE I HIGH-PROGRESS SCHOOLS			
	ELEMENTARY/ MIDDLE SCHOOLS		HIGH SCHOOLS		ELEMENTARY/ MIDDLE SCHOOLS		HIGH SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO	YES	NO	YES	NO
a. Achievement/proficiency in English language arts (ELA) and Math for all students ...	1	0	1	0	1	0	1	0
b. Cohort-to-cohort improvement in achievement/proficiency in ELA and Math for all students .....	1	0	1	0	1	0	1	0
c. Growth in the achievement of individual students in ELA and Math, measured for all students .....	1	0	1	0	1	0	1	0
d. Achievement/proficiency in ELA and Math for student subgroups .....	1	0	1	0	1	0	1	0
e. Achievement/proficiency in Science or Social Studies for all students .....	1	0	1	0	1	0	1	0
f. Attendance rates for all students .....	1	0	1	0	1	0	1	0
g. Graduation rates for all students .....	1	0	1	0	1	0	1	0
h. Dropout rates for all students .....	1	0	1	0	1	0	1	0
i. Graduation rates for student subgroups .....	1	0	1	0	1	0	1	0
j. Dropout rates for student subgroups .....	1	0	1	0	1	0	1	0
k. Other (specify) .....	1	0	1	0	1	0	1	0
_____								



**3-6. Does your state recognize Title I high-performing and/or high-progress schools in any of the following ways?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Public recognition .....	1	0
b. Financial rewards for teachers and/or principals .....	1	0
c. Additional funding for schools to use for educational purposes .....	1	0
d. Additional operating flexibility or exemption from state/district requirements.....	1	0
e. Opportunities to share best practices with other schools in the state .....	1	0
f. Other (specify) .....	1	0

The No Child Left Behind (NCLB) Act requires states to identify chronically low-performing schools as in Restructuring, in Corrective Action, or in Need of Improvement. This section asks about low-performing schools in those categories in your state.

The next set of questions pertain to your state’s Title I and Non-Title I schools in Restructuring and Corrective Action.

**3-7. During this school year (2013-14), are any Title I or Non-Title I schools in your state in “Restructuring” or “Corrective Action” status under the No Child Left Behind Act (NCLB)?**

	SCHOOLS IN RESTRUCTURING		SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Title I schools.....	1	0	1	0
b. Non-title I schools .....	1	0	1	0

**3-8 During this school year (2013-14), how many schools in your state are receiving funds under the federal School Improvement Grant (SIG) program?**

\_\_\_\_\_ NUMBER OF SCHOOLS RECEIVING SIG FUNDS IN 2013-14

**IF YOUR STATE HAS NO SCHOOLS IN RESTRUCTURING OR IN CORRECTIVE ACTION, SKIP TO 3-35, OTHERWISE CONTINUE WITH 3-9.**

3-9. Among the schools that were in Restructuring or Corrective Action during the last school year (2012-13), how many were closed after the 2012-13 school year for performance reasons?

*(Write in NA, where appropriate, if you had no schools in Restructuring or Corrective Action during the 2012-13 school year. Write in '0' if no schools were closed.)*

**Title I Schools**

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN RESTRUCTURING THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN CORRECTIVE ACTION THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

**Non-Title I Schools**

\_\_\_\_\_ NUMBER OF NON-TITLE I SCHOOLS IN RESTRUCTURING THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

\_\_\_\_\_ NUMBER OF NON-TITLE I SCHOOLS IN CORRECTIVE ACTION THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

3-10. First, thinking about Title I schools in Restructuring and Corrective Action, does the state require any interventions or changes to be made this year (2013-14)?

	TITLE I SCHOOLS IN RESTRUCTURING	TITLE I SCHOOLS IN CORRECTIVE ACTION
	SELECT ONE RESPONSE PER COLUMN	
a. State requires specific interventions/changes in these schools .....	1	1
b. State leaves interventions/changes in these schools to local discretion with state approval.....	2	2
c. State leaves interventions/changes in these schools completely to local discretion.....	3	3

**3-11. For Title I Schools in Restructuring and Corrective Action, what interventions, if any, does the state require?**

Interventions for Title I Schools in Restructuring or Corrective Action:	TITLE I SCHOOLS IN RESTRUCTURING		TITLE I SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	REQUIRED	NOT REQUIRED	REQUIRED	NOT REQUIRED
a. Schools must prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of Annual Measurable Objectives (AMOs).....	1	2	1	2
b. School improvement plans must be available to the public....	1	2	1	2
c. Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs.....	1	2	1	2
d. Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs.....	1	2	1	2
e. Districts must offer students the opportunity to attend other schools (school choice) .....	1	2	1	2
f. Districts must offer low-income students the opportunity to enroll in after-school supplemental educational services .....	1	2	1	2
g. Schools must take some other action (specify) .....	1	2	1	2

**3-12. Next, thinking about Non-Title I schools in Restructuring and Corrective Action, does the state require any interventions or changes to be made this year (2013-14)?**

*Check box if your state has no Non-Title I schools in Restructuring or Corrective Action and skip to 3-14.*

	NON-TITLE I SCHOOLS IN RESTRUCTURING	NON-TITLE I SCHOOLS IN CORRECTIVE ACTION
	SELECT ONE RESPONSE PER COLUMN	
a. State requires specific interventions/changes in these schools .....	1	1
b. State leaves interventions/changes in these schools to local discretion with state approval.....	2	2
c. State leaves interventions/changes in these schools completely to local discretion.....	3	3

3-13. For Non-Title I Schools in Restructuring and Corrective Action, what interventions, if any, does the state require?

Interventions for Non-Title I Schools in Restructuring or Corrective Action:	NON-TITLE I SCHOOLS IN RESTRUCTURING		NON-TITLE I SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	REQUIRED	NOT REQUIRED	REQUIRED	NOT REQUIRED
a. Schools must prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of Annual Measurable Objectives (AMOs).....	1	2	1	2
b. School improvement plans must be available to the public ....	1	2	1	2
c. Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs.....	1	2	1	2
d. Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs.....	1	2	1	2
e. Districts must offer students the opportunity to attend other schools (school choice) .....	1	2	1	2
f. Districts must offer low-income students the opportunity to enroll in after-school supplemental educational services .....	1	2	1	2
g. Schools must take some other action (specify) .....	1	2	1	2
_____				

The next questions pertain to your state’s Title I Schools in Restructuring and Corrective Action.

3-14. Among Title I Schools in Restructuring, how many are implementing each of the following initiatives during this school year (2013-14)?

(Write in the number of Title I Schools in Restructuring implementing each initiative, or select “none” or “don’t know”)

SELECT ONE RESPONSE IN EACH ROW

TITLE I SCHOOLS IN RESTRUCTURING		
NUMBER OF SCHOOLS	NONE	DON'T KNOW

**School Initiatives**

a. Implementing a “restart” model as defined in U.S. Department of Education regulations.....	_____	0	d
b. Implementing a “transformation” model as defined in U.S. Department of Education regulations.....	_____	0	d
c. Implementing a “turnaround” model as defined in U.S. Department of Education regulations.....	_____	0	d

3-15. Are all, some, or no Title I Schools in Restructuring in the state implementing the following academic and structural changes during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

TITLE I SCHOOLS IN RESTRUCTURING		
ALL	SOME	NONE

**School Academic and Structural Changes**

a. Implementing a comprehensive schoolwide reform model .....	2	1	0
b. Operating an extended school day, week, or year.....	2	1	0

3-16. Among Title I Schools in Corrective Action, how many are implementing each of the following initiatives during this school year (2013-14)?

(Write in the number of Title I Schools in Corrective Action implementing each initiative, or select “none” or “don’t know”.)

SELECT ONE RESPONSE IN EACH ROW

TITLE I SCHOOLS IN CORRECTIVE ACTION		
NUMBER OF SCHOOLS	NONE	DON'T KNOW

**School Initiatives**

a. Implementing a “restart” model as defined in U.S. Department of Education regulations.....	_____	0	d
b. Implementing a “transformation” model as defined in U.S. Department of Education regulations.....	_____	0	d
c. Implementing a “turnaround” model as defined in U.S. Department of Education regulations.....	_____	0	d

3-17. Are all, some, or no Title I Schools in Corrective Action in the state implementing the following academic and structural changes during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

TITLE I SCHOOLS IN CORRECTIVE ACTION		
ALL	SOME	NONE

**School Academic and Structural Changes**

a. Implementing a comprehensive schoolwide reform model .....	2	1	0
b. Operating an extended school day, week, or year.....	2	1	0

The next questions pertain to your state's Title I schools in Restructuring and Corrective Action.

3-18. For Title I schools in Restructuring or Corrective Action that are implementing intervention models during this school year (2013-14), did the state provide any of the following types of guidance to districts regarding the selection of school intervention models?

	GUIDANCE TO DISTRICTS ABOUT			
	TITLE I SCHOOLS IN RESTRUCTURING		TITLE I SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. The state allowed or prohibited specific models and/or strategies.	1	0	1	0
b. The state provided guidance on how to match the model to school needs and capacity .....	1	0	1	0
c. The state provided guidance on models appropriate for addressing the needs of English learners .....	1	0	1	0
d. The state provided guidance on models appropriate for addressing the needs of students with disabilities.....	1	0	1	0
e. The state provided guidance on how to engage the community in the selection of the model .....	1	0	1	0
f. Something else (specify)..... _____	1	0	1	0

3-19. How many of the Title I Schools in Restructuring and Corrective Action in the state have been placed under a new form of management for the 2013-14 school year?

*(Write the number of schools in each category. If "none" write in 0.)*

	NUMBER OF TITLE I SCHOOLS	
	IN RESTRUCTURING	IN CORRECTIVE ACTION
a. Direct state control or statewide accountability district .....	_____	_____
b. Converted to charter school .....	_____	_____
c. Managed by a school management organization, either for-profit or nonprofit.....	_____	_____
TOTAL SCHOOLS UNDER NEW FORM OF MANAGEMENT	_____	_____

**3-20. How many Title I schools in Restructuring and Corrective Action in the state have been removed from district control since the beginning of the 2012-13 school year?**

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN RESTRUCTURING REMOVED FROM DISTRICT CONTROL

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN CORRECTIVE ACTION REMOVED FROM DISTRICT CONTROL

The next questions pertain to your state's Non-Title I schools in Restructuring and Corrective Action.

**3-21. How many Non-Title I schools in Restructuring and Corrective Action in the state have been placed under a new form of management for the 2013-14 school year?**

*(Write the number of Schools in each category. If "none" write in 0.*

*If the state has no Non-Title I schools in Restructuring or Corrective Action, leave blank.)*

	NUMBER OF NON-TITLE I	
	SCHOOLS IN RESTRUCTURING	SCHOOLS IN CORRECTIVE ACTION
a. Direct state control or statewide accountability district .....	_____	_____
b. Converted to charter school .....	_____	_____
c. Managed by a school management organization, either for-profit or nonprofit.....	_____	_____
TOTAL SCHOOLS UNDER NEW FORM OF MANAGEMENT	_____	_____

**3-22. How many Non-Title I schools in Restructuring and Corrective Action in the state have been removed from district control since the beginning of the 2012-13 school year?**

*(Write in NA, where appropriate, if you had no Non-Title I schools in Restructuring or Corrective Action during the 2012-13 school year. Write in '0' if no schools were removed from district control.)*

\_\_\_\_\_ NUMBER OF NON-TITLE I SCHOOLS IN RESTRUCTURING REMOVED FROM DISTRICT CONTROL

\_\_\_\_\_ NUMBER OF NON-TITLE I SCHOOLS IN CORRECTIVE ACTION REMOVED FROM DISTRICT CONTROL



The next questions pertain to your state's Title I and Non-Title I Schools in Restructuring and Corrective Action.

3-23. To what extent were changes in personnel used to turn around Title I and Non-Title I schools in Restructuring or Corrective Action before the start of this school year (2013-14)?

*(Write the number of schools in Restructuring and in Corrective Action in which the principal was replaced or in which half or more of the teaching staff was replaced before the start of the 2013-14 school year as part of the school improvement plan. If the state has no Non-Title I schools in Restructuring or Corrective Action, write in NA.)*

NUMBER OF SCHOOLS					
		TITLE I		NON-TITLE I	
		SCHOOLS IN RESTRUCTURING	SCHOOLS IN CORRECTIVE ACTION	SCHOOLS IN RESTRUCTURING	SCHOOLS IN CORRECTIVE ACTION
a.	Principal replaced .....	_____	_____	_____	_____
b.	Half or more of the teaching staff replaced .....	_____	_____	_____	_____

**3-24. Do the state’s current teacher assignment laws or policies for schools in Title I and Non-Title I Restructuring or Corrective Action include any of the following features?**

*(Leave the appropriate third or fourth columns blank if the state has no Non-Title I schools in Restructuring or Corrective Action.)*

	TITLE I				NON-TITLE I			
	SCHOOLS IN RESTRUCTURING		SCHOOLS IN CORRECTIVE ACTION		SCHOOLS IN RESTRUCTURING		SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO	YES	NO	YES	NO
a. Financial incentives for teachers to begin or continue to work in the relevant schools .....	1	0	1	0	1	0	1	0
b. Financial incentives for staff with English learner expertise to begin or continue to work in the relevant schools .....	1	0	1	0	1	0	1	0
c. Financial incentives for staff with expertise working with students with disabilities to begin or continue to work in the relevant schools .....	1	0	1	0	1	0	1	0
d. More flexibility in, or exemptions from, collective bargaining agreements or certain state employment laws/regulations that guide staffing decisions.....	1	0	1	0	1	0	1	0
e. School discretion or authority to decide which staff to hire for the relevant schools .....	1	0	1	0	1	0	1	0
f. Exemption from teacher tenure rules that affect placement in or removal from the relevant schools (specify which rules) .....	1	0	1	0	1	0	1	0

The next questions pertain to your state's Title I Schools in Restructuring and Corrective Action.

3-25. During this school year (2013-14), and including last summer (2013), what additional professional development or technical assistance has the state provided to principals in Title I schools in Restructuring and Corrective Action, beyond what is available to any Title I school?

Additional professional development or assistance for principals on...	PROVIDED TO TITLE I			
	SCHOOLS IN RESTRUCTURING		SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. School improvement planning, identifying interventions, or budgeting effectively.....	1	0	1	0
b. Acting as instructional leaders.....	1	0	1	0
c. Recruiting, retaining, and developing more effective teachers.....	1	0	1	0

3-26. Thinking now about teachers, during this school year (2013-14) and including last summer (2013), what additional professional development or technical assistance has the state provided to teachers in Title I schools in Restructuring and Corrective Action, beyond what is available to any Title I school?

Additional professional development or assistance for teachers on...	PROVIDED TO TITLE I			
	SCHOOLS IN RESTRUCTURING		SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Analyzing student assessment data to improve instruction.....	1	0	1	0
b. Working effectively in teacher teams to improve instruction.....	1	0	1	0
c. Identifying and implementing strategies to address the needs of English learners.....	1	0	1	0
d. Identifying and implementing strategies to address the needs of students with disabilities.....	1	0	1	0

3-27. During this school year (2013-14), what additional resources has the state provided to Title I schools in Restructuring and Corrective Action, beyond what is available to any Title I school?

	PROVIDED TO TITLE I			
	SCHOOLS IN RESTRUCTURING		SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Additional resources to be used for purposes specified in the school improvement plan .....	1	0	1	0
b. Additional resources to be used to reduce class sizes .....	1	0	1	0
c. Additional resources to be used to add instructional time (extended day or extended school year).....	1	0	1	0
d. Other additional resources (specify)..... _____	1	0	1	0

3-28. Does the state currently have any organizational or administrative structures specifically intended to improve state capacity to support school turnaround efforts for schools in Restructuring or Corrective Action? By school turnaround, we mean the implementation of changes in low-performing schools designed to rapidly and substantially increase student achievement.

Yes ..... 1

No ..... 0 → Skip to Intro before 3-30

3-29. During this school year (2013-14), which of the following organizational or administrative structures are in place in your state to support school turnaround efforts?

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. State staff or office whose sole responsibility is to support school turnaround .....	1	0
b. Regional staff or office whose sole responsibility is to support school turnaround.....	1	0
c. Contracts with external consultants to support school turnaround.....	1	0
d. State-level staff or consultants to provide support to turnaround schools and districts in working with English learners.....	1	0
e. State-level staff or consultants to provide support to turnaround schools and districts in working with students with disabilities .....	1	0
f. Monitoring or reporting requirements specifically for schools in Restructuring or Corrective Action.....	1	0
g. Something else (specify) .....	1	0

We would like to learn more about how your state monitors the activities and progress of Title I and Non-Title I schools in Restructuring and Corrective Action.

3-30. During this school year (2013-14), which of the following groups are responsible for monitoring the state’s Title I and Non-Title I schools in Restructuring and Corrective Action?

*(If your state has no Non-Title I schools in Restructuring or Corrective Action, leave those columns blank.)*

	MONITORS TITLE I				MONITORS NON-TITLE I			
	SCHOOLS IN RESTRUCTURING		SCHOOLS IN CORRECTIVE ACTION		SCHOOLS IN RESTRUCTURING		SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO	YES	NO	YES	NO
a. State Education Agency .....	1	0	1	0	1	0	1	0
b. Regional staff such as staff from the county office of education or BOCES (Boards of Cooperative Educational Services) .....	1	0	1	0	1	0	1	0
c. External consultants.....	1	0	1	0	1	0	1	0
d. District central office staff.....	1	0	1	0	1	0	1	0

The next questions pertain to your state's Title I Schools in Restructuring and Corrective Action.

3-31. During this school year (2013-14), which of the following strategies are used for monitoring the Title I Schools in Restructuring in your state and, for each strategy that is used, how often is it used?

SELECT YES OR NO IN EACH ROW. IF YES, SELECT ONE OPTION FOR HOW OFTEN USED

TITLE I SCHOOLS IN RESTRUCTURING	USED FOR MONITORING IN YOUR STATE?		IF USED, HOW OFTEN FOR EACH TITLE I SCHOOL IN RESTRUCTURING?				
	YES	NO	ONCE PER SCHOOL YEAR	TWICE PER SCHOOL YEAR	QUARTERLY	MONTHLY	OTHER (specify)
a. Site visits .....	1	0	1	2	3	4	_____
b. Telephone conferences .....	1	0	1	2	3	4	_____
c. Discussions with parents/community..	1	0	1	2	3	4	_____
d. Analysis of student data.....	1	0	1	2	3	4	_____
e. Other (specify) .....	1	0	1	2	3	4	_____

3-32. During this school year (2013-14), which of the following strategies are used for monitoring the Title I Schools in Corrective Action in your state and, for each strategy that is used, how often is it used?

SELECT YES OR NO IN EACH ROW. IF YES, SELECT ONE OPTION FOR HOW OFTEN USED

TITLE I SCHOOLS IN CORRECTIVE ACTION	USED FOR MONITORING IN YOUR STATE?		IF USED, HOW OFTEN FOR EACH TITLE I SCHOOL IN CORRECTIVE ACTION?				
	YES	NO	ONCE PER SCHOOL YEAR	TWICE PER SCHOOL YEAR	QUARTERLY	MONTHLY	OTHER (specify)
a. Site visits .....	1	0	1	2	3	4	_____
b. Telephone conferences .....	1	0	1	2	3	4	_____
c. Discussions with parents/community....	1	0	1	2	3	4	_____
d. Analysis of student data.....	1	0	1	2	3	4	_____
e. Other (specify) .....	1	0	1	2	3	4	_____

3-33. During this school year (2013-14), approximately how many full-time-equivalent (FTE) staff or consultants is the state providing or funding specifically to assist its Title I schools in Restructuring, Title I Schools in Corrective Action, and their districts?

*(Write the number of FTE staff or select "none". If "none", skip to introduction before 3-35.)*

\_\_\_\_\_ NUMBER OF FULL-TIME-EQUIVALENT STAFF OR CONSULTANTS SUPPORTING TITLE I SCHOOLS IN  
RESTRUCTURING OR CORRECTIVE ACTION

NONE ..... 0 → Skip to Intro before 3-35

3-34. How many Title I schools in Restructuring and Corrective Action, in total, are being served by those state staff or state-funded consultants?

*(Write the number of schools. If "none", write in 0)*

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN RESTRUCTURING SERVED

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN CORRECTIVE ACTION SERVED *(Write zero if staff or consultants serve only Schools in Restructuring)*

For the next set of questions, please consider Title I and Non-Title I schools in your state that are identified as in Need of Improvement but NOT in Restructuring or Corrective Action.

3-35. For schools identified as in Need of Improvement, what interventions, if any, does the state require?

- Check box if no specific interventions are required in Title I Schools in Need of Improvement, and skip to intro before 3-39.

*(If your state has no Non-Title I schools in Need of Improvement, leave that column blank.)*

Interventions for schools in Need of Improvement:	TITLE I SCHOOLS IN NEED OF IMPROVEMENT		NON-TITLE I SCHOOLS IN NEED OF IMPROVEMENT	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	REQUIRED	NOT REQUIRED	REQUIRED	NOT REQUIRED
a. Schools must prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of Annual Measurable Objectives (AMOs).....	1	2	1	2
b. School improvement plans must be available to the public ...	1	2	1	2
c. Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs.....	1	2	1	2
d. Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs.....	1	2	1	2
e. Districts must offer students the opportunity to attend other schools (school choice) .....	1	2	1	2
f. Districts must offer low-income students the opportunity to enroll in after-school supplemental educational services .....	1	2	1	2
g. Schools must take some other action (specify) .....	1	2	1	2
_____				



3-36. During this school year (2013-14), how does the state monitor schools that are identified as in Need of Improvement?

	TITLE I SCHOOLS IN NEED OF IMPROVEMENT		NON-TITLE I SCHOOLS IN NEED OF IMPROVEMENT	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. The State Education Agency reviews and provides feedback on the school improvement plan.....	1	0	1	0
b. The school improvement plan must be approved by the State Education Agency .....	1	0	1	0
c. The State Education Agency monitors the thoroughness of district oversight of schools as appropriate to the performance category of those schools .....	1	0	1	0
d. The State Education Agency conducts monitoring visits to all schools in this performance category.....	1	0	1	0
e. The State Education Agency conducts monitoring visits to a sample of schools in this performance category .....	1	0	1	0

The next questions pertain to Title I schools in Need of Improvement.

3-37. During this school year (2013-14), and including last summer (2013), what additional professional development or technical assistance has the state provided to principals in Title I schools that were identified as in Need of Improvement, beyond what is available to any other Title I school?

Additional professional development of assistance for principals on...	SELECT ONE RESPONSE IN EACH ROW	
	TITLE I SCHOOLS IN NEED OF IMPROVEMENT	
	YES	NO
a. School improvement planning, identifying interventions, or budgeting effectively.....	1	0
b. Acting as instructional leaders .....	1	0
c. Recruiting, retaining, and developing more effective teachers.....	1	0

3-38. Thinking now about teachers, during this school year (2013-14), and including last summer (2013), what **additional** professional development or technical assistance has the state provided to teachers in Title I schools that were identified as in Need of Improvement **beyond what is available to any other Title I school?**

SELECT ONE RESPONSE  
IN EACH ROW

Additional professional development of assistance for teachers on...	TITLE I SCHOOLS IN NEED OF IMPROVEMENT	
	YES	NO
a. Analyzing student assessment data to improve instruction .....	1	0
b. Working effectively in teacher teams to improve instruction .....	1	0
c. Identifying and implementing strategies to address the needs of English learners .....	1	0
d. Identifying and implementing strategies to address the needs of students with disabilities .....	1	0

Next, we ask about your state’s approach to working with or through “intermediaries” to support the implementation of statewide education reforms and priorities. These “intermediaries” may be regional branches, contractors, consultants, or grant recipients of the State Education Agency, who support the State Education Agency’s work but are not paid as State Education Agency employees.

3-39. Does your State Education Agency currently work with any intermediaries to support the implementation of statewide education reform priorities in any of the following areas?

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Implementing college and career ready standards and assessments .....	1	0
b. Using data to improve instruction .....	1	0
c. Recruiting, developing, rewarding, and retaining effective teachers and school leaders....	1	0
d. Turning around your state’s schools that are in Restructuring or Corrective Action .....	1	0
e. Providing supports for English learners .....	1	0
f. Providing supports for students with disabilities .....	1	0
g. Increasing state capacity in any of the areas listed in items a through f above .....	1	0
h. Some other reform area (specify area).....	1	0

**IF AT LEAST ONE YES, PROCEED TO 3-40. IF ALL OF THE ABOVE ARE NO, SKIP TO 3-42.**

**3-40. Within the past year, did the State Education Agency work with any of the following type(s) of intermediaries to support the implementation of statewide education reform priorities in the various areas identified in the preceding question?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Federally-supported comprehensive center, regional educational laboratory, equity assistance center, or content center (specify)..... _____	1	0
b. Postsecondary institutions.....	1	0
c. Regional/county offices .....	1	0
d. Educators contracted by the state such as distinguished educators.....	1	0
e. Other external organizations (specify)..... _____	1	0

**3-41. Continuing to focus on the intermediaries with whom the State Education Agency worked in the past year, with which of the following groups were these intermediaries expected to work?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. State-level staff .....	1	0
b. All districts .....	1	0
c. <b>Districts</b> identified for Improvement or Corrective Action under NCLB.....	1	0
d. <b>Schools</b> in Corrective Action and/or Restructuring under NCLB and/or the districts in which these schools are located .....	1	0
e. <b>Schools</b> identified for Improvement under NCLB and/or the districts in which these schools are located .....	1	0
f. Some other groups of districts and/or schools (specify)..... _____	1	0

3-42. Considering the availability of state staff and consultants, to what extent are the following a challenge during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Monitoring districts and/or schools .....	1	2	3
b. Providing targeted support or technical assistance to districts and/or schools .....	1	2	3
c. Developing guidelines for teacher and principal evaluation in the state .....	1	2	3
d. Working with districts to implement teacher and principal evaluation models.....	1	2	3
e. Developing state longitudinal data systems.....	1	2	3
f. Working with districts and/or schools on the use of data to improve instruction .....	1	2	3
g. Supporting districts and/or schools in the process of turning around low-achieving schools.....	1	2	3
h. Some other type of expertise (specify) .....	1	2	3

\_\_\_\_\_

Please provide the following information for each state education department staff member who assisted with the completion of this survey section.

Name	Position Title	Number of years in the position

OMB#: 1850-0902

Expiration Date: 02/28/2017

# *Implementation of Title I/II Program Initiatives*

## **Extant Data Form For States with ESEA Flexibility 2013-2014**



### **Paperwork Reduction Act of 1995**

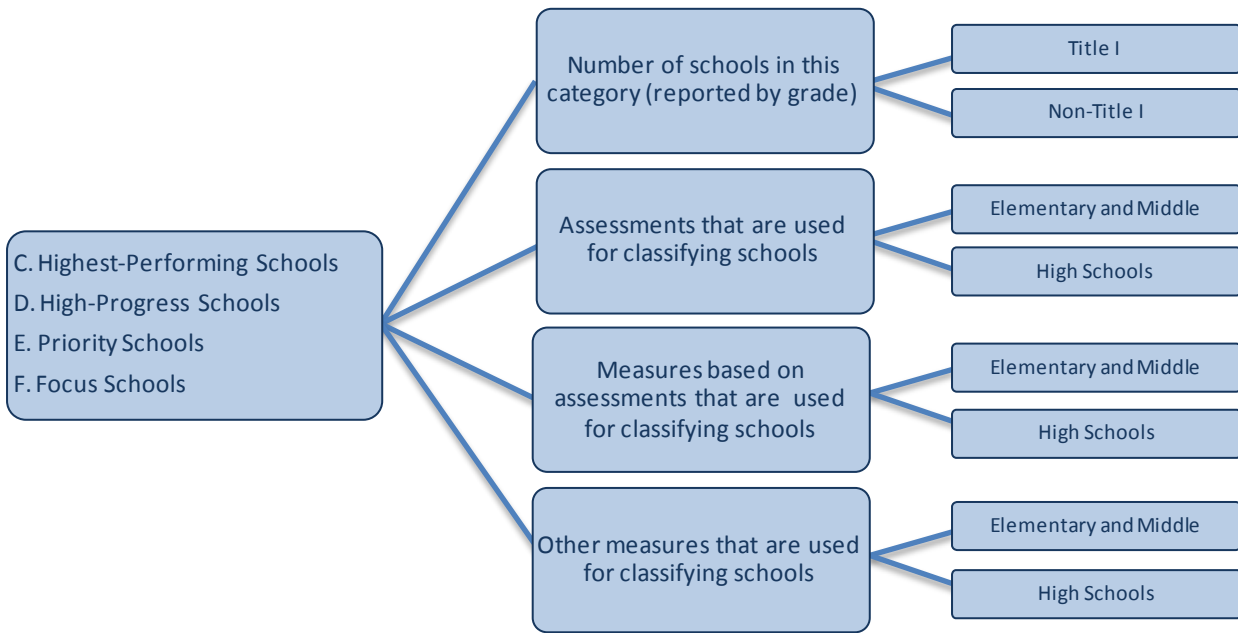
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Education Department General Administrative Regulations, Sections 75.591 and 75.592). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1850-0902. Note: Please do not return the completed survey to this address.

### **Notice of Confidentiality**

Information collected for this study comes under the confidentiality and data protection requirements of the Institute of Education Sciences (The Education Sciences Reform Act of 2002, Title I, Part E, Section 183). Responses to this data collection will be used only for statistical purposes. The reports prepared for this study will summarize findings across the sample and will not associate responses with a specific individual. We will not provide information that identifies you to anyone outside the study team, except required by law.

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Below is a chart to illustrate the layout of sections C, D, E, and F.



# Implementation of Title I/II Program Initiatives

## Extant Documents and Data Form

### For States with ESEA Flexibility

#### School Accountability

##### Instructions for State Education Agency Staff:

This Extant Data form contains questions about school accountability policies and outcomes.

In an effort to reduce the burden on your staff, the research team at Mathematica Policy Research has filled in this form using publicly available data sources (such as data provided on your State Education Agency webpage). Please review and verify that the data in this form are correct.

To assist your review, the "Website" box under each question indicates where the data for each question was found. In some cases, the information could not be found in the publicly available data sources. Please fill in missing data points and revise any data that is not correct directly in the form.

For each question, please use the check boxes (example below) to indicate whether the data was verified or revised/added:

- Data below has been verified.
- Data below has been revised/added.

##### DEFINITIONS:

States define **annual measurable objectives (AMOs)**, or targets for specific student outcomes such as proficiency on the state's English language arts (ELA) assessment for as all students or subgroups of students.

States may define a **school performance index (SPI)** that combines school-level data on student proficiency levels and growth on required state assessments, graduation rates, attendance rates, and other data in order to rank schools so that Priority, Focus, and Reward Schools can be identified. States may use this index to sort schools into additional performance categories.



**A. Setting Annual Measurable Objectives for Schools**

**3E-1. For elementary and middle schools, which subject-area assessments did the state use to set annual measurable objectives (AMOs) for the 2012-13 school year?**

- Data below has been verified.
- Data below has been revised/added.

ELEMENTARY/MIDDLE SCHOOLS	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. English language arts (ELA); including Reading and Writing.....	1	0
b. Math.....	1	0
c. Science.....	1	0
d. Social Studies/History.....	1	0
e. Other subjects (specify).....	1	0
_____		

**3E-2. For high schools, which assessments did the state use to set annual measurable objectives (AMOs) for the 2012-13 school year?**

- Data below has been verified.
- Data below has been revised/added.

HIGH SCHOOLS	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Comprehensive or grade-specific exam.....	1	0
b. High school exit exam.....	1	0
c. End of course exams in ELA.....	1	0
d. End of course exams in Math.....	1	0
e. End of course exams in Science.....	1	0
f. End of course exams in Social Studies/History.....	1	0
g. American College Test, or ACT.....	1	0
h. SAT exam.....	1	0
i. Advanced Placement exams.....	1	0
j. Other subjects area (specify).....	1	0
_____		

**3E-3. Which measures, other than those based on student achievement tests, did the state use to set annual measurable objectives for the 2012-13 school year?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

**ELEMENTARY/MIDDLE SCHOOLS**

	YES	NO
a. Student attendance rate .....	1	0
b. Percentage of teachers rated as effective.....	1	0
c. School climate .....	1	0
d. Other (specify).....	1	0

**HIGH SCHOOLS**

	YES	NO
a. Student attendance rate .....	1	0
b. Graduation or dropout rate .....	1	0
c. "On track" to graduate index .....	1	0
d. Percentage of teachers rated as effective.....	1	0
e. School climate .....	1	0
f. Other (specify).....	1	0

**WEBSITE:**

**B. Subgroups Used in Setting Annual Measurable Objectives**

3E-4. For the 2012-13 school year, what was the minimum number of students in a school that can constitute a subgroup whose achievement is monitored against annual measurable objectives?

- Data below has been verified.
- Data below has been revised/added.

\_\_\_\_\_ Minimum subgroup size used for school accountability based on the 2012-13 state assessments

\_\_\_\_\_ Minimum subgroup size used for school accountability prior to flexibility waiver approval

For which subgroups does the state set AMO's or report proficiency rates, either individually or combined?

The state sets AMOs or reports proficiency rates for: SELECT ONE RESPONSE IN EACH ROW

INDIVIDUAL SUBGROUPS	YES	NO
a. White.....	1	0
b. Black or African American .....	1	0
c. Hispanic.....	1	0
d. Asian.....	1	0
e. American Indian or Alaska Native .....	1	0
f. Native Hawaiian or Other Pacific Islander .....	1	0
g. Multiracial/two or more races .....	1	0
h. Other individual racial/ethnic subgroup (specify)..... _____	1	0
i. Economically disadvantaged .....	1	0
j. English learners .....	1	0
k. Students with disabilities .....	1	0
<b>COMBINED SUBGROUPS</b>		
l. Low academic performance (for example, lowest 25 percent based on proficiency) .....	1	0
m. Combined racial/ethnic subgroup (specify) .....	1	0
_____	1	0
n. Other combined subgroup (specify) .....	1	0
_____	1	0

**WEBSITE:**

**3E-5. If the state uses combined subgroups, has the state's use of combined subgroups changed the number of schools held accountable for subgroups?**

Indicate the percentage increase or decrease in the number of schools held accountable for subgroups, based on data in state's flexibility application.

- Data below has been verified.
- Data below has been revised/added.

DESCRIBE THE SCHOOLS THAT THE STATE INCLUDED IN THE ANALYSIS (such as elementary schools, high schools, Title I schools, etc.)	CHANGE IN NUMBER OF SCHOOLS			CHANGE IN PERCENTAGE OF SCHOOLS	
	# OF SCHOOLS ACCOUNTABLE IN OLD SYSTEM	# OF SCHOOLS ACCOUNTABLE UNDER FLEXIBILITY	TOTAL SCHOOLS IN THIS CATEGORY	INCREASE %	DECREASE %
a. _____	_____	_____	_____	_____%	_____%
b. _____	_____	_____	_____	_____%	_____%
c. _____	_____	_____	_____	_____%	_____%
d. _____	_____	_____	_____	_____%	_____%

Indicate the number of schools that will be held accountable for subgroups in 2013-14.

SCHOOL	# OF SCHOOLS ACCOUNTABLE 2013-14	PERCENTAGE OF THE STATE'S SCHOOLS AT THAT GRADE LEVEL THAT WILL BE HELD ACCOUNTABLE FOR SUBGROUPS IN 2013-14
a. Elementary and Middle schools .....	_____	_____%
b. High schools .....	_____	_____%
c. Combination schools (K-12) .....	_____	_____%

**WEBSITE:**

**C. Highest-Performing Schools**

3E-6. During this school year (2013-14), how many schools are classified as highest-performing at each grade level based on student outcomes in preceding years?

- Data below has been verified.
- Data below has been revised/added.

	RECORD NUMBER OF SCHOOLS	
	TITLE I SCHOOLS	NON-TITLE I SCHOOLS
a. Elementary schools .....	_____	_____
b. Middle schools .....	_____	_____
c. High schools .....	_____	_____
d. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
e. Total schools .....	_____	_____

**WEBSITE:**

The next set of questions asks how states identify their highest-performing schools. ESEA flexibility states may refer to these schools as Reward schools. You should focus on schools identified as highest-performing for this school year (2013-14). There are separate questions for the three types of measurements that may be used to identify these schools: assessments, measures based on assessments, and other measures.

**3E-7. For elementary and middle schools, which subject-area assessments did the state use to identify schools classified as highest-performing schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

ELEMENTARY/MIDDLE SCHOOLS	YES	NO
a. English language arts (ELA); including Reading and Writing.....	1	0
b. Math.....	1	0
c. Science .....	1	0
d. Social Studies/History.....	1	0
e. Other subjects (specify) .....	1	0
_____		

**3E-8. For high schools, which assessments did the state use to identify schools classified as highest-performing schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

HIGH SCHOOLS	YES	NO
a. Comprehensive or grade-specific exam .....	1	0
b. High school exit exam .....	1	0
c. End of course exams in ELA.....	1	0
d. End of course exams in Math.....	1	0
e. End of course exams in Science.....	1	0
f. End of course exams in Social Studies/History.....	1	0
g. American College Test, or ACT .....	1	0
h. SAT exam .....	1	0
i. Advanced Placement exams.....	1	0
j. Other subjects area (specify).....	1	0
_____		

**3E-9. Which measures based on student assessments did the state use to identify schools classified as highest-performing schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps.....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0
<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps.....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0

**3E-10. Which measures, other than those based on student achievement tests, did the state use to identify schools classified as highest-performing schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Student attendance rate .....	1	0
b. Percentage of teachers rated as effective.....	1	0
c. School climate .....	1	0
d. Other (specify).....	1	0

---

<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Student attendance rate .....	1	0
b. Graduation or dropout rate .....	1	0
c. "On track" to graduate index .....	1	0
d. Percentage of teachers rated as effective.....	1	0
e. School climate .....	1	0
f. Other (specify).....	1	0

---

**WEBSITE:**



**D. High-Progress Schools**

3E-11. During this school year (2013-14), how many schools are classified as high-progress at each grade level based on student outcomes in preceding years? If the state does not identify high-progress schools, write NA in that column.

- Data below has been verified.
- Data below has been revised/added.

RECORD NUMBER OF SCHOOLS, or NA if category does not exist in the state

	TITLE I SCHOOLS	NON-TITLE I SCHOOLS
a. Elementary schools .....	_____	_____
b. Middle schools .....	_____	_____
c. High schools .....	_____	_____
d. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
e. Total schools .....	_____	_____

**WEBSITE:**

The next set of questions asks how states identify their high-progress schools. You should focus on schools identified as high-progress for this school year (2013-14). There are separate questions for the three types of measurements that may be used to identify these schools: assessments, measures based on assessments, and other measures.

**3E-12. For elementary and middle schools, which subject-area assessments did the state use to identify schools classified as high-progress schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

ELEMENTARY/MIDDLE SCHOOLS	YES	NO
a. English language arts (ELA); including Reading and Writing.....	1	0
b. Math.....	1	0
c. Science .....	1	0
d. Social Studies/History.....	1	0
e. Other subjects (specify)..... _____	1	0

**3E-13. For high schools, which assessments did the state use to identify schools classified as high-progress schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

HIGH SCHOOLS	YES	NO
a. Comprehensive or grade-specific exam .....	1	0
b. High school exit exam .....	1	0
c. End of course exams in ELA.....	1	0
d. End of course exams in Math.....	1	0
e. End of course exams in Science.....	1	0
f. End of course exams in Social Studies/History.....	1	0
g. American College Test, or ACT .....	1	0
h. SAT exam .....	1	0
i. Advanced Placement exams.....	1	0
j. Other subjects area (specify) .....	1	0

**3E-14. Which measures based on student assessments did the state use to identify schools classified as high-progress schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps .....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0
<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps .....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0

**3E-15. Which measures, other than those based on student achievement tests, did the state use to identify schools classified as high-progress schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Student attendance rate .....	1	0
b. Percentage of teachers rated as effective.....	1	0
c. School climate .....	1	0
d. Other (specify).....	1	0

---

<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Student attendance rate .....	1	0
b. Graduation or dropout rate .....	1	0
c. "On track" to graduate index .....	1	0
d. Percentage of teachers rated as effective.....	1	0
e. School climate .....	1	0
f. Other (specify).....	1	0

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**WEBSITE:**

**3E-16. Item is not applicable in this version**

**E. Priority Schools**

3E-17. During this school year (2013-14), how many schools are classified as Priority schools?

*Note: The last row should be the total of all previous rows and equal to the total number of schools classified in the low-performing category. Schools designated as Priority typically remain in that category for three years, so the count should include all schools designated since the flexibility application was approved.*

- Data below has been verified.
- Data below has been revised/added.

RECORD NUMBER OF SCHOOLS		
	TITLE I SCHOOLS	NON-TITLE I SCHOOLS
a. Elementary and middle schools .....	_____	_____
b. High schools .....	_____	_____
c. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
d. Total schools .....	_____	_____

**WEBSITE:**

**3E-18. For elementary and middle schools, which subject-area assessments did the state use to identify schools classified as Priority schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

ELEMENTARY/MIDDLE SCHOOLS	YES	NO
a. English language arts (ELA); including Reading and Writing.....	1	0
b. Math.....	1	0
c. Science.....	1	0
d. Social Studies/History.....	1	0
e. Other subjects (specify).....	1	0
_____		

**3E-19. For high schools, which assessments did the state use to identify schools classified as Priority schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

HIGH SCHOOLS	YES	NO
a. Comprehensive or grade-specific exam.....	1	0
b. High school exit exam.....	1	0
c. End of course exams in ELA.....	1	0
d. End of course exams in Math.....	1	0
e. End of course exams in Science.....	1	0
f. End of course exams in Social Studies/History.....	1	0
g. American College Test, or ACT.....	1	0
h. SAT exam.....	1	0
i. Advanced Placement exams.....	1	0
j. Other subjects area (specify).....	1	0
_____		

**3E-20. Which measures based on student assessments did the state use to identify schools classified as Priority schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps .....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0
<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps .....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0

**3E-21. Which measures, other than those based on student achievement tests, did the state use to identify schools classified as Priority schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

ELEMENTARY/MIDDLE SCHOOLS	YES	NO
a. Student attendance rate .....	1	0
b. Percentage of teachers rated as effective.....	1	0
c. School climate .....	1	0
d. Other (specify).....	1	0

HIGH SCHOOLS	YES	NO
a. Student attendance rate .....	1	0
b. Graduation or dropout rate .....	1	0
c. "On track" to graduate index .....	1	0
d. Percentage of teachers rated as effective.....	1	0
e. School climate .....	1	0
f. Other (specify).....	1	0

**WEBSITE:**



**F. Focus Schools**

**3E-22. During this school year (2013-14), how many schools are classified as Focus schools?**

*Note: The last row should be the total of all previous rows and equal to the total number of schools classified in the low-performing category. Schools designated as Focus typically remain in that category for three years, so the count should include all schools designated since the flexibility application was approved.*

- Data below has been verified.
- Data below has been revised/added.

	RECORD NUMBER OF SCHOOLS	
	TITLE I SCHOOLS	NON-TITLE I SCHOOLS
a. Elementary and middle schools .....	_____	_____
b. High schools .....	_____	_____
c. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
d. Total schools .....	_____	_____

**WEBSITE:**

**3E-23. For elementary and middle schools, which subject-area assessments did the state use to identify schools classified as Focus schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

ELEMENTARY/MIDDLE SCHOOLS	YES	NO
a. English language arts (ELA); including Reading and Writing.....	1	0
b. Math .....	1	0
c. Science .....	1	0
d. Social Studies/History.....	1	0
e. Other subjects (specify)..... _____	1	0

**3E-24. For high schools, which assessments did the state use to identify schools classified as Focus schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

HIGH SCHOOLS	YES	NO
a. Comprehensive or grade-specific exam .....	1	0
b. High school exit exam .....	1	0
c. End of course exams in ELA.....	1	0
d. End of course exams in Math.....	1	0
e. End of course exams in Science.....	1	0
f. End of course exams in Social Studies/History.....	1	0
g. American College Test, or ACT .....	1	0
h. SAT exam .....	1	0
i. Advanced Placement exams.....	1	0
j. Other subjects area (specify) .....	1	0
_____		

**3E-25. Which measures based on student assessments did the state use to identify schools classified as Focus schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps.....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0
<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps.....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0

**3E-26. Which measures, other than those based on student achievement tests, did the state use to identify schools classified as Focus schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Student attendance rate .....	1	0
b. Percentage of teachers rated as effective.....	1	0
c. School climate .....	1	0
d. Other (specify).....	1	0

---

<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Student attendance rate .....	1	0
b. Graduation or dropout rate .....	1	0
c. "On track" to graduate index .....	1	0
d. Percentage of teachers rated as effective.....	1	0
e. School climate .....	1	0
f. Other (specify).....	1	0

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**WEBSITE:**

**F. Section 4: Teacher and Principal Evaluation**

**DEFINITION FOR USE THROUGHOUT THIS SECTION:**

**Student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:

1. **Value added measures (VAMs) or student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher’s own students based on districtwide or statewide standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
2. **Student learning objectives (SLOs) or student growth objectives (SGOs)** are achievement targets for a teacher’s own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher’s assessment of the students’ starting achievement levels. SLOs/SGOs may relate to students’ scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

**Student outcomes** are measures of attainment or achievement for groups of students at a point in time, and may be measured using student proficiency rates and changes in proficiency rates, graduation or dropout rates, or gaps in achievement between subgroups of students.

This section focuses on the use of student achievement growth measures in teacher and principal evaluation. If your state is piloting or implementing evaluation practices based on new laws or regulations since 2009, this section should reflect information about the new practices as they are being piloted or implemented in the 2013-14 school year (even if the practices are being piloted in only a few schools or districts in the state).

4E-1. For the 2013-14 school year, which of the following best describes how student achievement growth is used in teacher evaluation? (If a new evaluation system is being piloted or implemented, refer to that system.)

- Data below has been verified.
- Data below has been revised/added.

- Student achievement growth is a required component of teacher evaluation .....1
- Student achievement growth is a recommended component of teacher evaluation .....2
- Student achievement growth is a permitted, but not required component of teacher evaluation.....3
- Student achievement growth is prohibited in teacher evaluation .....4 → Skip to 4E-6

**4E-2. For the 2013-14 school year, which of the following best describes how student achievement growth is combined with other measures of teacher performance to determine the overall evaluation rating or score in this state?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE ONLY

- The state recommends or requires that student achievement growth constitutes a specific percentage (or weight) of a teacher’s overall performance rating .....1
- The state recommends or requires that, instead of specifying a specific percentage for student achievement growth, a matrix, table, or chart specifies the overall performance rating for each combination of student achievement growth and other measures (e.g., professional practice).....2 → Skip to 4E-5
- The state has no recommendation or requirement about the weight; instead, districts determine the weight to place on student achievement growth and other performance measures.....3 → Skip to 4E-6
- The overall performance evaluation rating is determined based on the evaluator’s judgment about the importance of student achievement growth and other performance measures.....4 → Skip to 4E-6
- Some other method is used (specify) .....5 → Skip to 4E-6

**4E-3. For the 2013-14 school year, does the specific percentage (or weight) for student achievement growth in a teacher’s overall performance rating differ for different groups of teachers (e.g., teachers of grades/subjects with state assessments, first-year teachers)?**

- Data below has been verified.
- Data below has been revised/added.

- Yes ..... 1
- No ..... 0

**4E-4.** For the 2013-14 school year, what is the specific percentage (or weight) for student achievement growth used in evaluating teachers? Please specify the weights the state requires for each type of student achievement growth measure and indicate which types of teachers use that weighting approach.

- Data below has been verified.
- Data below has been revised/added.

**WEIGHT IN TEACHER EVALUATION**

WEIGHTING APPROACH	WEIGHT FOR GROWTH OF TEACHER'S OWN STUDENTS		WEIGHT FOR SCHOOLWIDE, GRADEWIDE, OR TEAMWIDE GROWTH		WEIGHT FOR LOCALLY-SELECTED STUDENT ACHIEVEMENT GROWTH MEASURE	TOTAL WEIGHT FOR STUDENT ACHIEVEMENT GROWTH (SUM OF ALL WEIGHTS IN THE ROW)
	VAM OR SGP BASED ON STATE ASSESSMENTS	SLOs/SGOs	VAM OR SGP BASED ON STATE ASSESSEMENTS	OTHER GROWTH MEASURE		
Approach 1.....	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %
Approach 2.....	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %

*(Note: Use one line for each weighting approach the state uses. Add lines as necessary.)*

**4E-4a.** Approach 1 must be used for which types of teachers?

*(Place an X for each grade and content area that uses this approach to weighting.)*

**CONTENT AREA**

Grades	ENGLISH LANGUAGE ARTS	MATHEMATICS	SOCIAL STUDIES	SCIENCE	OTHER CONTENT AREAS
Kindergarten .....	_____	_____	_____	_____	_____
1st .....	_____	_____	_____	_____	_____
2nd .....	_____	_____	_____	_____	_____
3rd .....	_____	_____	_____	_____	_____
4th .....	_____	_____	_____	_____	_____
5th .....	_____	_____	_____	_____	_____
6th .....	_____	_____	_____	_____	_____
7th .....	_____	_____	_____	_____	_____
8th .....	_____	_____	_____	_____	_____
9th .....	_____	_____	_____	_____	_____
10th .....	_____	_____	_____	_____	_____
11th .....	_____	_____	_____	_____	_____
12th .....	_____	_____	_____	_____	_____

**4E-4b. Approach 2 must be used for which types of teachers?**

*(Place an X for each grade and content area that uses this approach to weighting.)*

Grades	CONTENT AREA				
	ENGLISH LANGUAGE ARTS	MATHEMATICS	SOCIAL STUDIES	SCIENCE	OTHER CONTENT AREAS
Kindergarten .....	_____	_____	_____	_____	_____
1st .....	_____	_____	_____	_____	_____
2nd .....	_____	_____	_____	_____	_____
3rd .....	_____	_____	_____	_____	_____
4th .....	_____	_____	_____	_____	_____
5th .....	_____	_____	_____	_____	_____
6th .....	_____	_____	_____	_____	_____
7th .....	_____	_____	_____	_____	_____
8th .....	_____	_____	_____	_____	_____
9th .....	_____	_____	_____	_____	_____
10th .....	_____	_____	_____	_____	_____
11th .....	_____	_____	_____	_____	_____
12th .....	_____	_____	_____	_____	_____

**4E-5. For the 2013-14 school year, are all school districts required to use these weights, or can they choose other weights for student achievement growth in teacher evaluations?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE ONLY

Districts are required to use the state-specified weights for student achievement growth in teacher evaluation..... 1

The state recommends weights, but districts may choose how to weight student achievement growth in teacher evaluation ..... 2



**4E-6. For the 2013-14 school year, which of the following best describes how student outcomes are used in principal evaluation? (If a new evaluation system is being piloted or implemented, refer to that system.)**

**Data below has been verified.**

**Data below has been revised/added.**

Student outcomes are a required component of principal evaluation .....1

Student outcomes are a recommended component of principal evaluation .....2

Student outcomes are a permitted, but not required component of principal evaluation .....3

Student outcomes are prohibited in principal evaluation .....4 → Skip to End

**4E-7. For the 2013-14 school year, which of the following best describes how student outcomes are combined with other measures of principal performance to determine the overall evaluation rating or score in this state?**

**Data below has been verified.**

**Data below has been revised/added.**

SELECT ONE ONLY

The state recommends or requires that student outcomes constitute a specific percentage (or weight) of a principal's overall performance rating.....1

The state recommends or requires that, instead of specifying a specific percentage for student outcomes, a matrix, table, or chart specifies the overall performance rating for each combination of student outcomes and other measures (e.g., professional practice).....2 → Skip to 4E-10

The state has no recommendation or requirement about the weight; instead, districts determine the weight to place on student outcomes and other performance measures.....3 → Skip to End

The overall performance evaluation rating is determined based on the evaluator's judgment about the importance of student outcomes and other performance measures.....4 → Skip to End

Some other method is used (specify) .....5 → Skip to End

---

**4E-8. For the 2013-14 school year, does the specific percentage (or weight) for student outcomes in a principal’s overall performance rating differ for different groups of principals (e.g., high school principals, first-year principals)?**

Data below has been verified.

Data below has been revised/added.

Yes ..... 1

No ..... 0

**4E-9. For the 2013-14 school year, what is the specific percentage (or weight) for student outcomes used in evaluating principals?**

Data below has been verified.

Data below has been revised/added.

Subgroup of principals	Weight
_____	_____ %
_____	_____ %
_____	_____ %

*Note: Add lines as needed*

**4E-10. For the 2013-14 school year, are all school districts required to use these weights, or can they choose other weights for student outcomes in principal evaluations?**

Data below has been verified.

Data below has been revised/added.

SELECT ONE ONLY

Districts are required to use the state-specified weights for student outcomes in principal evaluation ..... 1

The state recommends weights, but districts may choose how to weight student outcomes in principal evaluation ..... 2

OMB#: 1850-0902

Expiration Date: 02/28/2017

# *Implementation of Title I/II Program Initiatives*

## **Extant Data Form For States without ESEA Flexibility**

**2013-2014**



### **Paperwork Reduction Act of 1995**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Education Department General Administrative Regulations, Sections 75.591 and 75.592). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1850-0902. Note: Please do not return the completed survey to this address.

### **Notice of Confidentiality**

Information collected for this study comes under the confidentiality and data protection requirements of the Institute of Education Sciences (The Education Sciences Reform Act of 2002, Title I, Part E, Section 183). Responses to this data collection will be used only for statistical purposes. The reports prepared for this study will summarize findings across the sample and will not associate responses with a specific individual. We will not provide information that identifies you to anyone outside the study team, except required by law.

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## Implementation of Title I/II Program Initiatives

### Extant Documents and Data Form

### For States without ESEA Flexibility

## School Accountability

#### Instructions for State Education Agency Staff:

This Extant Data form contains questions about school accountability policies and outcomes.

In an effort to reduce the burden on your staff, the research team at Mathematica Policy Research has filled in this form using publicly available data sources (such as data provided on your State Education Agency webpage). Please review and verify that the data in this form are correct.

To assist your review, the "Website" box under each question indicates where the data for each question was found. In some cases, the information could not be found in the publicly available data sources. Please fill in missing data points and revise any data that is not correct directly in the form.

For each question, please use the check boxes (example below) to indicate whether the data was verified or revised/added:

- Data below has been verified.
- Data below has been revised/added.

#### DEFINITIONS:

States define **annual measurable objectives (AMOs)**, or targets for specific student outcomes such as proficiency on the state's English language arts (ELA) assessment for all students or subgroups of students

States also define **adequate yearly progress (AYP)**, or the threshold for proficiency or progress toward proficiency that the school needs to show in order to be judged by the state as making sufficient progress for that year for all students and subgroups.

## **A. Setting Annual Measurable Objectives for Schools**

**3E-1. Item is not applicable in this version**

**3E-2. Item is not applicable in this version**

**3E-3. Item is not applicable in this version**

**B. Subgroups Used in Setting Annual Measurable Objectives**

**3E-4. For the 2012-13 school year, what was the minimum number of students in a school that can constitute a subgroup whose achievement is monitored against annual measurable objectives?**

Data below has been verified.

Data below has been revised/added.

\_\_\_\_\_ Minimum subgroup size used for school accountability based on the 2012-13 state assessments

**WEBSITE:**

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**3E-5. Item is not applicable in this version**

**C. Highest-Performing Schools**

3E-6. During this school year (2013-14), how many schools are classified as highest-performing at each grade level based on student outcomes in preceding years? In states without ESEA flexibility, use whatever the state defines as highest-performing (e.g., schools earning “A” grades on A-F scale or “exemplary” schools).

- Data below has been verified.
- Data below has been revised/added.

	RECORD NUMBER OF SCHOOLS	
	TITLE I SCHOOLS	NON-TITLE I SCHOOLS
a. Elementary schools .....	_____	_____
b. Middle schools .....	_____	_____
c. High schools .....	_____	_____
d. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
e. Total schools .....	_____	_____

**WEBSITE:**



The next set of questions asks how states identify their highest-performing schools. You should focus on schools identified as highest-performing for this school year (2013-14).

**3E-7. For elementary and middle schools, which subject-area assessments did the state use to identify schools classified as highest-performing schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

ELEMENTARY/MIDDLE SCHOOLS	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. English language arts (ELA); including Reading and Writing) .....	1	0
b. Math .....	1	0
c. Science .....	1	0
d. Social Studies/History.....	1	0
e. Other subjects (specify)..... _____	1	0

**3E-8. For high schools, which assessments did the state use to identify schools classified as highest-performing schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

HIGH SCHOOLS	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Comprehensive or grade-specific exam .....	1	0
b. High school exit exam .....	1	0
c. End of course exams in ELA.....	1	0
d. End of course exams in Math.....	1	0
e. End of course exams in Science.....	1	0
f. End of course exams in Social Studies/History.....	1	0
g. American College Test, or ACT .....	1	0
h. SAT exam .....	1	0
i. Advanced Placement exams.....	1	0
j. Other subjects area (specify) .....	1	0

**3E-9. Which measures based on student assessments did the state use to identify schools classified as highest-performing schools during this school year (2013-14)?**

**Data below has been verified.**

**Data below has been revised/added.**

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps.....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0
<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps.....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0

**3E-10. Which measures, other than those based on student achievement tests, did the state use to identify schools classified as highest-performing schools during this school year (2013-14)?**

Data below has been verified.

Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

**ELEMENTARY/MIDDLE SCHOOLS**

	YES	NO
a. Student attendance rate .....	1	0
b. Percentage of teachers rated as effective.....	1	0
c. School climate .....	1	0
d. Other (specify).....	1	0

**HIGH SCHOOLS**

	YES	NO
a. Student attendance rate .....	1	0
b. Graduation or dropout rate .....	1	0
c. "On track" to graduate index .....	1	0
d. Percentage of teachers rated as effective.....	1	0
e. School climate .....	1	0
f. Other (specify).....	1	0

**WEBSITE:**

**D. High-Progress Schools**

3E-11. During this school year (2013-14), how many schools are classified as high-progress at each grade level based on student outcomes in preceding years? If the state does not identify high-progress schools, write NA in that column.

- Data below has been verified.
- Data below has been revised/added.

RECORD NUMBER OF  
SCHOOLS, or NA if category  
does not exist in the state

	TITLE I SCHOOLS	NON-TITLE I SCHOOLS
a. Elementary schools .....	_____	_____
b. Middle schools .....	_____	_____
c. High schools .....	_____	_____
d. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
e. Total schools .....	_____	_____

**WEBSITE:**

The next set of questions asks how states identify their high-progress schools. You should focus on schools identified as high-progress for this school year (2013-14).

3E-12. For **elementary and middle schools**, which subject-area assessments did the state use to identify schools classified as high-progress schools during this school year (2013-14)?

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

ELEMENTARY/MIDDLE SCHOOLS	YES	NO
a. English language arts (ELA); including Reading and Writing.....	1	0
b. Math.....	1	0
c. Science .....	1	0
d. Social Studies/History.....	1	0
e. Other subjects (specify)..... _____	1	0

3E-13. For **high schools**, which assessments did the state use to identify schools classified as high-progress schools during this school year (2013-14)?

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

HIGH SCHOOLS	YES	NO
a. Comprehensive or grade-specific exam .....	1	0
b. High school exit exam .....	1	0
c. End of course exams in ELA.....	1	0
d. End of course exams in Math.....	1	0
e. End of course exams in Science.....	1	0
f. End of course exams in Social Studies/History.....	1	0
g. American College Test, or ACT .....	1	0
h. SAT exam .....	1	0
i. Advanced Placement exams.....	1	0
j. Other subjects area (specify) .....	1	0
_____		

**3E-14. Which measures based on student assessments did the state use to identify schools classified as high-progress schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps .....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0
<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Schoolwide proficiency rates .....	1	0
b. Schoolwide year-to-year changes in proficiency rates...	1	0
c. Achievement growth of students schoolwide (student growth or value added) .....	1	0
d. Size of subgroup achievement gaps .....	1	0
e. Subgroup proficiency rates .....	1	0
f. Achievement growth for subgroups (student growth or value added) .....	1	0
g. Other (specify)..... _____	1	0

**3E-15. Which measures, other than those based on student achievement tests, did the state use to identify schools classified as high-progress schools during this school year (2013-14)?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE RESPONSE  
IN EACH ROW

<b>ELEMENTARY/MIDDLE SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Student attendance rate .....	1	0
b. Percentage of teachers rated as effective.....	1	0
c. School climate .....	1	0
d. Other (specify).....	1	0

---

<b>HIGH SCHOOLS</b>	<b>YES</b>	<b>NO</b>
a. Student attendance rate .....	1	0
b. Graduation or dropout rate .....	1	0
c. "On track" to graduate index .....	1	0
d. Percentage of teachers rated as effective.....	1	0
e. School climate .....	1	0
f. Other (specify).....	1	0

---

**WEBSITE:**

**E. Low-Performing Schools**

The next questions are about the number of schools in low-performing categories.

**3E-16. During this school year (2013-14), how many schools are classified as in Need of Improvement, in Corrective Action, and in Restructuring?**

- Data below has been verified.
- Data below has been revised/added.

<b>IN NEED OF IMPROVEMENT</b>	<b>TITLE I SCHOOLS</b>	<b>NON-TITLE I SCHOOLS</b>
a. Elementary and middle schools .....	_____	_____
b. High schools .....	_____	_____
c. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
d. Total schools .....	_____	_____

<b>IN CORRECTIVE ACTION</b>	<b>TITLE I SCHOOLS</b>	<b>NON-TITLE I SCHOOLS</b>
a. Elementary and middle schools .....	_____	_____
b. High schools .....	_____	_____
c. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
d. Total schools .....	_____	_____

<b>IN RESTRUCTURING</b>	<b>TITLE I SCHOOLS</b>	<b>NON-TITLE I SCHOOLS</b>
a. Elementary and middle schools .....	_____	_____
b. High schools .....	_____	_____
c. Combination schools (including grades from elementary and middle or middle and high) .....	_____	_____
d. Total schools .....	_____	_____

**WEBSITE:**



**3E-17. Item is not applicable in this version**

**3E-18. Item is not applicable in this version**

**3E-19. Item is not applicable in this version**

**3E-20. Item is not applicable in this version**

**3E-21. Item is not applicable in this version**

**3E-22. Item is not applicable in this version**

**3E-23. Item is not applicable in this version**

**3E-24. Item is not applicable in this version**

**3E-25. Item is not applicable in this version**

**3E-26. Item is not applicable in this version**

**F. Section 4: Teacher and Principal Evaluation**

**DEFINITION FOR USE THROUGHOUT THIS SECTION:**

**Student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:

- 1. Value added measures (VAMs) or student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher’s own students based on districtwide or statewide standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
- 2. Student learning objectives (SLOs) or student growth objectives (SGOs)** are achievement targets for a teacher’s own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher’s assessment of the students’ starting achievement levels. SLOs/SGOs may relate to students’ scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

**Student outcomes** are measures of attainment or achievement for groups of students at a point in time, and may be measured using student proficiency rates and changes in proficiency rates, graduation or dropout rates, or gaps in achievement between subgroups of students.

**This section focuses on the use of student achievement growth measures in teacher and principal evaluation. If your state is piloting or implementing evaluation practices based on new laws or regulations since 2009, this section should reflect information about the new practices as they are being piloted or implemented in the 2013-14 school year (even if the practices are being piloted in only a few schools or districts in the state).**

**4E-1. For the 2013-14 school year, which of the following best describes how student achievement growth is used in teacher evaluation? (If a new evaluation system is being piloted or implemented, refer to that system.)**

- Data below has been verified.**
- Data below has been revised/added.**

- Student achievement growth is a required component of teacher evaluation .....1
- Student achievement growth is a recommended component of teacher evaluation .....2
- Student achievement growth is a permitted, but not required component of teacher evaluation.....3
- Student achievement growth is prohibited in teacher evaluation.....4 → Skip to 4E-6

**4E-2. For the 2013-14 school year, which of the following best describes how student achievement growth is combined with other measures of teacher performance to determine the overall evaluation rating or score in this state?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE ONLY

- The state recommends or requires that student achievement growth constitutes a specific percentage (or weight) of a teacher’s overall performance rating .....1
- The state recommends or requires that, instead of specifying a specific percentage for student achievement growth, a matrix, table, or chart specifies the overall performance rating for each combination of student achievement growth and other measures (e.g., professional practice).....2 → Skip to 4E-5
- The state has no recommendation or requirement about the weight; instead, districts determine the weight to place on student achievement growth and other performance measures.....3 → Skip to 4E-6
- The overall performance evaluation rating is determined based on the evaluator’s judgment about the importance of student achievement growth and other performance measures.....4 → Skip to 4E-6
- Some other method is used (specify) .....5 → Skip to 4E-6

**4E-3. For the 2013-14 school year, does the specific percentage (or weight) for student achievement growth in a teacher’s overall performance rating differ for different groups of teachers (e.g., teachers of grades/subjects with state assessments, first-year teachers)?**

- Data below has been verified.
- Data below has been revised/added.

- Yes ..... 1
- No ..... 0

**4E-4.** For the 2013-14 school year, what is the specific percentage (or weight) for student achievement growth used in evaluating teachers? Please specify the weights the state requires for each type of student achievement growth measure and indicate which types of teachers use that weighting approach.

- Data below has been verified.
- Data below has been revised/added.

**WEIGHT IN TEACHER EVALUATION**

WEIGHTING APPROACH	WEIGHT FOR GROWTH OF TEACHER'S OWN STUDENTS		WEIGHT FOR SCHOOLWIDE, GRADEWIDE, OR TEAMWIDE GROWTH		WEIGHT FOR LOCALLY-SELECTED STUDENT ACHIEVEMENT GROWTH MEASURE	TOTAL WEIGHT FOR STUDENT ACHIEVEMENT GROWTH (SUM OF ALL WEIGHTS IN THE ROW)
	VAM OR SGP BASED ON STATE ASSESSMENTS	SLOs/SGOs	VAM OR SGP BASED ON STATE ASSESSEMENTS	OTHER GROWTH MEASURE		
Approach 1.....	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %
Approach 2.....	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %

*(Note: Use one line for each weighting approach the state uses. Add lines as necessary.)*

**4E-4a.** Approach 1 must be used for which types of teachers?

*(Place an X for each grade and content area that uses this approach to weighting.)*

**CONTENT AREA**

Grades	English Language Arts	Mathematics	Social Studies	Science	Other Content Areas
Kindergarten .....	_____	_____	_____	_____	_____
1st .....	_____	_____	_____	_____	_____
2nd .....	_____	_____	_____	_____	_____
3rd .....	_____	_____	_____	_____	_____
4th .....	_____	_____	_____	_____	_____
5th .....	_____	_____	_____	_____	_____
6th .....	_____	_____	_____	_____	_____
7th .....	_____	_____	_____	_____	_____
8th .....	_____	_____	_____	_____	_____
9th .....	_____	_____	_____	_____	_____
10th .....	_____	_____	_____	_____	_____
11th .....	_____	_____	_____	_____	_____
12th .....	_____	_____	_____	_____	_____

**4E-4b. Approach 2 must be used for which types of teachers?**

*(Place an X for each grade and content area that uses this approach to weighting.)*

Grades	CONTENT AREA				
	English Language Arts	Mathematics	Social Studies	Science	Other Content Areas
Kindergarten .....	_____	_____	_____	_____	_____
1st .....	_____	_____	_____	_____	_____
2nd .....	_____	_____	_____	_____	_____
3rd .....	_____	_____	_____	_____	_____
4th .....	_____	_____	_____	_____	_____
5th .....	_____	_____	_____	_____	_____
6th .....	_____	_____	_____	_____	_____
7th .....	_____	_____	_____	_____	_____
8th .....	_____	_____	_____	_____	_____
9th .....	_____	_____	_____	_____	_____
10th .....	_____	_____	_____	_____	_____
11th .....	_____	_____	_____	_____	_____
12th .....	_____	_____	_____	_____	_____

**4E-5. For the 2013-14 school year, are all school districts required to use these weights, or can they choose other weights for student achievement growth in teacher evaluations?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE ONLY

Districts are required to use the state-specified weights for student achievement growth in teacher evaluation..... 1

The state recommends weights, but districts may choose how to weight student achievement growth in teacher evaluation ..... 2

**4E-6. For the 2013-14 school year, which of the following best describes how student outcomes are used in principal evaluation? (If a new evaluation system is being piloted or implemented, refer to that system.)**

**Data below has been verified.**

**Data below has been revised/added.**

Student outcomes are a required component of principal evaluation .....1

Student outcomes are a recommended component of principal evaluation .....2

Student outcomes are a permitted, but not required component of principal evaluation .....3

Student outcomes are prohibited in principal evaluation .....4 → Skip to End

**4E-7. For the 2013-14 school year, which of the following best describes how student outcomes are combined with other measures of principal performance to determine the overall evaluation rating or score in this state?**

**Data below has been verified.**

**Data below has been revised/added.**

SELECT ONE ONLY

The state recommends or requires that student outcomes constitute a specific percentage (or weight) of a principal's overall performance rating.....1

The state recommends or requires that, instead of specifying a specific percentage for student outcomes, a matrix, table, or chart specifies the overall performance rating for each combination of student outcomes and other measures (e.g., professional practice).....2 → Skip to 4E-10

The state has no recommendation or requirement about the weight; instead, districts determine the weight to place on student outcomes and other performance measures.....3 → Skip to End

The overall performance evaluation rating is determined based on the evaluator's judgment about the importance of student outcomes and other performance measures.....4 → Skip to End

Some other method is used (specify) .....5 → Skip to End

**4E-8. For the 2013-14 school year, does the specific percentage (or weight) for student outcomes in a principal's overall performance rating differ for different groups of principals (e.g., high school principals, first-year principals)?**

**Data below has been verified.**

**Data below has been revised/added.**

Yes ..... 1

No ..... 0

**4E-9. For the 2013-14 school year, what is the specific percentage (or weight) for student outcomes used in evaluating principals?**

- Data below has been verified.
- Data below has been revised/added.

Subgroup of principals	Weight
_____	_____ %
_____	_____ %
_____	_____ %

*Note: Add lines as needed*

**4E-10. For the 2013-14 school year, are all school districts required to use these weights, or can they choose other weights for student outcomes in principal evaluations?**

- Data below has been verified.
- Data below has been revised/added.

SELECT ONE ONLY

- Districts are required to use the state-specified weights for student outcomes in principal evaluation ..... 1
- The state recommends weights, but districts may choose how to weight student outcomes in principal evaluation ..... 2

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## District Survey

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OMB#: 1850-0902

Expiration Date: 02/28/2017

District Name:

City:

State:

# *Implementation of Title I/II Program Initiatives*

## District Survey

2013-2014



### **Paperwork Reduction Act of 1995**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Education Department General Administrative Regulations, Sections 75.591 and 75.592). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1850-0902. Note: Please do not return the completed survey to this address.

### **Notice of Confidentiality**

Information collected for this study comes under the confidentiality and data protection requirements of the Institute of Education Sciences (The Education Sciences Reform Act of 2002, Title I, Part E, Section 183). Responses to this data collection will be used only for statistical purposes. The reports prepared for the study will summarize findings across the sample and will not associate responses with a specific district or individual. We will not provide information that identifies you or your district to anyone outside the study team, except as required by law.

## Introduction

The **Implementation of Title I/II Program Initiatives** study will examine the implementation of policies promoted through the Elementary and Secondary Education Act (ESEA) at the state, district and school levels, in four core areas: state content standards, assessments, school accountability, and teacher and principal evaluation. The study will serve as an update on the implementation of the Title I and Title II provisions since the last national assessment that concluded in 2006. The study includes surveys of officials from all state education agencies and from nationally representative samples of school district officials, school principals, and core academic and special education teachers. The United States (U.S.) Department of Education, Institute of Education Sciences (IES) is sponsoring this study.

- This survey includes four sections aligned with district policies and practices in four core areas. Given the scope of topics, the survey will likely require more than one respondent.
- Your district's responses are critical to drawing lessons about the implementation of ESEA.
- All survey results will be presented as aggregate findings and no individual districts will be named or otherwise identified in any study reports or other communications that use survey data.

We will survey your district again at a later date to examine changes over time.

The study, including this survey, is being conducted by Westat and its partners, Mathematica Policy Research, and edCount.

**[WEB PROGRAMMING NOTE: SOME TEXT IN THIS SURVEY WILL BE CUSTOMIZED AS FOLLOWS DEPENDING ON WHETHER THE DISTRICT IS IN A STATE THAT ADOPTED THE COMMON CORE STATE STANDARDS (CCSS) IN ENGLISH LANGUAGE ARTS (ELA) OR MATH.**

**IF THE DISTRICT IS IN A STATE THAT ADOPTED THE CCSS IN ELA OR MATH, DISPLAY "COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH" OR "CCSS" WHERE NOTED.**

**IF THE DISTRICT IS IN A STATE THAT DID NOT ADOPT THE CCSS IN ELA OR MATH, DISPLAY "CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH" OR "CURRENT STATE CONTENT STANDARDS" WHERE NOTED. ]**

## Section 1. State Content Standards

### DEFINITIONS FOR USE THROUGHOUT THIS SECTION:

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**Diagnostic assessments** are assessments that measure students' knowledge and skills at interim points during the school year to provide timely feedback on their progress toward grade-level content standards so that instruction can be adjusted or other support can be provided.

### [WEB PROGRAMMING NOTE: IF THE DISTRICT IS IN A STATE THAT ADOPTED THE COMMON CORE STATE STANDARDS (CCSS) IN ENGLISH LANGUAGE ARTS (ELA) OR MATH, DISPLAY THE FOLLOWING TEXT:

Many states have recently adopted the Common Core State Standards (CCSS), which are content standards for English language arts (ELA) and math that are shared across these states. Some of these states have re-named the CCSS with a state-specific name. While we understand that your state may have a different name for these standards, we refer to them throughout this survey as the Common Core State Standards (CCSS). Other states have substantially revised their own state content standards for ELA and math in recent years. This section includes questions about materials, professional development, and resources your district has used to support the implementation of the Common Core State Standards (CCSS) for ELA or math.]

### [WEB PROGRAMMING NOTE: IF THE DISTRICT IS IN A STATE THAT DID NOT ADOPT THE CCSS IN ELA OR MATH, DISPLAY THE FOLLOWING TEXT:

Many states have recently adopted the Common Core State Standards (CCSS), which are content standards for English language arts (ELA) and math that are shared across these states. Other states have substantially revised their own state content standards for ELA and math in recent years. This section includes questions about materials, professional development, and resources your district has used to support the implementation of the current state content standards for English language arts (ELA) or math.]

1-1. During this school year (2013-14), which grade levels in your district are fully implementing the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH]?

SELECT ALL GRADES THAT APPLY IN EACH ROW

	GRADE													
a. English language arts (ELA) .....	Pre-K	K	1	2	3	4	5	6	7	8	9	10	11	12
b. Math .....	Pre-K	K	1	2	3	4	5	6	7	8	9	10	11	12

1-2. Has your district supplemented the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH] with additional standards of its own?

- Yes, in ELA only ..... 1
- Yes, in math only ..... 2
- Yes, in both ELA and math ..... 3
- No, neither subject ..... 0 → Skip to 1-4

1-3. For which of the following reasons did your district supplement the state content standards in ELA, math, or both subjects? For each reason, please indicate whether the reason applies to ELA only, math only, both subjects, or neither subject.

SELECT ONE RESPONSE IN EACH ROW

	ELA ONLY	MATH ONLY	BOTH ELA AND MATH	NEITHER SUBJECT
a. Key content areas were missing.....	1	2	3	0
b. Certain concepts needed to be covered in earlier grades...	1	2	3	0
c. Certain concepts needed to be covered in later grades.....	1	2	3	0
d. To increase rigor .....	1	2	3	0
e. Something else (specify).....	1	2	3	0
_____				

1-4. During this school year (2013-14), which of the following materials has your district used to revise curriculum to align with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] and/or plan lessons based on these standards?

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO
-----	----

**Materials to help align curriculum and instruction with the content standards**

a. Documents showing alignment between the previous state standards and the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
b. Documents showing alignment between required state summative assessments and the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
c. Tools or guidance on providing instruction aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] such as scope and sequence, curriculum maps, or frameworks ..	1	0
d. A state-developed model curriculum for ELA or math instruction for each grade or course.....	1	0
e. Sample lesson plans consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
f. Examples or videos of instruction consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
g. Sample student work .....	1	0
h. Sample performance tasks for formative assessment purposes including rubrics or scoring guides .....	1	0
i. Banks of diagnostic assessment items aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
j. Textbooks or other instructional materials aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0

**Materials to facilitate instruction for special populations**

k. Documents showing alignment between the [CCSS/ CURRENT STATE CONTENT STANDARDS] and the state’s English Language Proficiency standards (standards for the progression of English language development for English learners) .....	1	0
l. Materials for understanding how to adapt instruction to help English learners meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
m. Materials for understanding how to adapt instruction to help students with disabilities meet the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0

**Other materials**

n. Walk-through or observation protocols to aid in monitoring the alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
--	---	---

<p><b>IF YES IS SELECTED FOR ANY OF ROWS A THROUGH M ABOVE, PROCEED TO QUESTION 1-5. OTHERWISE, SKIP TO QUESTION 1-6.</b></p>
---

1-5. Indicate to what extent your district found the materials described in the previous question (by category) useful to help revise curriculum to align with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] and/or plan lessons based on these standards.

*(Select NA if your district did not use that type of material.)*

SELECT ONE RESPONSE IN EACH ROW

	NOT USEFUL AT ALL	SOMEWHAT USEFUL	MODERATELY USEFUL	VERY USEFUL	NA
a. Materials to help align curriculum and instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	0	1	2	3	na
b. Materials to facilitate instruction for special populations .....	0	1	2	3	na

1-6. During this school year (2013-14) and including last summer (2013), which of the following topics related to the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] have been covered in professional development offered to school leaders and/or teachers in your district?

SELECT ONE RESPONSE IN EACH ROW

YES	NO
-----	----

**Professional development topics**

a. Information about the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as content covered at each grade level and instructional changes or shifts required.....	1	0
b. Instructional strategies consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as model lessons or designing student work .....	1	0
c. Adapting instruction to help English learners meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
d. Adapting instruction to help students with disabilities meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
e. Using student assessment data to improve instruction.....	1	0
f. Monitoring alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as the use of observation protocols.....	1	0



1-7. Through which methods has the professional development on the topics listed above been provided to school leaders and/or teachers in your district?

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO
-----	----

**Method of delivery of professional development**

a. Statewide or regional/county conference(s) on these topics .....	1	0
b. Presentation(s) via webinar or video recording(s) on these topics.....	1	0
c. Instructional coaches worked with teachers or teams of teachers on these topics .....	1	0
d. Training of selected district staff, who provided the information to others in the district on these topics (train the trainer approach).....	1	0
e. Required in-service professional development on these topics .....	1	0
f. Teachers worked in teams to develop curriculum and lessons aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
g. Teachers worked with a content area coordinator, a team leader, or a specialist on these topics .....	1	0
h. Some other mode.....	1	0

1-8. Which one of these methods was the predominant method for delivering professional development related to the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH]?

SELECT ONE ONLY

- Statewide or regional/county conference(s) on these topics ..... 1
- Presentation(s) via webinar or video recording(s) on these topics ..... 2
- Instructional coaches worked with teachers or teams of teachers on these topics ..... 3
- Training of selected district staff, who provided the information to others in the district on these topics (train the trainer approach) ..... 4
- Required in-service professional development on these topics ..... 5
- Teachers worked in teams to develop curriculum and lessons aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] ..... 6
- Teachers worked with a content area coordinator, a team leader, or a specialist on these topics ..... 7
- Some other mode ..... 8

**1-9. During this school year (2013-14), has your district engaged in any of the following activities to align instruction with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS IN ELA OR MATH]?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. District staff have used walk-throughs or school visits to monitor alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
b. School leaders are required to monitor alignment of instruction to the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
c. Performance evaluations for teachers in your district include evidence of teaching approaches consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
d. Performance evaluation for school leaders in your district include evidence that the [CCSS/ CURRENT STATE CONTENT STANDARDS] have been implemented .....	1	0
e. Public recognition has been given to schools that are making progress in implementing the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
f. Schools have used the state-developed model curriculum aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
g. Staff developed district curriculum to align with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
h. Staff collaborated with other districts to revise curriculum and/or instructional materials .....	1	0
i. The district used special strategies to recruit teachers with skills needed to teach advanced courses or more rigorous content, such as advertising earlier than usual, offering higher pay, or offering other incentives .....	1	0
j. The district partnered with postsecondary institutions to develop or offer more rigorous courses .....	1	0

**1-10. To what extent would you describe the following as challenges to implementing the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS IN ELA OR MATH] in your district?**

SELECT ONE RESPONSE IN EACH ROW

	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Insufficient federal, state, or local funding .....	1	2	3
b. Insufficient time for professional development .....	1	2	3
c. Insufficient information available about how to revise lessons and instructional materials to meet the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	2	3
d. Lack of district staff who can mentor or serve as a resource to teachers about the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	2	3
e. Lack of guidance or support from the state.....	1	2	3
f. Lack of instructional materials aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	2	3
g. The additional work required to modify curriculum and lesson plans within tight timeframes.....	1	2	3
h. Community concerns or opposition to the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	2	3

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## Section 2. Assessments

### DEFINITIONS FOR USE THROUGHOUT THIS SECTION:

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**Diagnostic assessments** are assessments that measure students' knowledge and skills at interim points during the school year to provide timely feedback on their progress toward grade-level content standards so that instruction can be adjusted or other support can be provided.

**Student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:

1. **Value added measures (VAMs)** or **student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher's own students based on districtwide or statewide standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
2. **Student learning objectives (SLOs)** or **student growth objectives (SGOs)** are achievement targets for a teacher's own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher's assessment of the students' starting achievement levels. SLOs/SGOs may relate to students' scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

In this section of the survey, we will ask about the summative and diagnostic assessments that your district administers, any materials or professional development that you have received from the state or other sources to help with assessment activities, and how your district uses information from assessments.

2-1. During this school year (2013-14), did schools in your district assess children at kindergarten entry? By kindergarten entry assessment, we mean any test, survey, observation, or formal collection of quantitative data about the child's development and achievement at about the time of kindergarten entry.

Yes ..... 1

No ..... 0

2-2. In addition to summative assessments required by the state, during this school year (2013-14), is the district administering additional summative assessments or additional summative assessment items to students districtwide in any of the following subjects and grades?

*(Include only district summative assessments or district summative assessment items that have been added to the required state summative assessments. If district assessments or assessment items are administered in any high school course, select HS.)*

SELECT ALL GRADES THAT APPLY IN EACH ROW  
OR SELECT "0" INDICATING NO DISTRICT SUMMATIVE ASSESSMENT OR ITEMS  
ADDED TO STATE SUMMATIVE ASSESSMENTS

	GRADE LEVEL										ANY HIGH SCHOOL GRADES	NO ADDITIONAL DISTRICT SUMMATIVE ASSESSMENT OR ADDITIONAL ITEMS
a. English language arts (ELA) .....	K	1	2	3	4	5	6	7	8	HS	0	
b. Math.....	K	1	2	3	4	5	6	7	8	HS	0	
c. Science.....	K	1	2	3	4	5	6	7	8	HS	0	
d. Social Studies.....	K	1	2	3	4	5	6	7	8	HS	0	

2-3. During this school year (2013-14), is the district administering diagnostic assessments in any of the following subjects and grades?

*(Include all diagnostic assessments given districtwide, whether they come from the state or are developed or purchased by the district. If diagnostic assessments are administered in any high school course, select HS.)*

SELECT ALL GRADES THAT APPLY IN EACH ROW OR  
SELECT "0" INDICATING NO DIAGNOSTIC ASSESSMENTS

	GRADE LEVEL										ANY HIGH SCHOOL GRADES	NO DIAGNOSTIC ASSESSMENTS
a. ELA.....	K	1	2	3	4	5	6	7	8	HS	0	
b. Math.....	K	1	2	3	4	5	6	7	8	HS	0	
c. Science.....	K	1	2	3	4	5	6	7	8	HS	0	
d. Social Studies.....	K	1	2	3	4	5	6	7	8	HS	0	

**2-4. In which subjects, if any, does your district administer districtwide final exams for high school courses? Please do not include any required state end-of-course assessments or required state exit exams.**

*Check box if your district does not administer any districtwide final exams for high school courses, other than those that may be required by the state, and skip to 2-5.*

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. ELA.....	1	0
b. Math.....	1	0
c. Science .....	1	0
d. Social Studies.....	1	0

**2-5. During this school year (2013-14), has your district done any of the following to prepare students for required state summative assessments in ELA or math?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Strengthened coursework in areas with statewide assessments .....	1	0
b. Provided resources for targeted assistance to struggling students outside school hours .....	1	0
c. Required targeted assistance to struggling students in place of a class during the school day (e.g., pull-out programs) .....	1	0
d. Reduced class sizes for ELA or math .....	1	0
e. Encouraged assignment of struggling students to high-performing teachers.....	1	0
f. Encouraged high-performing teachers to teach grades and subjects tested for state accountability purposes .....	1	0
g. Taught test taking skills to students.....	1	0
h. Provided opportunities for students to take practice statewide assessments on paper .....	1	0
i. Provided opportunities for students to take practice statewide assessments online .....	1	0
j. Identified students likely to score below state proficiency levels for additional help .....	1	0

**2-6. Next spring (2015), will students in your district take required state summative assessments using computers?**

- Yes ..... 1  
 No ..... 0 → Skip to Intro before 2-8  
 Don't know ..... d → Skip to Intro before 2-8

**2-7. As of today, does your district have sufficient technological resources to conduct required state summative assessments using computers?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Sufficient number of computers (desktops, laptops, or tablets) .....	1	0
b. Sufficient internet bandwidth .....	1	0

Now we will ask you about access to data in your district, as well as the resources and supports related to data use for the schools in your district. These questions ask about data on value added measures (VAMs) or student growth percentiles (SGPs). As a reminder, VAMs/SGPs apply complex statistical methods to calculate achievement growth for a teacher's own students or for a school based on standardized assessments.

**2-8. During this school year (2013-14), does your district have access to data or reports from the state that provide any of the following information?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO	DON'T KNOW
a. Prior achievement on required state summative assessments for individual students transferring into the district from elsewhere in the state.....	1	0	d
b. Schoolwide student achievement growth for the individual schools in the district (measured using value added measures (VAMs) or student growth percentiles (SGPs)).....	1	0	d
c. Teacher-specific student achievement growth for individual teachers in the district (measured using value added measures (VAMs) or student growth percentiles (SGPs)).....	1	0	d



Next we will ask about the use of a student-level data system. By student-level data system, we mean any technology-based tool that provides school leaders and teachers with data that can be used to monitor the achievement of individual students.

2-9. During this school year (2013-14), do school leaders and teachers in the district have electronic access to a student-level data system that includes any of the following types of data?

Check box if your district does not have electronic access to a student-level data system and skip to 2-11

Data System Includes	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Past achievement of currently enrolled individual students on state or districtwide summative assessments .....	1	0
b. Achievement of individual students on districtwide diagnostic assessments .....	1	0
c. Achievement growth for individual students on state or districtwide summative assessments .....	1	0
d. Achievement growth associated with individual teachers (measured using value added measures (VAMs) or student growth percentiles (SGPs)).....	1	0
e. Past course grades for currently enrolled individual students .....	1	0
f. Attendance of individual students.....	1	0
g. Behavior/discipline information on individual students.....	1	0
h. Readiness of individual students for grade promotion or graduation (“on track” measures) .....	1	0
i. Indicator of whether individual students graduated or dropped out prior to graduation.....	1	0

**2-10. During this school year (2013-14), has your district used a student-level data system for any of the following purposes?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. To set goals for school performance.....	1	0
b. To monitor the progress of English learners.....	1	0
c. To monitor the progress of students with disabilities .....	1	0
d. To evaluate the effectiveness of instructional interventions or initiatives.....	1	0
e. To plan districtwide professional development such as identifying specific content or skills where teachers need assistance or support.....	1	0
f. To evaluate the effectiveness of professional development programs.....	1	0
g. To identify schools for additional support or resources .....	1	0
h. To identify schools that may serve as models for other schools .....	1	0
i. To identify schools that should receive different levels of oversight or operational flexibility .....	1	0

**2-11. During the 2013-14 school year, do staff in your district have access to any of the following types of postsecondary data on your district’s graduates? If so, has your district used those data during the 2013-14 school year to monitor their progress?**

SELECT YES OR NO IN EACH ROW FOR “DISTRICT CAN ACCESS DATA”. IF YES, SELECT A REPOSENSE FOR “DISTRICT USED DATA THIS SCHOOL YEAR

	DISTRICT CAN ACCESS DATA		DISTRICT USED DATA THIS SCHOOL YEAR		
	YES	NO	YES	NO	DON'T KNOW
a. Enrollment in postsecondary education for your district’s graduates.....	1	0	1	0	d
b. Rates at which postsecondary students from your district take remedial courses.....	1	0	1	0	d
c. Postsecondary persistence rates for your district’s graduates (percentage of college students who continue to be enrolled in any college the next year) .	1	0	1	0	d
d. Postsecondary degree attainment (two- and four-year programs) for your district’s graduates .....	1	0	1	0	d

**2-12. During this school year (2013-14), has your district received any of the following materials or technical assistance to support the use of data to improve school performance and instruction?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Materials or documents on the use of data for school improvement plans .....	1	0
b. Materials or documents on the use of data for instructional planning or improvement .....	1	0
c. Technical assistance and/or support on hardware or software issues, such as technical systems or computer networks experts .....	1	0

**2-13. To what extent would you describe the following as challenges to using assessment data to inform instruction in your district?**

	SELECT ONE RESPONSE IN EACH ROW		
	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Limited access to data from prior years on this year's students.....	1	2	3
b. Timeliness of the data on student achievement from prior years .....	1	2	3
c. Teachers' level of understanding of how to analyze information from diagnostic assessments to inform instruction .....	1	2	3
d. Providing sufficient training so teachers can analyze student assessment data to identify instructional changes.....	1	2	3
e. Lack of district staff who can assist teachers with questions about analyzing student data .....	1	2	3
f. The ability to schedule regular time for teachers to meet in teams to discuss student achievement data and instruction .....	1	2	3
g. Assessments are not well aligned with the curriculum .....	1	2	3
h. Available assessment data do not accurately measure students' knowledge and skills.....	1	2	3

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### Section 3: School Accountability

**DEFINITION FOR USE THROUGHOUT THIS SECTION:**

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

A **combined subgroup** is a state-defined subgroup that includes two or more of the following student subgroups: White, Black or African American, Hispanic, Asian, American Indian or Alaska Naive, Native Hawaiian or Other Pacific Islander, Multiracial/Two or More Races, Other Individual Racial/Ethnic group, Economically Disadvantaged, English Learners, or Students with Disabilities.

**[WEB PROGRAMMING NOTE: IF THE DISTRICT IS IN A STATE THAT HAS AN APPROVED ESEA FLEXIBILITY WAIVER DISPLAY THE FOLLOWING NOTE:**

**NOTE:** Questions in this section refer to high- and low-performing schools in your district as identified by your state's federally-approved school accountability system. High-performing schools are those identified by the state as Reward schools (i.e., highest-performing or high-progress schools). Low-performing schools are those identified as Priority schools or Focus schools. This section asks about school improvement efforts for any low-performing schools and for other schools in your district.]

**[WEB PROGRAMMING NOTE: FOR DISTRICTS IN ALL OTHER STATES, DISPLAY THE FOLLOWING NOTE:**

**NOTE:** Questions in this section refer to high- and low-performing schools in your district as identified by your state's federally-approved school accountability system. The No Child Left Behind Act (NCLB) requires states to identify schools not making Adequate Yearly Progress (AYP) as in Need of Improvement, in Corrective Action, or in Restructuring. This section asks about school improvement efforts for any schools in these categories in your district.]

**[WEB PROGRAMMING NOTE:**

**QUESTION 3-1 ASKED OF DISTRICTS IN FLEXIBILITY STATES.**

**ALL GET ASKED 3-2.**

**QUESTIONS 3-5 and 3-6 ASKED OF DISTRICTS IN NON-FLEXIBILITY STATES.**

**ALL RESPONDENTS ARE ASKED QUESTION 3-7 THEN SPLIT AGAIN BASED ON FLEXIBILITY STATUS.]**

**HIGH-PERFORMING SCHOOLS (FLEXIBILITY STATES)**

**3-1. During this school year (2013-14), has your state identified any schools in your district as “Reward” schools (i.e., “highest-performing” or “high-progress” schools), based on student outcomes measured by required state summative assessments and other data collected through the end of the 2012-13 school year?**

Yes ..... 1

No ..... 0

**Achievement of Subgroups**

3-2. During this school year (2013-14), do schools in your district monitor the achievement of the following student subgroups?

*(Select No if a subgroup is not monitored in your state. Select NA (not applicable) if the subgroup is monitored in your state, but none of the schools in your district have a sufficient number of students in the subgroup (e.g., American Indian or Alaska Natives, English learners, or students with disabilities)).*

Check box if schools in your district do not monitor any subgroup achievement

**[WEB PROGRAMMING NOTE: IF CHECK BOX MARKED ABOVE, SKIP TO 3-5 IF DISTRICT IS IN A NON-FLEXIBILITY STATE.]**

	SELECT ONE RESPONSE IN EACH ROW		
	SUBGROUP ACHIEVEMENT MONITORED		
	YES	NO	NA
a. White .....	1	0	na
b. Black or African American .....	1	0	na
c. Hispanic .....	1	0	na
d. Asian .....	1	0	na
e. American Indian or Alaska Native.....	1	0	na
f. Native Hawaiian or Other Pacific Islander .....	1	0	na
g. Multiracial/two or more races.....	1	0	na
h. Other individual racial/ethnic subgroup (specify) .....	1	0	na
_____			
i. Economically disadvantaged .....	1	0	na
j. English learners .....	1	0	na
k. Students with disabilities.....	1	0	na
l. Low academic performance (for example, lowest 25 percent based on proficiency) .....	1	0	na
m. A combined subgroup (specify) .....	1	0	na
_____			
n. Another combined subgroup (specify) .....	1	0	na
_____			

**[WEB PROGRAMMING NOTE: DISPLAY ROWS 3-2L, M, AND N ONLY FOR DISTRICTS IN FLEXIBILITY STATES. AFTER 3-2, ALL DISTRICTS IN NON-FLEXIBILITY STATES SHOULD GO TO 3-5. QUESTIONS 3-3 AND 3-4 SHOULD ONLY BE ASKED OF DISTRICTS IN FLEXIBILITY STATES THAT ANSWER YES (1) TO 3-2L, M, OR N. OTHER DISTRICTS IN FLEXIBILITY STATES GO TO INTRO BEFORE 3-7.]**

**3-3. Did any schools in your district fall short of Annual Measurable Objectives (AMOs) for a state-designated combined subgroup in 2012-13?**

Yes ..... 1  
 No ..... 0 → Skip to programming box before 3-5

**3-4. What actions were taken by school leaders in schools that fell short of Annual Measurable Objectives (AMOs) for a state-designated combined subgroup in 2012-13?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. They developed a school improvement plan.....	1	0
b. They examined the reasons for low achievement of that combined subgroup.....	1	0
c. They implemented interventions to address the reasons for low achievement of the combined subgroup.....	1	0
d. They reported on the interim progress of the combined subgroup to the district or state more than once during this school year (2013-14) .....	1	0
e. They examined the reasons for low achievement of <u>each constituent subgroup</u> within that combined subgroup .....	1	0
f. They implemented interventions to address the reasons for low achievement of <u>each constituent subgroup</u> within that combined subgroup .....	1	0
g. They reported on the interim progress of <u>each constituent subgroup</u> within that combined subgroup to the district or state more than once during this school year (2013-14) .....	1	0

**[WEB PROGRAMMING NOTE:  
 ALL DISTRICTS IN FLEXIBILITY STATES GO TO INTRO BEFORE QUESTION 3-7.]**

**HIGH-PERFORMING SCHOOLS (NON-FLEXIBILITY STATES)**

**3-5. During this school year (2013-14), has your state identified any schools in your district as high-performing or as making high progress (i.e., substantially improving), based on student outcomes measured by required state summative assessments and/or graduation rates through the end of the 2012-13 school year?**

*(Include Title I Distinguished Schools and other state recognition programs. Do not include National Blue Ribbon Schools (as designated by the U.S. Department of Education) unless they have also been designated as high-performing or high-progress schools as part of a state program.)*

Yes ..... 1  
 No ..... 0 → Skip to Intro before 3-7



3-6. How many of your district's schools are currently identified by the state as high-performing or high-progress schools based on student outcomes measured through the end of the 2012-13 school year?

*(Enter the number of schools for each category or NA (not applicable) if the category does not exist in your district.)*

NUMBER OF SCHOOLS		
	HIGH-PERFORMING BASED ON STATE DEFINITION	HIGH-PROGRESS BASED ON STATE DEFINITION
<b>TITLE I SCHOOLS</b>		
a. Elementary/middle schools .....	_____	_____
b. High schools .....	_____	_____
TOTAL	_____	_____
<b>NON-TITLE I SCHOOLS</b>		
c. Elementary/middle schools .....	_____	_____
d. High schools .....	_____	_____
TOTAL	_____	_____

**Low-Performing Schools**

**[WEB PROGRAMMING NOTE: IF THE DISTRICT IS IN A STATE THAT HAS AN APPROVED ESEA FLEXIBILITY WAIVER, DISPLAY THE FOLLOWING NOTE:]**

**NOTE:** States with ESEA Flexibility waivers have identified low-performing schools as Priority schools and Focus schools for interventions. States must also monitor whether schools meet annual measurable objectives (AMOs). The questions in this section ask about interventions and assistance provided to these schools.

**[WEB PROGRAMMING NOTE: FOR DISTRICTS IN ALL OTHER STATES, DISPLAY THE FOLLOWING NOTE:]**

**NOTE:** The No Child Left Behind (NCLB) Act requires states to identify chronically low-performing schools as in Restructuring, in Corrective Action, or in Need of Improvement. The questions in this section ask about interventions and assistance provided to these schools.

**3-7. During this school year (2013-14), are any Title I and Non-Title I schools in your district in the following categories?**

**[WEB PROGRAMMING NOTE: DISPLAY ONLY THE FIRST THREE ROWS IF THE DISTRICT IS IN A STATE WITH ESEA FLEXIBILITY. OTHERWISE, DISPLAY THE THIRD THROUGH FIFTH ROWS.]**

	TITLE I SCHOOLS		NON-TITLE I SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Priority schools.....	1	0	1	0
b. Focus schools .....	1	0	1	0
c. Schools with federal School Improvement Grant (SIG) funding .....	1	0	1	0
d. Schools in Restructuring .....	1	0	1	0
e. Schools in Corrective Action .....	1	0	1	0

**[WEB PROGRAMMING NOTE:**

**IF THIS DISTRICT IS IN A FLEXIBILITY STATE AND:**

- **HAS NO PRIORITY OR FOCUS SCHOOLS (3-7A FIRST COLUMN = 0 AND 3-7A SECOND COLUMN =0 AND 3-7B FIRST COLUMN = 0 AND 3-7B SECOND COLUMN =0), ASK 3-8 and 3-22 THEN SKIP TO 3-38.**
- **HAS PRIORITY SCHOOLS, BUT NO FOCUS SCHOOLS (3-7A FIRST COLUMN = 1 OR 3-7A SECOND COLUMN = 1) AND (3-7B FIRST COLUMN = 0 AND 3-7B SECOND COLUMN =0) CONTINUE TO QUESTION 3-8.**
  - **FOR QUESTIONS 3-9 THROUGH 3-21 and 3-23, DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE I PRIORITY SCHOOLS BASED ON RESPONSES TO 3-7A FIRST AND SECOND COLUMNS**
  - **THEN SKIP RESPONDENT TO 3-35 THROUGH 3-37 AND DISPLAY QUESTIONS ABOUT TITLE I PRIORITY SCHOOLS BASED ON RESPONSES TO 3-7A FIRST AND SECOND COLUMNS.**
- **HAS PRIORITY AND FOCUS SCHOOLS (3-7A FIRST COLUMN = 1 OR 3-7A SECOND COLUMN = 1) AND (3-7B FIRST COLUMN = 1 OR 3-7B SECOND COLUMN =1) CONTINUE TO QUESTION 3-8**
  - **FOR QUESTIONS 3-9 THROUGH 3-21 and 3-23 THROUGH 3-37, DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE PRIORITY SCHOOLS BASED ON RESPONSES TO 3-7A FIRST AND SECOND COLUMNS. DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE I FOCUS SCHOOLS BASED ON RESPONSES TO 3-7B FIRST AND SECOND COLUMNS.**
- **HAS FOCUS SCHOOLS, BUT NO PRIORITY SCHOOLS (3-7A FIRST COLUMN = 0 AND 3-7A SECOND COLUMN = 0) AND (3-7B FIRST COLUMN = 1 OR 3-7B SECOND COLUMN =1), ASK 3-8 AND 3-22, THEN SKIP TO 3-24.**
  - **FOR QUESTIONS 3-24 THROUGH 3-37, DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE I FOCUS SCHOOLS BASED ON RESPONSES TO 3-7B FIRST AND SECOND COLUMNS.**

**IF THIS DISTRICT IS IN A NON-FLEXIBILITY STATE AND:**

- **HAS NO SCHOOLS IN RESTRUCTURING OR IN CORRECTIVE ACTION (3-7D FIRST COLUMN = 0 AND 3-7D SECOND COLUMN =0 AND 3-7E FIRST COLUMN = 0 AND 3-7E SECOND COLUMN =0), ASK 3-43 AND 3-68 THEN SKIP TO 3-73.**
- **HAS SCHOOLS IN RESTRUCTURING, BUT NO SCHOOLS IN CORRECTIVE ACTION (3-7D FIRST COLUMN = 1 OR 3-7D SECOND COLUMN = 1) AND (3-7E FIRST COLUMN = 0 AND 3-7E SECOND COLUMN =0) SKIP TO QUESTION 3-43.**
  - **FOR QUESTIONS 3-44 THROUGH 3-55, DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE I SCHOOLS IN RESTRUCTURING BASED ON RESPONSES TO 3-7D FIRST AND SECOND COLUMNS.**
  - **THEN SKIP RESPONDENT TO 3-66. FOR 3-66, 3-67, AND 3-69 THROUGH 3-72 AND DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE I SCHOOLS IN RESTRUCTURING BASED ON RESPONSES TO 3-7D FIRST AND SECOND COLUMN.**
- **HAS SCHOOLS IN RESTRUCTURING AND IN CORRECTIVE ACTION (3-7D FIRST COLUMN = 1 OR 3-7D SECOND COLUMN = 1) AND (3-7E FIRST COLUMN = 1 OR 3-7E SECOND COLUMN =1) SKIP TO QUESTION 3-43.**
  - **FOR QUESTIONS 3-44 THROUGH 3-67 AND 3-69 THROUGH 3-72, DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE I SCHOOLS IN RESTRUCTURING BASED ON RESPONSES TO 3-7D FIRST AND SECOND COLUMNS. DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE I SCHOOLS IN CORRECTIVE ACTION BASED ON RESPONSES TO 3-7E FIRST AND SECOND COLUMNS**
- **HAS SCHOOLS IN CORRECTIVE ACTION, BUT NO SCHOOLS IN RESTRUCTURING (3-7D FIRST COLUMN = 0 AND 3-7D SECOND COLUMN = 0) AND (3-7E FIRST COLUMN = 1 OR 3-7E SECOND COLUMN =1), ASK 3-43, THEN SKIP TO 3-56.**
  - **FOR QUESTIONS 3-56 THROUGH 3-65, 67 AND 3-69 THROUGH 3-72, DISPLAY QUESTIONS ABOUT TITLE I AND/OR NON-TITLE I SCHOOLS IN CORRECTIVE ACTION BASED ON RESPONSES TO 3-7E FIRST AND SECOND COLUMNS.]**

3-8. Among the schools in your district that were designated as Priority schools during the last school year (2012-13), how many were closed after the 2012-13 school year for performance reasons?  
*(Enter 'NA', where appropriate, if your district had no Priority schools during 2012-13. Enter '0' if no schools were closed.)*

\_\_\_\_\_ NUMBER OF TITLE I PRIORITY SCHOOLS CLOSED AFTER THE 2012-13 SCHOOL YEAR

\_\_\_\_\_ NUMBER OF NON-TITLE I PRIORITY SCHOOLS CLOSED AFTER THE 2012-13 SCHOOL YEAR

[WEB PROGRAMMING NOTE: IF THE DISTRICT HAS NO PRIORITY SCHOOLS FOR 2013-14 (3-7A FIRST COLUMN = 0 AND 3-7A SECOND COLUMN =0), SKIP TO 3-22.]

**NOTE TO REVIEWER:** This set of questions (3-9 thru 3-21, and 3-23 thru 3-37) is only for districts in Flexibility states that have Priority or Focus schools during 2013-14.

The next questions pertain to your district's Title I and Non-Title I Priority schools for 2013-14.

3-9. During this school year (2013-14), what interventions, if any, are being implemented for Priority schools?

	TITLE I PRIORITY SCHOOLS		NON-TITLE I PRIORITY SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
<b>Interventions for Priority schools:</b>				
a. Schools prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs .....	1	0	1	0
b. School improvement plans are made available to the public ...	1	0	1	0
c. Schools are implementing and monitoring an instructional program that supports subgroups of students not showing sufficient growth toward AMOs .....	1	0	1	0
d. Schools and/or the district are providing professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs .....	1	0	1	0

3-10. Among Priority schools in your district, how many are implementing each of the following initiatives during this school year (2013-14)?

(Enter the number of Priority schools implementing each initiative. If "none", enter 0.)

School Initiatives	NUMBER OF SCHOOLS	
	TITLE I PRIORITY SCHOOLS IMPLEMENTING INITIATIVE	NON-TITLE I PRIORITY SCHOOLS IMPLEMENTING INITIATIVE
a. Implementing a "restart" model as defined in U.S. Department of Education regulations .....	_____	_____
b. Implementing a "transformation" model as defined in U.S. Department of Education regulations .....	_____	_____
c. Implementing a "turnaround" model as defined in U.S. Department of Education regulations.....	_____	_____

Please answer the questions below for Title I Priority schools in your district.

3-11. Are all, some, or no Title I Priority schools in your district implementing any of the following academic initiatives during this school year (2013-14)?

Academic Initiatives	SELECT ONE RESPONSE IN EACH ROW		
	TITLE I PRIORITY SCHOOLS		
	ALL	SOME	NONE
a. Implementing a comprehensive schoolwide reform model.....	2	1	0
b. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	2	1	0

**3-12. Are all, some, or no Title I Priority schools in your district implementing the following structural changes during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School Structural Changes	TITLE I PRIORITY SCHOOLS		
	ALL	SOME	NONE
a. Adjusting the school schedule without changing the overall number of school hours .....	2	1	0
b. Operating an extended school day, week, or year .....	2	1	0
c. Making class sizes smaller than typical in other schools .....	2	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	2	1	0
e. Offering students the option to attend a different school (school choice) .....	2	1	0

**3-13. Do all, some, or no Title I Priority schools in your district have staffing authority of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

Staffing authority	TITLE I PRIORITY SCHOOLS		
	ALL	SOME	NONE
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district ..	2	1	0
b. School has the authority to make final decisions on teacher hiring.....	2	1	0

**3-14. Are all, some, or no Title I Priority schools in your district implementing new programs of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School is implementing new programs...	TITLE I PRIORITY SCHOOLS		
	ALL	SOME	NONE
a. To provide ongoing mechanisms for family and community engagement.....	2	1	0
b. To address students' social, emotional, or health needs .....	2	1	0
c. To improve student behavior, discipline, or safety .....	2	1	0

[WEB PROGRAMMING NOTE: IF DISTRICT RESPONDS "ALL" OR "SOME" IN ANY OF 3-11, 3-12, 3-13, OR 3-14, CONTINUE TO 3-15. OTHERWISE SKIP TO 3-16.]

**3-15. Which of the following did the district take into account when selecting the interventions to implement in these Title I Priority schools?**

SELECT ONE RESPONSE IN EACH ROW

Our district considered:	YES	NO	DON'T KNOW
a. Guidance or advice from the state education department or a technical assistance center funded by the state .....	1	0	d
b. A list of vendors approved by the state .....	1	0	d
c. Information provided by the intervention's developer or vendor .....	1	0	d
d. Recommendations from colleagues in other school districts .....	1	0	d
e. Information from a U.S. Department of Education Comprehensive Center .....	1	0	d
f. Information from a U.S. Department of Education Regional Educational Laboratory .....	1	0	d
g. Information from the What Works Clearinghouse.....	1	0	d
h. School staff's interest in specific interventions.....	1	0	d
i. Parent and/or community input .....	1	0	d
j. Grade level of the school (i.e., elementary, middle, or secondary) .....	1	0	d
k. Cost of interventions and amount of funding available .....	1	0	d
l. District and/or school capacity to implement the interventions .....	1	0	d
m. Something else (specify).....	1	0	d

Please answer the questions below for Non-Title I Priority schools in your district.

3-16. Are all, some, or no Non-Title I Priority schools in your district implementing any of the following academic initiatives during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

Academic Initiatives	NON-TITLE I PRIORITY SCHOOLS		
	ALL	SOME	NONE
a. Implementing a comprehensive schoolwide reform model.....	2	1	0
b. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	2	1	0

3-17. Are all, some, or no Non-Title I Priority schools in your district implementing the following structural changes during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

School Structural Changes	NON-TITLE I PRIORITY SCHOOLS		
	ALL	SOME	NONE
a. Adjusting the school schedule without changing the overall number of school hours .....	2	1	0
b. Operating an extended school day, week, or year .....	2	1	0
c. Making class sizes smaller than typical in other schools .....	2	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	2	1	0
e. Offering students the option to attend a different school (school choice) .....	2	1	0



**3-18. Do all, some, or no Non-Title I Priority schools in your district have staffing authority of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

Staffing authority	NON-TITLE I PRIORITY SCHOOLS		
	ALL	SOME	NONE
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district ..	2	1	0
b. School has the authority to make final decisions on teacher hiring.....	2	1	0

**3-19. Are all, some, or no Non-Title I Priority schools in your district implementing new programs of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School is implementing new programs...	NON-TITLE I PRIORITY SCHOOLS		
	ALL	SOME	NONE
a. To provide ongoing mechanisms for family and community engagement.....	2	1	0
b. To address students' social, emotional, or health needs .....	2	1	0
c. To improve student behavior, discipline, or safety .....	2	1	0

**[WEB PROGRAMMING NOTE: IF DISTRICT RESPONDS "ALL" OR "SOME" IN ANY OF 3-16, 3-17, 3-18, OR 3-19, CONTINUE TO 3-20. OTHERWISE SKIP TO 3-21.]**

**3-20. Which of the following did the district take into account when selecting the interventions to implement in these Non-Title I Priority schools?**

Our district considered:	SELECT ONE RESPONSE IN EACH ROW		
	YES	NO	DON'T KNOW
a. Guidance or advice from the state education department or a technical assistance center funded by the state .....	1	0	d
b. A list of vendors approved by the state .....	1	0	d
c. Information provided by the intervention's developer or vendor .....	1	0	d
d. Recommendations from colleagues in other school districts .....	1	0	d
e. Information from a U.S. Department of Education Comprehensive Center .....	1	0	d
f. Information from a U.S. Department of Education Regional Educational Laboratory .....	1	0	d
g. Information from the What Works Clearinghouse.....	1	0	d
h. School staff's interest in specific interventions .....	1	0	d
i. Parent and/or community input .....	1	0	d
j. Grade level of the school (i.e., elementary, middle, or secondary) .....	1	0	d
k. Cost of interventions and amount of funding available .....	1	0	d
l. District and/or school capacity to implement the interventions .....	1	0	d
m. Something else (specify).....	1	0	d

Please answer the questions below for Title I and Non-Title I Priority schools in your district.

**3-21. Are any of the Priority schools in your district under the following forms of management during the 2013-14 school year?**

	TITLE I PRIORITY SCHOOLS		NON-TITLE I PRIORITY SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Direct state control or statewide accountability district .....	1	0	1	0
b. Converted to charter school .....	1	0	1	0
c. Managed by a school management organization, either for-profit or nonprofit .....	1	0	1	0

3-22. How many Priority schools in your district have been removed by the state from district control since the beginning of the 2012-13 school year?

*(Enter 'NA', where appropriate, if your district had no Priority schools during 2012-13 or 2013-14. Enter '0' if no schools were removed from district control.)*

\_\_\_\_\_ NUMBER OF TITLE I PRIORITY SCHOOLS REMOVED FROM DISTRICT CONTROL

\_\_\_\_\_ NUMBER OF NON-TITLE I PRIORITY SCHOOLS REMOVED FROM DISTRICT CONTROL

**[WEB PROGRAMMING NOTE:]**

- IF THE DISTRICT HAS NO PRIORITY SCHOOLS OR FOCUS SCHOOLS FOR 2013-14 (3-7A FIRST COLUMN =0 AND 3-7A SECOND COLUMN =0 AND 3-7B FIRST COLUMN = 0 AND 3-7B SECOND COLUMN = 0), SKIP TO 3-38.
- IF THE DISTRICT HAS FOCUS SCHOOLS, BUT NO PRIORITY SCHOOLS FOR 2013-14 (3-7A FIRST COLUMN = 0 AND 3-7A SECOND COLUMN = 0) AND (3-7B FIRST COLUMN = 1 OR 3-7B SECOND COLUMN = 1), SKIP TO 3-24.

3-23. To what extent were changes in personnel used to turn around Priority schools in your district before the start of this school year (2013-14)?

*(Enter the number of Priority schools in which the principal was replaced or in which half or more of the teaching staff was replaced before the start of the 2013-14 school year as part of the school improvement plan. If "none", enter 0.)*

	NUMBER OF SCHOOLS	
	TITLE I PRIORITY SCHOOLS	NON-TITLE I PRIORITY SCHOOLS
a. Principal replaced .....	_____	_____
b. Half or more of the teaching staff replaced .....	_____	_____

The next questions pertain to your district's Title I and Non-Title I Focus schools.

3-24. During this school year (2013-14), what interventions, if any, are being implemented for Focus schools in your district?

Interventions for Focus schools:	TITLE I FOCUS SCHOOLS		NON-TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Schools prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs .....	1	0	1	0
b. School improvement plans are made available to the public .....	1	0	1	0
c. Schools are implementing and monitoring an instructional program that supports subgroups of students not showing sufficient growth toward AMOs .....	1	0	1	0
d. Schools and/or the district are providing professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs.....	1	0	1	0

Please answer the questions below for Title I Focus schools in your district.

3-25. Are all, some, or no Title I Focus schools in your district implementing any of the following academic initiatives during this school year (2013-14)?

Academic Initiatives	SELECT ONE RESPONSE IN EACH ROW		
	TITLE I FOCUS SCHOOLS		
	ALL	SOME	NONE
a. Implementing a comprehensive schoolwide reform model.....	2	1	0
b. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	2	1	0

3-26. Are all, some, or no Title I Focus schools in your district implementing the following structural changes during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

School Structural Changes	TITLE I FOCUS SCHOOLS		
	ALL	SOME	NONE
a. Adjusting the school schedule without changing the overall number of school hours .....	2	1	0
b. Operating an extended school day, week, or year .....	2	1	0
c. Making class sizes smaller than typical in other schools .....	2	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	2	1	0
e. Offering students the option to attend a different school (school choice) .....	2	1	0

3-27. Do all, some, or no Title I Focus schools in your district have staffing authority of the following types during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

Staffing authority	TITLE I FOCUS SCHOOLS		
	ALL	SOME	NONE
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district ....	2	1	0
b. School has the authority to make final decisions on teacher hiring.....	2	1	0

**3-28. Are all, some, or no Title I Focus schools in your district implementing new programs of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School is implementing new programs...	TITLE I FOCUS SCHOOLS		
	ALL	SOME	NONE
a. To provide ongoing mechanisms for family and community engagement.....	2	1	0
b. To address students' social, emotional, or health needs .....	2	1	0
c. To improve student behavior, discipline, or safety .....	2	1	0

**[WEB PROGRAMMING NOTE: IF DISTRICT RESPONDS "ALL" OR "SOME" IN ANY OF 3-25, 3-26, 3-27, OR 3-28, CONTINUE TO 3-29. OTHERWISE SKIP TO 3-30.]**

**3-29. Which of the following did the district take into account when selecting the interventions to implement in these Title I Focus schools?**

SELECT ONE RESPONSE IN EACH ROW			
	YES	NO	DON'T KNOW
Our district considered:			
a. Guidance or advice from the state education department or a technical assistance center funded by the state .....	1	0	d
b. A list of vendors approved by the state .....	1	0	d
c. Information provided by the intervention's developer or vendor .....	1	0	d
d. Recommendations from colleagues in other school districts .....	1	0	d
e. Information from a U.S. Department of Education Comprehensive Center .....	1	0	d
f. Information from a U.S. Department of Education Regional Educational Laboratory .....	1	0	d
g. Information from the What Works Clearinghouse.....	1	0	d
h. School staff's interest in specific interventions .....	1	0	d
i. Parent and/or community input .....	1	0	d
j. Grade level of the school (i.e., elementary, middle, or secondary) .....	1	0	d
k. Cost of interventions and amount of funding available .....	1	0	d
l. District and/or school capacity to implement the interventions .....	1	0	d
m. Something else (specify)..... _____	1	0	d

Please answer the questions below for Non-Title I Focus schools in your district.

**3-30. Are all, some, or no Non-Title I Focus schools in your district implementing any of the following academic initiatives during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW			
Academic Initiatives	NON-TITLE I FOCUS SCHOOLS		
	ALL	SOME	NONE
a. Implementing a comprehensive schoolwide reform model.....	2	1	0
b. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	2	1	0

**3-31. Are all, some, or no Non-Title I Focus schools in your district implementing the following structural changes during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School Structural Changes	NON-TITLE I FOCUS SCHOOLS		
	ALL	SOME	NONE
a. Adjusting the school schedule without changing the overall number of school hours .....	2	1	0
b. Operating an extended school day, week, or year .....	2	1	0
c. Making class sizes smaller than typical in other schools .....	2	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	2	1	0
e. Offering students the option to attend a different school (school choice) .....	2	1	0

**3-32. Do all, some, or no Non-Title I Focus schools in your district have staffing authority of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

Staffing authority	NON-TITLE I FOCUS SCHOOLS		
	ALL	SOME	NONE
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district .....	2	1	0
b. School has the authority to make final decisions on teacher hiring.....	2	1	0

**3-33. Are all, some, or no Non-Title I Focus schools in your district implementing new programs of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School is implementing new programs...	NON-TITLE I FOCUS SCHOOLS		
	ALL	SOME	NONE
a. To provide ongoing mechanisms for family and community engagement.....	2	1	0
b. To address students' social, emotional, or health needs .....	2	1	0
c. To improve student behavior, discipline, or safety .....	2	1	0



[WEB PROGRAMMING NOTE: IF DISTRICT RESPONDS "ALL" OR "SOME" IN ANY OF 3-30, 3-31, 3-32, OR 3-33, CONTINUE TO 3-34. OTHERWISE SKIP TO 3-35.]

**3-34. Which of the following did the district take into account when selecting the interventions to implement in these Non-Title I Focus schools?**

SELECT ONE RESPONSE IN EACH ROW

Our district considered:	YES	NO	DON'T KNOW
a. Guidance or advice from the state education department or a technical assistance center funded by the state .....	1	0	d
b. A list of vendors approved by the state .....	1	0	d
c. Information provided by the intervention's developer or vendor .....	1	0	d
d. Recommendations from colleagues in other school districts .....	1	0	d
e. Information from a U.S. Department of Education Comprehensive Center .....	1	0	d
f. Information from a U.S. Department of Education Regional Educational Laboratory .....	1	0	d
g. Information from the What Works Clearinghouse.....	1	0	d
h. School staff's interest in specific interventions .....	1	0	d
i. Parent and/or community input .....	1	0	d
j. Grade level of the school (i.e., elementary, middle, or secondary) .....	1	0	d
k. Cost of interventions and amount of funding available .....	1	0	d
l. District and/or school capacity to implement the interventions .....	1	0	d
m. Something else (specify).....	1	0	d

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The next questions are about your district's Title I Priority and Focus schools.

3-35. During this school year (2013-14) and including last summer (2013), what **additional** professional development or technical assistance was provided to principals in Title I Priority and Focus schools in your district, beyond what is available to any Title I school?

	PROVIDED TO TITLE I PRIORITY SCHOOLS		PROVIDED TO TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
<b>Additional professional development or assistance for principals on...</b>				
a. School improvement planning, identifying interventions, or budgeting effectively.....	1	0	1	0
b. Acting as instructional leaders .....	1	0	1	0
c. Recruiting, retaining, and developing more effective teachers.....	1	0	1	0

3-36. Thinking now about teachers, during this school year (2013-14) and including last summer (2013), what **additional** professional development or technical assistance was provided to teachers in Title I Priority and Focus schools in your district, beyond what is available to any Title I school?

	PROVIDED TO TITLE I PRIORITY SCHOOLS		PROVIDED TO TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
<b>Additional professional development or assistance for teachers on...</b>				
a. Analyzing student assessment data to improve instruction .....	1	0	1	0
b. Working effectively in teacher teams to improve instruction .....	1	0	1	0
c. Identifying and implementing strategies to address the needs of English learners.....	1	0	1	0
d. Identifying and implementing strategies to address the needs of students with disabilities .....	1	0	1	0

3-37. During this school year (2013-14), what additional resources has the state provided to Title I Priority and Focus schools in your district, beyond what is available to any Title I school?

	PROVIDED TO TITLE I PRIORITY SCHOOLS		PROVIDED TO TITLE I FOCUS SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Additional resources to be used for purposes specified in the school improvement plan.....	1	0	1	0
b. Additional resources to be used to reduce class sizes .....	1	0	1	0
c. Additional resources to be used to add instructional time (extended day or extended school year).....	1	0	1	0

For the next set of questions, please consider Title I and Non-Title I schools in your district that are NOT Priority or Focus schools.

3-38. Apart from Priority and Focus schools, did any school in your district (either Title I or Non-Title I) fall short of Annual Measurable Objective (AMO) targets for the previous school year (2012-13)?

Yes ..... 1  
 No ..... 0 → Skip to 3-77

3-39. What type of schools in your district (excluding Priority and Focus) fell short of AMO targets for the previous school year (2012-13)?

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Title I schools (excluding Priority and Focus schools) .....	1	0
b. Non-Title I schools (excluding Priority and Focus schools) .....	1	0

**[WEB PROGRAMMING NOTE: IF 'NO' ENTERED IN BOTH RESPONSES IN 3-39, SKIP TO 3-77.]**

**3-40. For schools in your district that did not meet AMOs for 2012-13 (excluding Priority and Focus schools), what interventions, if any, are being implemented during this school year (2013-14)?**

Interventions for schools not meeting AMOs (excluding Priority and Focus schools):	TITLE I SCHOOLS NOT MEETING AMOs		NON-TITLE I SCHOOLS NOT MEETING AMOs	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Schools prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs .....	1	0	1	0
b. School improvement plans are made available to the public .....	1	0	1	0
c. Schools are implementing and monitoring an instructional program that supports subgroups of students not showing sufficient growth toward AMOs .....	1	0	1	0
d. Schools and/or the district are providing professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs .....	1	0	1	0
e. District must offer students the opportunity to attend other schools (school choice) .....	1	0	1	0
f. District must offer low-income students the opportunity to enroll in after-school supplemental educational services .....	1	0	1	0
g. Schools have smaller class sizes than last year .....	1	0	1	0
h. Additional instructional time (extended day or extended school year) .....	1	0	1	0

The next questions pertain to your district's Title I schools that did not meet AMOs for 2012-13.

3-41. During this school year (2013-14) and including last summer (2013), what additional professional development or technical assistance was provided to principals in Title I schools in your district that did not meet AMOs for 2012-13 (excluding Priority and Focus schools), beyond what is available to any Title I school?

SELECT ONE RESPONSE  
IN EACH ROW

Additional professional development or assistance for principals on...	TITLE I SCHOOLS NOT MEETING AMOs	
	YES	NO
a. School improvement planning, identifying interventions, or budgeting effectively.....	1	0
b. Acting as instructional leaders .....	1	0
c. Recruiting, retaining, and developing more effective teachers.....	1	0

3-42. Thinking now about teachers, during this school year (2013-14) and including last summer (2013), what additional professional development or technical assistance was provided to teachers in Title I schools in your district that did not meet AMOs for 2012-13 (excluding Priority and Focus schools), beyond what is available to any Title I school?

SELECT ONE RESPONSE  
IN EACH ROW

Additional professional development or assistance for teachers on...	TITLE I SCHOOLS NOT MEETING AMOs	
	YES	NO
a. Analyzing student assessment data to improve instruction .....	1	0
b. Working effectively in teacher teams to improve instruction .....	1	0
c. Identifying and implementing strategies to address the needs of English learners .....	1	0
d. Identifying and implementing strategies to address the needs of students with disabilities .....	1	0

**[WEB PROGRAMMING NOTE: SKIP TO 3-77.] (ALL DISTRICTS IN FLEX STATES)**

3-43. Among the schools that were in Restructuring and Corrective Action in your district during the last school year (2012-13), how many were closed after the 2012-13 school year for performance reasons?

*(Enter 'NA', where appropriate, if your district had no schools in Restructuring or Corrective Action during 2012-13. Enter "0" if no schools were closed)*

**Title I Schools**

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN RESTRUCTURING THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN CORRECTIVE ACTION THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

**Non-Title I Schools**

\_\_\_\_\_ NUMBER OF NON-TITLE I SCHOOLS IN RESTRUCTURING THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

\_\_\_\_\_ NUMBER OF NON-TITLE I SCHOOLS IN CORRECTIVE ACTION THAT CLOSED AFTER THE 2012-13 SCHOOL YEAR

**[WEB PROGRAMMING NOTE:**

- IF DISTRICT HAS NO SCHOOLS IN RESTRUCTURING OR IN CORRECTIVE ACTION (3-7D FIRST COLUMN = 0 AND 3-7D SECOND COLUMN =0 AND 3-7E FIRST COLUMN = 0 AND 3-7E SECOND COLUMN =0), SKIP TO 3-68.
- IF DISTRICT HAS SCHOOLS IN CORRECTIVE ACTION, BUT NO SCHOOLS IN RESTRUCTURING (3-7D FIRST COLUMN = 0 AND 3-7D SECOND COLUMN =0 AND (3-7E FIRST COLUMN = 1 OR 3-7E SECOND COLUMN =1), SKIP TO 3-56.)]

**NOTE TO REVIEWER: This set of questions (3-44 thru 3-67 and 3-69 thru 72) is for districts in non-Flexibility states that have schools in Restructuring and/or Corrective Action during 2013-14.**

The following questions pertain to Title I and Non-Title I Schools in Restructuring in your district in 2013-14.

**3-44. For Title I and Non-Title I Schools in Restructuring in your district, what interventions, if any, are being implemented during this school year (2013-14)?**

	TITLE I SCHOOLS IN RESTRUCTURING		NON-TITLE I SCHOOLS IN RESTRUCTURING	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
<b>Interventions for Schools in Restructuring:</b>				
a. Schools prepared a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs.....	1	0	1	0
b. School improvement plans are made available to the public .....	1	0	1	0
c. Schools are implementing and monitoring an instructional program that supports students not showing sufficient growth toward AMOs .....	1	0	1	0
d. Schools and/or the district provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs.....	1	0	1	0
e. District must offer students the opportunity to attend other schools (school choice) .....	1	0	1	0
f. District must offer low-income students the opportunity to enroll in after-school supplemental educational services .....	1	0	1	0
g. Schools have smaller class sizes than last year.....	1	0	1	0
h. Schools are implementing additional instructional time (extended day or extended school year).....	1	0	1	0

3-45. Among Title I and Non-Title I Schools in Restructuring in your district, how many are implementing each of the following initiatives during this school year (2013-14)?

(Enter the number of Schools in Restructuring implementing each initiative. If “none”, enter 0.)

School Initiatives	NUMBER OF SCHOOLS	
	TITLE I SCHOOLS IN RESTRUCTURING IMPLEMENTING INITIATIVE	NON-TITLE I SCHOOLS IN RESTRUCTURING IMPLEMENTING INITIATIVE
a. Implementing a “restart” model as defined in U.S. Department of Education regulations.....	_____	_____
b. Implementing a “transformation” model as defined in U.S. Department of Education regulations.....	_____	_____
c. Implementing a “turnaround” model as defined in U.S. Department of Education regulations.....	_____	_____

Please answer the questions below for Title I Schools in Restructuring in your district.

3-46. Are all, some, or no Title I Schools in Restructuring in your district implementing any of the following academic initiatives during this school year (2013-14)?

Academic Initiatives	SELECT ONE RESPONSE IN EACH ROW		
	TITLE I SCHOOLS IN RESTRUCTURING		
	ALL	SOME	NONE
a. Implementing a comprehensive schoolwide reform model.....	2	1	0
b. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	2	1	0



**3-47. Are all, some, or no Title I Schools in Restructuring in your district implementing the following structural changes during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School Structural Changes	TITLE I SCHOOLS IN RESTRUCTURING		
	ALL	SOME	NONE
a. Adjusting the school schedule without changing the overall number of school hours .....	2	1	0
b. Operating an extended school day, week, or year .....	2	1	0
c. Making class sizes smaller than typical in other schools .....	2	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	2	1	0
e. Offering students the option to attend a different school (school choice) .....	2	1	0

**3-48. Do all, some, or no Title I Schools in Restructuring in your district have staffing authority of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

Staffing authority	TITLE I SCHOOLS IN RESTRUCTURING		
	ALL	SOME	NONE
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district .....	2	1	0
b. School has the authority to make final decisions on teacher hiring.....	2	1	0

**3-49. Are all, some, or no Title I Schools in Restructuring in your district implementing new programs of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School is implementing new programs...	TITLE I SCHOOLS IN RESTRUCTURING		
	ALL	SOME	NONE
a. To provide ongoing mechanisms for family and community engagement.....	2	1	0
b. To address students' social, emotional, or health needs .....	2	1	0
c. To improve student behavior, discipline, or safety .....	2	1	0

[WEB PROGRAMMING NOTE: IF DISTRICT RESPONDS “ALL” OR “SOME” IN ANY OF 3-46, 3-47, 3-48, OR 3-49, CONTINUE TO 3-50. OTHERWISE SKIP TO 3-51.]

**3-50. Which of the following did the district take into account when selecting the interventions to implement in these Title I Schools in Restructuring?**

SELECT ONE RESPONSE IN EACH ROW

Our district considered:	YES	NO	DON'T KNOW
a. Guidance or advice from the state education department or a technical assistance center funded by the state .....	1	0	d
b. A list of vendors approved by the state .....	1	0	d
c. Information provided by the intervention’s developer or vendor .....	1	0	d
d. Recommendations from colleagues in other school districts .....	1	0	d
e. Information from a U.S. Department of Education Comprehensive Center .....	1	0	d
f. Information from a U.S. Department of Education Regional Educational Laboratory .....	1	0	d
g. Information from the What Works Clearinghouse.....	1	0	d
h. School staff’s interest in specific interventions .....	1	0	d
i. Parent and/or community input .....	1	0	d
j. Grade level of the school (i.e., elementary, middle, or secondary) .....	1	0	d
k. Cost of interventions and amount of funding available .....	1	0	d
l. District and/or school capacity to implement the interventions .....	1	0	d
m. Something else (specify)..... _____	1	0	d

Please answer the questions below for Non-Title I Schools in Restructuring in your district.

3-51. Are all, some, or no Non-Title I Schools in Restructuring in your district implementing any of the following academic initiatives during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

Academic Initiatives	NON-TITLE I SCHOOLS IN RESTRUCTURING		
	ALL	SOME	NONE
a. Implementing a comprehensive schoolwide reform model.....	2	1	0
b. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	2	1	0

3-52. Are all, some, or no Non-Title I Schools in Restructuring in your district implementing the following structural changes during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

School Structural Changes	NON-TITLE I SCHOOLS IN RESTRUCTURING		
	ALL	SOME	NONE
a. Adjusting the school schedule without changing the overall number of school hours .....	2	1	0
b. Operating an extended school day, week, or year .....	2	1	0
c. Making class sizes smaller than typical in other schools .....	2	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	2	1	0
e. Offering students the option to attend a different school (school choice) .....	2	1	0

**3-53. Do all, some, or no Non-Title I Schools in Restructuring in your district have staffing authority of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

Staffing authority	NON-TITLE I SCHOOLS IN RESTRUCTURING		
	ALL	SOME	NONE
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district .....	2	1	0
b. School has the authority to make final decisions on teacher hiring.....	2	1	0

**3-54. Are all, some, or no Non-Title I Schools in Restructuring in your district implementing new programs of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School is implementing new programs...	NON-TITLE I SCHOOLS IN RESTRUCTURING		
	ALL	SOME	NONE
a. To provide ongoing mechanisms for family and community engagement.....	2	1	0
b. To address students' social, emotional, or health needs .....	2	1	0
c. To improve student behavior, discipline, or safety .....	2	1	0

**[WEB PROGRAMMING NOTE: IF DISTRICT RESPONDS "ALL" OR "SOME" IN ANY OF 3-51, 3-52, 3-53, OR 3-54, CONTINUE TO 3-55. OTHERWISE SKIP TO 3-56.]**

**3-55. Which of the following did the district take into account when selecting the interventions to implement in these Non-Title I Schools in Restructuring?**

SELECT ONE RESPONSE IN EACH ROW

Our district considered:	YES	NO	DON'T KNOW
a. Guidance or advice from the state education department or a technical assistance center funded by the state .....	1	0	d
b. A list of vendors approved by the state .....	1	0	d
c. Information provided by the intervention's developer or vendor .....	1	0	d
d. Recommendations from colleagues in other school districts .....	1	0	d
e. Information from a U.S. Department of Education Comprehensive Center .....	1	0	d
f. Information from a U.S. Department of Education Regional Educational Laboratory .....	1	0	d
g. Information from the What Works Clearinghouse.....	1	0	d
h. School staff's interest in specific interventions .....	1	0	d
i. Parent and/or community input .....	1	0	d
j. Grade level of the school (i.e., elementary, middle, or secondary) .....	1	0	d
k. Cost of interventions and amount of funding available .....	1	0	d
l. District and/or school capacity to implement the interventions .....	1	0	d
m. Something else (specify)..... _____	1	0	d

The following questions pertain to Title I and Non-Title I Schools in Corrective Action in your district.

3-56. For Title I and Non-Title I Schools in Corrective Action in your district, what interventions, if any, are being implemented during this school year (2013-14)?

Interventions for Schools in Corrective Action:	TITLE I SCHOOLS IN CORRECTIVE ACTION		NON-TITLE I SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Schools prepared a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs.....	1	0	1	0
b. School improvement plans are made available to the public .....	1	0	1	0
c. Schools are implementing and monitoring an instructional program that supports students not showing sufficient growth toward AMOs .....	1	0	1	0
d. Schools and/or the district provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs.....	1	0	1	0
e. District must offer students the opportunity to attend other schools (school choice) .....	1	0	1	0
f. District must offer low-income students the opportunity to enroll in after-school supplemental educational services .....	1	0	1	0

3-57. Among Title I and Non-Title I Schools in Corrective Action in your district, how many are implementing each of the following initiatives during this school year (2013-14)?

(Enter the number of Schools in Corrective Action implementing each initiative. If “none”, enter 0.)

School Initiatives	NUMBER OF SCHOOLS	
	TITLE I SCHOOLS IN CORRECTIVE ACTION IMPLEMENTING INITIATIVE	NON-TITLE I SCHOOLS IN CORRECTIVE ACTION IMPLEMENTING INITIATIVE
a. Implementing a “restart” model as defined in U.S. Department of Education regulations.....	_____	_____
b. Implementing a “transformation” model as defined in U.S. Department of Education regulations.....	_____	_____
c. Implementing a “turnaround” model as defined in U.S. Department of Education regulations.....	_____	_____

Please answer the questions below for Title I Schools in Corrective Action in your district.

3-58. Are all, some, or no Title I Schools in Corrective Action in your district implementing any of the following academic initiatives during this school year (2013-14)?

Academic Initiatives	SELECT ONE RESPONSE IN EACH ROW		
	TITLE I SCHOOLS IN CORRECTIVE ACTION		
	ALL	SOME	NONE
a. Implementing a comprehensive schoolwide reform model.....	2	1	0
b. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	2	1	0

**3-59. Are all, some, or no Title I Schools in Corrective Action in your district implementing the following structural changes during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School Structural Changes	TITLE I SCHOOLS IN CORRECTIVE ACTION		
	ALL	SOME	NONE
a. Adjusting the school schedule without changing the overall number of school hours .....	2	1	0
b. Operating an extended school day, week, or year .....	2	1	0
c. Making class sizes smaller than typical in other schools .....	2	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	2	1	0
e. Offering students the option to attend a different school (school choice) .....	2	1	0

**3-60. Do all, some, or no Title I Schools in Corrective Action in your district have staffing authority of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

Staffing authority	TITLE I SCHOOLS IN CORRECTIVE ACTION		
	ALL	SOME	NONE
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district .....	2	1	0
b. School has the authority to make final decisions on teacher hiring.....	2	1	0

**3-61. Are all, some, or no Title I Schools in Corrective Action in your district implementing new programs of the following types during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

School is implementing new programs...	TITLE I SCHOOLS IN CORRECTIVE ACTION		
	ALL	SOME	NONE
a. To provide ongoing mechanisms for family and community engagement.....	2	1	0
b. To address students' social, emotional, or health needs .....	2	1	0
c. To improve student behavior, discipline, or safety .....	2	1	0



Please answer the questions below for Non-Title I Schools in Corrective Action in your district.

3-62. Are all, some, or no Non-Title I Schools in Corrective Action in your district implementing any of the following academic initiatives during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW			
NON-TITLE I SCHOOLS IN CORRECTIVE ACTION			
Academic Initiatives	ALL	SOME	NONE
a. Implementing a comprehensive schoolwide reform model.....	2	1	0
b. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	2	1	0

3-63. Are all, some, or no Non-Title I Schools in Corrective Action in your district implementing the following structural changes during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW			
NON-TITLE I SCHOOLS IN CORRECTIVE ACTION			
School Structural Changes	ALL	SOME	NONE
a. Adjusting the school schedule without changing the overall number of school hours .....	2	1	0
b. Operating an extended school day, week, or year .....	2	1	0
c. Making class sizes smaller than typical in other schools .....	2	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	2	1	0
e. Offering students the option to attend a different school (school choice) .....	2	1	0

3-64. Do all, some, or no Non-Title I Schools in Corrective Action in your district have staffing authority of the following types during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW			
NON-TITLE I SCHOOLS IN CORRECTIVE ACTION			
Staffing authority	ALL	SOME	NONE
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district .....	2	1	0
b. School has the authority to make final decisions on teacher hiring.....	2	1	0

3-65. Are all, some, or no Non-Title I Schools in Corrective Action in your district implementing new programs of the following types during this school year (2013-14)?

SELECT ONE RESPONSE IN EACH ROW

School is implementing new programs...	NON-TITLE I SCHOOLS IN CORRECTIVE ACTION		
	ALL	SOME	NONE
a. To provide ongoing mechanisms for family and community engagement.....	2	1	0
b. To address students' social, emotional, or health needs .....	2	1	0
c. To improve student behavior, discipline, or safety .....	2	1	0

The next questions pertain to Title I and Non-Title I Schools in Restructuring and Corrective Action in your district.

3-66. Are any of the Title I and Non-Title I Schools in Restructuring in your district under the following forms of management during the 2013-14 school year?

	TITLE I SCHOOLS IN RESTRUCTURING		NON-TITLE I SCHOOLS IN RESTRUCTURING	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Direct state control or statewide accountability district .....	1	0	1	0
b. Converted to charter school .....	1	0	1	0
c. Managed by a school management organization, either for-profit or nonprofit.....	1	0	1	0

3-67. And are any of the Title I and Non-Title I Schools in Corrective Action in your district under the following forms of management for the 2013-14 school year?

	TITLE I SCHOOLS IN CORRECTIVE ACTION		NON-TITLE I SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Direct state control or statewide accountability district .....	1	0	1	0
b. Converted to charter school .....	1	0	1	0
c. Managed by a school management organization, either for-profit or nonprofit.....	1	0	1	0

3-68. How many schools in Restructuring and Corrective Action in your district have been removed by the state from district control since the beginning of the 2012-13 school year?

*(Enter 'NA', where appropriate, if your district had no schools in Restructuring or Corrective Action during 2012-13 or 2013-14. Enter '0' if no schools were removed from district control.)*

**Title I Schools**

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN RESTRUCTURING REMOVED FROM DISTRICT CONTROL

\_\_\_\_\_ NUMBER OF TITLE I SCHOOLS IN CORRECTIVE ACTION REMOVED FROM DISTRICT CONTROL

**Non-Title I Schools**

\_\_\_\_\_ NUMBER OF NON-TITLE I SCHOOLS IN RESTRUCTURING REMOVED FROM DISTRICT CONTROL

\_\_\_\_\_ NUMBER OF NON-TITLE I SCHOOLS IN CORRECTIVE ACTION REMOVED FROM DISTRICT CONTROL

**[WEB PROGRAMMING NOTE:  
IF THE DISTRICT HAS NO SCHOOLS IN RESTRUCTURING OR CORRECTIVE ACTION FOR 2013-14 (3-7D FIRST COLUMN = 0 AND 3-7D SECOND COLUMN =0 AND 3-7E FIRST COLUMN = 0 AND 3-7E SECOND COLUMN = 0), SKIP TO 3-73.]**

3-69. To what extent were changes in personnel used to turn around schools in Restructuring or Corrective Action in your district before the start of this school year (2013-14)?

*(Enter the number of schools in Restructuring and in Corrective Action in which the principal was replaced or in which half or more of the teaching staff was replaced before the start of the 2013-14 school year as part of the school improvement plan. If "none", enter 0.)*

NUMBER OF SCHOOLS					
		TITLE I SCHOOLS		NON-TITLE I SCHOOLS	
		SCHOOLS IN RESTRUCTURING	SCHOOLS IN CORRECTIVE ACTION	SCHOOLS IN RESTRUCTURING	SCHOOLS IN CORRECTIVE ACTION
a.	Principal replaced .....	_____	_____	_____	_____
b.	Half or more of the teaching staff replaced .....	_____	_____	_____	_____

The next questions pertain to Title I Schools in Restructuring and Corrective Action in your district.

3-70. During this school year (2013-14) and including last summer (2013), what additional professional development or technical assistance was provided to principals in Title I schools in Restructuring or Corrective Action in your district, beyond what is available to any Title I school?

Additional professional development or assistance for principals on...	PROVIDED TO TITLE I SCHOOLS IN RESTRUCTURING		PROVIDED TO TITLE I SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. School improvement planning, identifying interventions, or budgeting effectively .....	1	0	1	0
b. Acting as instructional leaders .....	1	0	1	0
c. Recruiting, retaining, and developing more effective teachers..	1	0	1	0

3-71. Thinking now about teachers, during this school year (2013-14) and including last summer (2013), what additional professional development or technical assistance was provided to teachers in Title I schools in Restructuring or Corrective Action in your district, beyond what is available to any Title I school?

Additional professional development or assistance for teachers on...	PROVIDED TO TITLE I SCHOOLS IN RESTRUCTURING		PROVIDED TO TITLE I SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Analyzing student assessment data to improve instruction .....	1	0	1	0
b. Working effectively in teacher teams to improve instruction ...	1	0	1	0
c. Identifying and implementing strategies to address the needs of English learners.....	1	0	1	0
d. Identifying and implementing strategies to address the needs of students with disabilities .....	1	0	1	0

3-72. During this school year (2013-14), what additional resources has the state provided to Title I schools in Restructuring or Corrective Action in your district, beyond what is available to any Title I school?

	PROVIDED TO TITLE I SCHOOLS IN RESTRUCTURING		PROVIDED TO TITLE I SCHOOLS IN CORRECTIVE ACTION	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Additional resources to be used for purposes specified in the school improvement plan.....	1	0	1	0
b. Additional resources to be used to reduce class sizes.....	1	0	1	0
c. Additional resources to be used to add instructional time (extended day or extended school year).....	1	0	1	0

For the next set of questions, please consider Title I and Non-Title I schools in your state that are identified as in Need of Improvement but NOT in Restructuring or Corrective Action.

3-73. During this school year, are there any Title I or non-Title I schools in your district in each of the following categories based on 2012-13 student achievement?

	TITLE I SCHOOLS		NON-TITLE I SCHOOLS	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Schools not meeting adequate yearly progress (AYP) for 2012-13 only (i.e., not identified as in Need of Improvement).....	1	0	1	0
b. Schools in Need of Improvement, Year 1 (i.e., has missed AYP for two years) .....	1	0	1	0
c. Schools in Need of Improvement, Year 2 (i.e., has missed AYP for three years).....	1	0	1	0

**[WEB PROGRAMMING NOTE: SKIP TO 3-77 IF NO SCHOOLS IN NEED OF IMPROVEMENT (RESPONSE TO 3-73b AND 3-73c IS '0' IN BOTH COLUMNS).]**

**3-74. For schools in your district identified as in Need of Improvement (excluding schools in Restructuring or Corrective Action), what interventions, if any, are being implemented during this school year (2013-14)?**

Interventions for schools in Need of Improvement:	TITLE I SCHOOLS IN NEED OF IMPROVEMENT		NON-TITLE I SCHOOLS IN NEED OF IMPROVEMENT	
	SELECT ONE RESPONSE IN EACH ROW		SELECT ONE RESPONSE IN EACH ROW	
	YES	NO	YES	NO
a. Schools prepared a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs .....	1	0	1	0
b. School improvement plans are made available to the public .....	1	0	1	0
c. Schools are implementing and monitoring an instructional program that supports students not showing sufficient growth toward AMOs .....	1	0	1	0
d. Schools and/or the district provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs.....	1	0	1	0
e. District must offer students the opportunity to attend other schools (school choice).....	1	0	1	0
f. District must offer low-income students the opportunity to enroll in after-school supplemental educational services .....	1	0	1	0
g. Schools have smaller class sizes than last year.....	1	0	1	0
h. Schools are implementing additional instructional time (extended day or extended school year).....	1	0	1	0

The next questions pertain to your district's Title I Schools in Need of Improvement

3-75. During this school year (2013-14) and including last summer (2013), what additional professional development or technical assistance was provided to principals in schools identified as in Need of Improvement in your district, beyond what is available to any Title I school?

SELECT ONE RESPONSE IN EACH ROW		
TITLE I SCHOOLS IN NEED OF IMPROVEMENT		
Additional professional development or assistance for principals on...	YES	NO
a. School improvement planning, identifying interventions, or budgeting effectively .....	1	0
b. Acting as instructional leaders.....	1	0
c. Recruiting, retaining, and developing more effective teachers .....	1	0

3-76. Thinking now about teachers, during this school year (2013-14) and including last summer (2013), what additional professional development or technical assistance was provided to teachers in schools identified as in Need of Improvement for 2012-13 in your district, beyond what is available to any Title I school?

SELECT ONE RESPONSE IN EACH ROW		
TITLE I SCHOOLS IN NEED OF IMPROVEMENT		
Additional professional development or assistance for teachers on...	YES	NO
a. Analyzing student assessment data to improve instruction .....	1	0
b. Working effectively in teacher teams to improve instruction .....	1	0
c. Identifying and implementing strategies to address the needs of English learners.....	1	0
d. Identifying and implementing strategies to address the needs of students with disabilities.....	1	0



**NOTE TO REVIEWER: This set of questions (3-77 through 3-79) is for all districts.**

**DISTRICT ACCOUNTABILITY SYSTEMS**

**3-77. Has your district classified its schools for its own accountability or performance management purposes (based on 2012-13 or earlier student achievement data) using a set of categories or performance measures that differ from those used by the state?**

Yes ..... 1  
 No ..... 0 → Skip to 3-79

**3-78. How many school performance categories are defined in your district's school accountability system?**

*(Enter the number)*

\_\_\_\_\_ NUMBER OF CATEGORIES

**3-79. To what extent would you describe the following as challenges to improving the performance of schools in your district?**

SELECT ONE RESPONSE IN EACH ROW

	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Difficulty finding, hiring, or retaining teachers with the skills needed.....	1	2	3
b. Difficulty finding, hiring, or retaining principals with the skills needed.....	1	2	3
c. Lack of staff who can mentor or serve as a resource to teachers about instructional strategies for struggling students.	1	2	3
d. Lack of guidance or support from the state .....	1	2	3
e. Insufficient resources for personnel and/or materials.....	1	2	3
f. Lack of effective methods/interventions to improve student achievement .....	1	2	3
g. Curricula not aligned with the required state summative assessments.....	1	2	3
h. Teacher concerns or opposition to implementing school interventions .....	1	2	3
i. Community concerns or opposition to implementing school interventions .....	1	2	3
j. Lack of parent involvement / participation in children's education.....	1	2	3

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## Section 4. Teacher and Principal Evaluation

### DEFINITIONS FOR USE THROUGHOUT THIS SECTION:

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**Standardized assessments** are assessments consistently administered and scored for all students in the same grades and subjects, districtwide. These might include required state summative assessments, assessments purchased from testing companies, or district-developed assessments that are administered districtwide.

**Student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:

1. **Value added measures (VAMs) or student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher's own students based on districtwide or statewide standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
2. **Student learning objectives (SLOs) or student growth objectives (SGOs)** are achievement targets for a teacher's own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher's assessment of the students' starting achievement levels. SLOs/SGOs may relate to students' scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

### Teacher Evaluation

In this section, we want to gather information on the status of and requirements for teacher evaluation practices in your district during this school year (2013-14). Many states are implementing new teacher evaluation policies or systems based on new laws or regulations adopted since 2009. Districts in states that are implementing new evaluation systems are in various stages of implementation, including planning, piloting in a few schools or grade levels, piloting districtwide with no consequences, and fully implementing districtwide. Some districts are taking the lead in implementing new evaluation systems without state requirements to do so.

- Check box if your district is piloting or implementing a teacher evaluation system that is newly established since 2009.** Please answer the questions in this section based on the new teacher evaluation practices as they are being piloted or implemented in the 2013-14 school year. For example, if a new system is being piloted during the 2013-14 school year in only a few schools, respond only about the components being piloted this year in those schools. → **Go to question 4-1.**
- Check box if your district is not piloting or implementing a newly established teacher evaluation system.** Please respond about the requirements of teacher evaluation practices in your district during the 2013-14 school year. → **Go to question 4-2.**

**4-1. During this school year (2013-14), what is the status of the new teacher evaluation system in your district?**

SELECT ONE ONLY

- The system is in the planning stage and no components are being implemented ..... 1
- The system is in the piloting stage and some, but not all, components are being implemented ..... 2
- The system is in the piloting stage and all components are being implemented ..... 3
- The system is being implemented districtwide, and some but not all components are being implemented ..... 4
- The system is fully implemented districtwide ..... 5

**4-2. During this school year (2013-14), how many rating categories or levels (such as *highly effective, effective, satisfactory, needs improvement*) does your district use in its teacher evaluation system to describe overall teacher performance?**

***(As a reminder, if your district is piloting or implementing a teacher evaluation system that is newly established since 2009, please refer to the new teacher evaluation practices when responding to this and other questions in this section.)***

\_\_\_\_\_ NUMBER OF RATING CATEGORIES

This question and the next several questions ask about the use of student achievement growth in teacher evaluations.

As a reminder, student achievement growth may be measured using student growth percentiles (SGPs), value added measures (VAMs), student learning objectives (SLOs), student growth objectives (SGOs), or other measures of change in student achievement over time.

**4-3. During this school year (2013-14), does your district use student achievement growth as one component of the performance evaluation of all, some, or no teachers? This can include student achievement growth for the teacher’s own students and/or teamwide, gradewide or schoolwide student achievement growth.**

*(Note: If your district is piloting a new system in some schools, then this question refers to teachers in the pilot schools. In order to report “all teachers,” student achievement growth would need to be used with all teachers, including teachers of art, music, physical education, and special populations such as English learners or students with disabilities.)*

SELECT ONE ONLY

- The district uses student achievement growth in the evaluation of all teachers across all grades (K-12), all subjects, and special education ..... 1
- The district uses student achievement growth in the evaluation of some but not all teachers ..... 2
- The district does not use student achievement growth in teacher evaluations ..... 3 → Skip to 4-12

**4-4. During this school year (2013-14), does your district use student learning objectives (SLOs) or student growth objectives (SGOs) in the evaluations of any of the following types of teachers?**

*(Select “yes” for the row if any teachers in that category have SLOs/SGOs included in their evaluations.)*

Student learning objectives (SLOs) or student growth objectives (SGOs) are used to evaluate:	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Kindergarten teachers.....	1	0
b. Teachers of grades 1, 2, or 3 .....	1	0
c. Teachers of ELA and/or math in grades 4-8.....	1	0
d. Teachers of science in grades 6, 7, or 8.....	1	0
e. Teachers of social studies in grades 6, 7, or 8 .....	1	0
f. High school ELA teachers.....	1	0
g. High school math teachers .....	1	0
h. High school science teachers.....	1	0
i. High school social studies teachers .....	1	0
j. Any teachers of other subjects, such as world language, art, music, or physical education .....	1	0

4-5 In some districts, teachers are evaluated in part based on the achievement growth of a broader group than the teacher’s own students – for example, a team, grade, or school. During this school year (2013-14), does your district use teamwide, gradewide, or schoolwide student achievement growth in the evaluations of all, some, or no teachers?

SELECT ONE ONLY

Student achievement growth across a teacher team, grade, or school is one component in the evaluation of all teachers..... 1

Student achievement growth across a teacher team, grade, or school is one component in the evaluation of some but not all teachers ..... 2

Student achievement growth across a teacher team, grade, or school is not part of the evaluation of any teachers; instead, teachers are evaluated based on the achievement growth of their own students only ..... 3

The next several questions ask specifically about the use of value added measures (VAMs) or student growth percentiles (SGPs). As a reminder, VAMs/SGPs apply complex statistical methods to calculate achievement growth for a teacher’s own students based on districtwide or statewide standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.

4-6. During this school year (2013-14), does your district use VAMs or SGPs to measure achievement growth of the teacher’s own students for any of the following types of teachers?

*(Select “yes” for the row if any teachers in that category have VAMs or SGPs for their own students.)*

SELECT ONE RESPONSE  
IN EACH ROW

<b>VAMs or SGPs are used to measure achievement growth <u>of the teacher’s own students</u> for the following teachers:</b>	<b>YES</b>	<b>NO</b>
a. Kindergarten teachers.....	1	0
b. Teachers of grades 1, 2, or 3.....	1	0
c. Teachers of ELA and/or math in grades 4-8.....	1	0
d. Teachers of science in grades 6, 7, or 8.....	1	0
e. Teachers of social studies in grades 6, 7, or 8.....	1	0
f. Any teachers of other subjects, such as world language, art, music, or physical education.....	1	0

[WEB PROGRAMMING NOTE: IF DISTRICT SELECTS “YES” FOR ANY ROW, CONTINUE WITH QUESTION 4-7. OTHERWISE, SKIP TO QUESTION 4-8.]

4-7 Does your district use these VAMs or SGPs in the formal evaluations of any of these teachers?

Yes ..... 1  
 No ..... 0

4-8. During this school year (2013-14), does your district use VAMs or SGPs to measure achievement growth of the teacher's own students for high school teachers in any of the following subjects and courses?

*(For each subject, select the name of each course for which your district uses VAMs or SGPs to estimate student achievement growth of the teacher's own students. Select NA if student achievement growth of the teacher's own students using VAMs or SGPs is not measured in any course in that subject.)*

	NA	CIRCLE COURSES IN WHICH VAMS OR SGPS ARE MEASURED				
a. High school ELA teachers .....	na	English 9	English 10	English 11	English 12	Other ELA
b. High school math teachers.....	na	Algebra I or Math 9	Geometry or Math 10	Algebra II or Math 11		Other math
c. High school science teachers .....	na	Biology	Chemistry	Physics		Other science
d. High school social studies teachers.....	na	Civics	U.S. History			Other social studies

[WEB PROGRAMMING NOTE: IF NA IS SELECTED FOR ALL FOUR ROWS, SKIP TO QUESTION 4-10.]

4-9 Does your district use these VAMs or SGPs in the formal evaluations of any of these high school teachers?

Yes ..... 1  
 No ..... 2

**4-10. During this school year (2013-14), which of the following best describes how student achievement growth is combined with other measures of teacher performance to determine the overall evaluation rating or score?**

SELECT ONE ONLY

Student achievement growth has a specific percentage (or weight) in determining a teacher's overall performance rating .....1

Student achievement growth does not have a specific percentage or weight in determining a teacher's overall performance rating, but there is a uniform method (such as a matrix, table, or chart) that is used to combine student achievement growth with the other measures (for example, professional practice measures) .....2 → Skip to 4-12

The overall performance evaluation rating is determined based on evaluators' judgment about the importance of student achievement growth and other performance measures.....3 → Skip to 4-12

Some other method is used.....4 → Skip to 4-12



**4-11. During this school year (2013-14), what percentage of a teacher’s evaluation rating is based on different measures of student achievement growth?**

*(If the percentages differ for tenured vs. non-tenured (or probationary vs. non-probationary) teachers, please provide the weights for tenured (non-probationary) teachers. First, answer for teachers of ELA and/or math in grades 4-8 in rows a through e. Next, answer for teachers in core academic subjects (ELA, math, science, and social studies) where VAMs or SGPs are not calculated for the teachers’ own students in rows f through i.*

*Select NA if the measure is not used for that category of teachers; select DON’T KNOW if you don’t know the percentage; otherwise enter the percentage/weight for that measure.*

*Your best estimate is fine.)*

SELECT ONE RESPONSE IN EACH ROW

	NA	PERCENTAGE	DON’T KNOW
Teachers of ELA and/or math in grades 4-8:			
a. Percentage of teacher’s evaluation rating based on VAM or SGP result for the <u>teacher’s own students</u> .....	na	_____	d
b. Percentage of teacher’s evaluation rating based on VAM or SGP result <u>for a broader group than the teacher’s own students</u> , for example, a team, grade, or school .....	na	_____	d
c. Percentage of teacher’s evaluation rating <u>based on SLOs/SGOs</u> .....	na	_____	d
d. Percentage of teacher’s evaluation rating <u>based on any other</u> growth measure .....	na	_____	d
e. Total percentage of teacher’s evaluation rating based on all measures of student achievement growth (sum of rows “a-d” above) .	na	_____	d

	NA	PERCENTAGE	DON’T KNOW
Teachers in core academic subjects where VAMs or SGPs are not calculated for teachers’ own students:			
f. Percentage of teacher’s evaluation rating based on VAM or SGP result <u>for a broader group than the teacher’s own students</u> , for example, a team, grade, or school .....	na	_____	d
g. Percentage of teacher’s evaluation rating <u>based on SLOs/SGOs</u> .....	na	_____	d
h. Percentage of teacher’s evaluation rating <u>based on any other</u> growth measure .....	na	_____	d
i. Total percentage of teacher’s evaluation rating based on all measures of student achievement growth (sum or rows “f-h” above ...	na	_____	d

4-12. During this school year (2013-14), which of the following sources of information on teacher performance does the district use in teacher evaluations?

*(As a reminder, if your district is piloting or implementing a teacher evaluation system that is newly established since 2009, please refer to the new teacher evaluation practices when responding to this and other questions in this section.)*

SELECT ONE RESPONSE IN EACH ROW

	USED IN EVALUATING TEACHERS	NOT USED IN EVALUATING TEACHERS
a. Classroom observations using a teacher professional practice rubric, conducted by the principal or other school administrator.....	1	0
b. Classroom observations using a teacher professional practice rubric, conducted by someone other than a school administrator (such as a peer or mentor teacher, instructional coach, central office staff member, or an observer from outside the school or district) .....	1	0
c. Teacher self-assessment .....	1	0
d. Portfolios or other artifacts of teacher professional practice.....	1	0
e. Assessments by a peer or mentor teacher not based on a teacher professional practice rubric .....	1	0
f. Student work samples.....	1	0
g. Student surveys or other student feedback .....	1	0
h. Parent surveys or other parent feedback .....	1	0

4-13. How frequently must non-probationary or tenured teachers be evaluated?

SELECT ONE RESPONSE IN EACH ROW

Non- probationary or tenured teacher whose previous performance was:	FREQUENCY OF EVALUATIONS				
	EVERY YEAR	EVERY 2 YEARS	EVERY 3 YEARS	EVERY 4 YEARS	EVERY 5 YEARS
a. Rated effective, satisfactory, proficient, or better .....	1	2	3	4	5
b. Rated unsatisfactory (or the equivalent).....	1	2	3	4	5

**4-14. For the evaluation of a non-probationary or tenured teacher, how many formal observations must be completed during the evaluation period or cycle?**

*(Enter the number in each row. Please consider only instances of formal observations conducted in the classroom. Formal observations are standardized using an instrument, rubric, or checklist.)*

Non-probationary or tenured teacher whose previous performance was...	NUMBER OF FORMAL OBSERVATIONS REQUIRED
a. Rated effective, satisfactory, proficient, or better.....	_____
b. Rated unsatisfactory (or the equivalent) .....	_____

**4-15. Thinking now about first-year teachers, for the evaluation of a first-year teacher, how many formal observations must be completed (at a minimum) during this school year (2013-14)?**

*(Please consider only instances of formal observations conducted in the classroom. Formal observations are standardized using an instrument, rubric, or checklist.)*

\_\_\_\_\_ NUMBER OF REQUIRED FORMAL OBSERVATIONS OF FIRST-YEAR TEACHERS

4-16. Based on the most recent evaluations completed (for example, 2012-13), please indicate the percentage of teachers in your district who fell into each of the performance evaluation rating categories, from the highest to lowest category.

*(If your district has adopted new policies or practices for teacher evaluation since 2009, please refer to the teacher evaluation practices being piloted or implemented during the most recent evaluation year.*

*Please select the column that matches the number of rating categories in your district in place for the most recent completed evaluations. Write in the percentage of teachers in each category. If no teachers fell into a category, please enter a "0".*

*Your best estimate for percentages is fine.)*

Check box if you are unable to estimate the percentages and skip to the Principal Evaluation Section.

TWO RATING CATEGORIES		THREE RATING CATEGORIES		FOUR RATING CATEGORIES		FIVE RATING CATEGORIES	
CATEGORY	% OF ALL TEACHERS	CATEGORY	% OF ALL TEACHERS	CATEGORY	% OF ALL TEACHERS	CATEGORY	% OF ALL TEACHERS
First (Highest).....	_____	First (Highest) .....	_____	First (Highest) .....	_____	First (Highest).....	_____
Second (Lowest).....	_____	Second .....	_____	Second .....	_____	Second .....	_____
<b>TOTAL</b>	<b>100 %</b>	Third (Lowest) .....	_____	Third.....	_____	Third .....	_____
		<b>TOTAL</b>	<b>100 %</b>	Fourth (Lowest) .....	_____	Fourth .....	_____
				<b>TOTAL</b>	<b>100 %</b>	Fifth (Lowest) .....	_____
						<b>TOTAL</b>	<b>100 %</b>

4-17. When answering the rating question above, were the teacher evaluation policies and practices in that year ....

SELECT ONE ONLY

A pilot of new teacher evaluation policies and practices based on new laws or regulations since 2009 ..... 1

Districtwide teacher evaluation policies and practices that were the same as or very similar to those in place during this school year (2013-14)..... 2

Older teacher evaluation practices that were in effect in your district during the most recent evaluation year and are not the same as or similar to current practices in your district? ..... 3

## Principal Evaluation

In this section, we want to gather information on the status of and requirements for principal evaluation practices in your district during this school year (2013-14). Many districts are implementing new principal evaluation policies or systems based on new laws or regulations adopted since 2009. Districts that are implementing new evaluation systems are in various stages of implementation, including planning, piloting in a few schools or grade levels, piloting districtwide with no consequences, and fully implementing districtwide.

- Check box if your district is piloting or implementing a principal evaluation system that is newly established since 2009.** Please answer the questions in this section based on the new principal evaluation practices as they are being piloted or implemented in the 2013-14 school year. For example, if a new system is being piloted during the 2013-14 school year in only a few schools, respond only about the components being piloted this year in those schools. → **Go to question 4-18.**
- Check box if your district is not piloting or implementing a newly established principal evaluation system.** Please respond about the requirements of principal evaluation practices in your district during the 2013-14 school year → **Go to question 4-20.**

**4-18. During this school year (2013-14), what is the status of the new principal evaluation system in your district?**

SELECT ONE ONLY

- The system is in the planning stage and no components are being implemented ..... 1 → Skip to 4-20
- The system is in the piloting stage and some, but not all, components are being implemented ..... 2
- The system is in the piloting stage and all components are being implemented ..... 3
- The system is being implemented districtwide, and some but not all components are being implemented ..... 4 → Skip to 4-20
- The system is fully implemented districtwide ..... 5 → Skip to 4-20

**4-19. During this school year (2013-14), in how many schools is the district piloting the principal evaluation system?**

\_\_\_\_\_ NUMBER OF SCHOOLS

**4-20. During this school year (2013-14), how many rating categories or levels (such as highly effective, effective, satisfactory, needs improvement) does your district use in its principal evaluation system to describe overall principal performance?**

*(As a reminder, if your district is piloting or implementing a principal evaluation system that is newly established since 2009, please refer to the new principal evaluation practices when responding to this and other questions in this section.)*

\_\_\_\_\_ NUMBER OF RATING CATEGORIES

4-21. During this school year (2013-14), does the district use any of the following student outcomes in principal evaluations for elementary, middle or high school principals?

SELECT ONE RESPONSE FOR  
ELEMENTARY AND MIDDLE SCHOOL  
PRINCIPALS AND ONE FOR HIGH  
SCHOOL PRINCIPALS FOR EACH ROW

	ELEMENTARY AND MIDDLE SCHOOL PRINCIPALS		HIGH SCHOOL PRINCIPALS	
	YES	NO	YES	NO
a. Schoolwide proficiency rates on standardized assessments .....	1	0	1	0
b. Schoolwide year-to-year changes in proficiency rates on standardized assessments .....	1	0	1	0
c. Achievement growth of students schoolwide using a value added measure (VAM) or student growth percentiles (SGPs).....	1	0	1	0
d. Student promotion/graduation rate.....	1	0	1	0
e. Student dropout rate .....	1	0	1	0
f. Gaps in achievement or low student achievement growth for English learners .....	1	0	1	0
g. Gaps in achievement or low student achievement growth for students with disabilities .....	1	0	1	0
h. Gaps in achievement or low student achievement growth for other subgroups .....	1	0	1	0
i. Student attendance .....	1	0	1	0
j. Student behavior/discipline/safety.....	1	0	1	0

**4-22. During this school year (2013-14), which of the following best describes how student outcomes are combined with other measures of principal performance to determine the overall evaluation rating or score?**

SELECT ONE ONLY

- Student outcomes have a specific percentage (or weight) in determining a principal’s overall performance rating..... 1
- Student outcomes do not have a specific percentage or weight in determining a principal’s overall performance rating, but there is a uniform method (such as a matrix, table, or chart) that is used to combine student outcomes with the other measures (e.g., professional practice)..... 2 → Skip to 4-24
- The overall performance evaluation rating is determined based on evaluators’ judgment about the importance of student outcomes and other performance measures ..... 3 → Skip to 4-24
- Some other method is used.....4 → Skip to 4-24

**4-23. During this school year (2013-14), what is the specific percentage (or weight) for student outcomes used in evaluating principals?**

\_\_\_\_\_ %

**4-24. During this school year (2013-14), which of the following sources of information on principal performance (other than student outcome measures), does the district use for principal evaluations?**

SELECT ONE RESPONSE  
IN EACH ROW

	USED IN EVALUATING PRINCIPALS	NOT USED IN EVALUATING PRINCIPALS
a. Ratings based on a principal professional practice rubric.....	1	0
b. Principal self-assessment .....	1	0
c. Input from district administrators that is not based on a principal professional practice rubric .....	1	0
d. Staff surveys or other staff feedback .....	1	0
e. Student surveys or other student feedback.....	1	0
f. Parent surveys or other parent feedback .....	1	0

4-25. Based on the most recent evaluations completed (for example, 2012-13), please indicate the percentage of principals in your district who fell into each of the performance evaluation rating categories, from the highest to lowest category.

*(If your district has adopted new policies or practices for principal evaluation since 2009, please refer to the principal evaluation practices being piloted or implemented during the most recent evaluation year.*

*Please select the column that matches the number of rating categories in your district in place for the most recent evaluations completed. Write in the percentage of principals in each category. If no principals fell into a category, please enter a "0".*

*Your best estimate for percentages is fine.)*

Check box if you are unable to estimate the percentages and skip to question 4-27.

TWO RATING CATEGORIES		THREE RATING CATEGORIES		FOUR RATING CATEGORIES		FIVE RATING CATEGORIES	
CATEGORY	% OF ALL PRINCIPALS	CATEGORY	% OF ALL PRINCIPALS	CATEGORY	% OF ALL PRINCIPALS	CATEGORY	% OF ALL PRINCIPALS
First (Highest)...	_____	First (Highest) .....	_____	First (Highest) .....	_____	First (Highest) .....	_____
Second (Lowest)....	_____	Second .....	_____	Second .....	_____	Second .....	_____
<b>TOTAL</b>	<b>100 %</b>	Third (Lowest).....	_____	Third .....	_____	Third.....	_____
		<b>TOTAL</b>	<b>100 %</b>	Fourth (Lowest) .....	_____	Fourth .....	_____
				<b>TOTAL</b>	<b>100 %</b>	Fifth (Lowest) .....	_____
						<b>TOTAL</b>	<b>100 %</b>

4-26. When answering the rating question above, were the principal evaluation policies and practices in that year ....

SELECT ONE ONLY

A pilot of new principal evaluation policies and practices based on new laws or regulations since 2009 ..... 1

Districtwide principal evaluation policies and practices that were the same as or very similar to those in place during this school year (2013-14) ..... 2

Older principal evaluation practices that were in effect in your district during the most recent evaluation year and are not the same as or similar to current practices in your district? ..... 3



## Uses of Evaluation Ratings

As a reminder, if your district is piloting or implementing a teacher or principal evaluation system that is newly established since 2009, please refer to the new evaluation practices when responding to questions in this section.

4-27. Will the district use the evaluation results for teachers for this school year (2013-14) to inform any of the following decisions?

*(Select NA, where available, if tenure is not offered in your district.)*

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO	NA
-----	----	----

**Teacher evaluation results will be used to inform decisions about teacher professional development:**

a. The design of professional development programs offered by the district.....	1	0	
b. Planning professional development for individual teachers.....	1	0	
c. Development of performance improvement plans for low-performing teachers.....	1	0	
d. Setting goals for student achievement growth for the next school year.....	1	0	
e. Identifying low-performing teachers for coaching, mentoring, or peer assistance....	1	0	

**Teacher evaluation results will be used to inform decisions about teacher career advancement:**

f. Recognizing high-performing teachers .....	1	0	
g. Determining annual salary increases .....	1	0	
h. Determining bonuses or performance-based compensation other than salary increases.....	1	0	
i. Granting tenure or similar job protection.....	1	0	na
j. Career advancement opportunities, such as teacher leadership roles.....	1	0	
k. Determining eligibility to transfer to other schools .....	1	0	

**For low-performing teachers, evaluation results will be used to inform decisions about:**

l. Loss of tenure or similar job protection.....	1	0	na
m. Sequencing potential layoffs if the district needs to reduce staff .....	1	0	
n. Dismissal or terminating employment for cause .....	1	0	

4-28. Will the district use principal evaluation results for this school year (2013-14) to inform any of the following decisions?  
 (Select NA, where available, if tenure is not offered in your district.)

SELECT ONE RESPONSE  
 IN EACH ROW

YES	NO	NA
-----	----	----

**Principal evaluation results will be used to inform decisions about principal professional development:**

a. The design of professional development programs offered by the district.....	1	0	
b. Planning professional development for individual principals .....	1	0	
c. Development of performance improvement plans for low-performing principals.....	1	0	
d. Identifying low-performing principals for coaching or mentoring.....	1	0	

**Principal evaluation results will be used to inform decisions about principal career advancement**

e. Recognizing high-performing principals .....	1	0	
f. Determining annual salary increases .....	1	0	
g. Determining bonuses or performance-based compensation other than salary increases .....	1	0	
h. Granting tenure or similar job protection .....	1	0	na
i. Career advancement opportunities such as additional leadership roles.....	1	0	
j. Deciding on renewal of a principal's contract.....	1	0	
k. Assigning principals to schools.....	1	0	

**For low-performing principals, evaluation results will be used to inform decisions about:**

l. Loss of tenure or similar job protection.....	1	0	na
m. Sequencing potential layoffs if the district needs to reduce staff .....	1	0	
n. Transfer to a different school .....	1	0	
o. Demotion .....	1	0	
p. Dismissal or terminating employment for cause .....	1	0	

## Supports for Implementing Evaluation Systems

As a reminder, if your district is piloting or implementing a teacher or principal evaluation system that is newly established since 2009, please refer to the new evaluation practices when responding to questions in this section.

4-29. During this school year (2013-14), did your state or district provide any of the following training for staff who conduct teacher observations?

*(Select NA if your district does not require use of a teacher professional practice rubric to observe teachers.)*

		SELECT ONE RESPONSE IN EACH ROW		
		YES	NO	NA
a.	Training for the observers on the teacher professional practice rubric .....	1	0	na
b.	Testing of observers to assess their accuracy in using the teacher professional practice rubric .....	1	0	na
c.	Training for observers on providing feedback to teachers on their professional practice.....	1	0	na

4-30. During this school year (2013-14), did your state or district provide any of the following training for staff who conduct principal evaluations?

*(Select NA if your district does not require use of a principal professional practice rubric to evaluate principals.)*

		SELECT ONE RESPONSE IN EACH ROW		
		YES	NO	NA
a.	Training for the evaluators on the principal professional practice rubric.....	1	0	na
b.	Testing of evaluators to assess their accuracy in using the principal professional practice rubric .....	1	0	na
c.	Training of evaluators on providing feedback to principals on their professional practice.....	1	0	na

4-31. During this school year (2013-14), has your district received any of the following supports for implementing or conducting principal or teacher evaluations?

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO
-----	----

**Supports for observing teacher professional practice**

a. Received funding for training observers on teacher professional practice rubrics ...	1	0
b. Received technical assistance or funding for training to assess the accuracy of observers in using the teacher professional practice rubrics .....	1	0
c. Received refresher training or funding for refresher training to ensure observers continue to accurately code the teacher professional practice rubrics.....	1	0

**Supports for rating principal professional practice**

d. Received funding for training evaluators on principal professional practice rubrics .....	1	0
e. Received technical assistance or funding for training to assess the accuracy of evaluators in using the principal professional practice rubrics.....	1	0
f. Received refresher training or funding for refresher training to ensure evaluators continue to accurately rate the principal professional practice rubrics ..	1	0

**Support for data systems or student achievement growth measures required for evaluations**

g. Received data on schoolwide value added measures (VAMs) or schoolwide student growth percentiles (SGPs) .....	1	0
h. Received data on teachers' VAMs or SGPs .....	1	0
i. Received assistance with purchasing or developing data systems to record and analyze data from teacher and principal evaluations to create performance ratings .....	1	0

**Other supports**

j. Received assistance in negotiating the elements of new educator evaluation systems with administrators' or teachers' associations .....	1	0
k. Received assistance in developing communication materials to help explain major components of the new evaluation system to staff and the public .....	1	0
l. Received assistance in communicating evaluation results to teachers and principals.....	1	0
m. Received assistance in providing feedback to teachers and principals based on the ratings of professional practice .....	1	0

**Educator Support**

As a reminder, if your district is piloting or implementing a teacher or principal evaluation system that is newly established since 2009, please refer to the new evaluation practices when responding to questions in this section.

4-32. During this school year (2013-14) and including last summer (2013), have teacher evaluation topics listed below been a major focus, a minor focus, or not a focus of professional development offered by the state, the district, or another organization for teachers in your district?

SELECT ONE RESPONSE FOR EACH ROW

Professional development for teachers	MAJOR FOCUS OF PROFESSIONAL DEVELOPMENT	MINOR FOCUS OF PROFESSIONAL DEVELOPMENT	NOT A FOCUS OF PROFESSIONAL DEVELOPMENT
a. Understanding overall (summative) teacher performance evaluation.....	2	1	0
b. Understanding how the state or district measures student achievement growth.....	2	1	0
c. Creating student learning objectives and measures of student learning toward proficiency ..	2	1	0
d. Understanding the teacher professional practice rubric.....	2	1	0
e. Observing teacher professional practice and providing useful feedback.....	2	1	0
f. Understanding other components of the teacher evaluation system .....	2	1	0
g. Improving teacher practice and student achievement through instructional leadership.....	2	1	0

**4-33. Thinking now about principals, during this school year (2013-14) and including last summer (2013), have teacher evaluation topics listed below been a major focus, a minor focus, or not a focus of professional development offered by the state, the district, or another organization for principals in your district?**

SELECT ONE RESPONSE IN EACH ROW

<b>Professional development for principals</b>	<b>MAJOR FOCUS OF PROFESSIONAL DEVELOPMENT</b>	<b>MINOR FOCUS OF PROFESSIONAL DEVELOPMENT</b>	<b>NOT A FOCUS OF PROFESSIONAL DEVELOPMENT</b>
a. Understanding overall (summative) teacher performance evaluation.....	2	1	0
b. Understanding how the state or district measures student achievement growth.....	2	1	0
c. Creating student learning objectives and measures of student learning toward proficiency.....	2	1	0
d. Understanding the teacher professional practice rubric.....	2	1	0
e. Observing teacher professional practice and providing useful feedback.....	2	1	0
f. Understanding other components of the teacher evaluation system.....	2	1	0
g. Improving teacher practice and student achievement through instructional leadership.....	2	1	0

**4-34. For this question, please think about all district professional development activities -- and all topic areas. Did teachers in your district have any of the following involvement in planning districtwide professional development activities during this school year (2013-14)?**

SELECT ONE RESPONSE IN EACH ROW

	<b>YES</b>	<b>NO</b>
a. Participated on a district and/or school committee that planned topics for required in-service professional development days.....	1	0
b. Participated on a district committee that planned how the district's professional development budget would be allocated to activities.....	1	0
c. Provided survey feedback to the district following required in-service professional development.....	1	0
d. Participated in a discussion with a supervisor about their own professional development needs.....	1	0

4-35. During this school year (2013-14), and including last summer (2013), how many days of in-service professional development are required for teachers and principals?

*(Please add full and half days together, for example 6 days would be 6.0; while 4 full days and 3 half days would be 5.5. Please round to the nearest half day.*

*Your best estimate is fine.)*

TOTAL REQUIRED IN-SERVICE DAYS
-----------------------------------

Teacher Required In-service Days ..... \_\_\_\_\_ . \_\_\_\_\_

Principal Required In-service Days ..... \_\_\_\_\_ . \_\_\_\_\_

**Educator Distribution**

4-36. Within the past 12 months, has your district examined information about the distribution of teacher quality or effectiveness across schools in your district serving different student populations (such as high-poverty or urban schools compared with low-poverty or suburban schools)?

SELECT ONE ONLY

- Yes, received from our state education agency ..... 1
- Yes, conducted by a contractor hired by our district ..... 2
- Yes, conducted by district staff..... 3
- No ..... 0 → Skip to 4-38

4-37. What information was used to define teacher quality or effectiveness in this examination of the distribution of teachers?

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Teacher evaluation ratings .....	1	0
b. Teacher effectiveness as measured by the teacher’s value added measure (VAM) or student growth percentile (SGP) .....	1	0
c. Teacher experience .....	1	0
d. Teacher certification .....	1	0
e. Teacher education (e.g., proportion of teachers with masters degrees) .....	1	0
f. Assignment of teachers to grades or classes outside of their field of certification ...	1	0
g. Teachers’ “highly qualified” status based on definitions of No Child Left Behind.....	1	0

**4-38. Within the past 12 months, has your district examined information about the distribution of principal quality or effectiveness across schools in your district serving different student populations (such as high-poverty or urban schools compared with low-poverty or suburban schools)?**

SELECT ONE ONLY

- Yes, received from our state education agency ..... 1
- Yes, conducted by a contractor hired by our district ..... 2
- Yes, conducted by district staff..... 3
- No ..... 0 → Skip to 4-40

**4-39. In this examination of the distribution of principals, what information was used to define principal quality or effectiveness?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. Principal evaluation ratings .....	1	0
b. Principal effectiveness as measured by achievement growth of students schoolwide using the school's value added measure (VAM) or schoolwide student growth percentiles (SGPs).....	1	0
c. Principal experience .....	1	0
d. Principal certification .....	1	0
e. Principal educational attainment.....	1	0



**4-40. What actions has your district taken to address any inequities found in teacher or principal quality or effectiveness?**

- Check box if not applicable for teachers – analysis found no substantial inequities in teacher quality or effectiveness. Leave teacher column blank and answer for principal inequities.*
- Check box if not applicable for principals – analysis found no substantial inequities in principal quality or effectiveness. Leave principal column blank.*

*(Note: If both boxes are checked, skip to 4-41.)*

SELECT ONE RESPONSE FOR  
TEACHERS AND ONE RESPONSE  
FOR PRINCIPALS IN EACH ROW

	FOR TEACHERS		FOR PRINCIPALS	
	YES	NO	YES	NO
a. Offering more compensation for qualified or effective teachers or principals who move to or stay in schools with lower levels of teacher or principal quality or effectiveness compared to other schools.....	1	0	1	0
b. Providing loan repayment assistance or tuition reimbursement to teachers or principals working in schools with lower levels of teacher or principal quality or effectiveness compared to other schools.....	1	0	1	0
c. Beginning the hiring process earlier for vacancies at schools with lower levels of teacher or principal quality or effectiveness compared to other schools .....	1	0	1	0
d. Increasing external recruitment activities such as hosting open houses and job fairs .....	1	0	1	0
e. Improving teaching and learning environments (e.g., lower teaching loads, more resources, or improved facility quality) at schools with lower levels of teacher quality or effectiveness compared to other schools .....	1	0	1	0
f. Offering more professional development for teachers and/or principals in schools with lower levels of teacher or principal quality or effectiveness compared to other schools .....	1	0	1	0
g. Limiting the ability of teachers or principals who are inexperienced or low performing to transfer to or be placed in schools with lower levels of teacher or principal quality or effectiveness compared to other schools .....	1	0	1	0
h. Making exceptions in contracts or regulations to protect the most qualified or effective teachers and principals from layoff in schools with lower levels of teacher or principal quality or effectiveness compared to other schools.....	1	0	1	0
i. Using external providers to prepare, recruit, or supply more qualified or effective teachers or principals to schools with lower levels of teacher or principal quality or effectiveness compared to other schools.....	1	0	1	0

**Use of Title II, Part A Funds**

**4-41. Did your district receive Title II, Part A funding for the 2013-14 school year?**

Yes ..... 1  
 No ..... 0 → Skip to end of survey

**4-42. Did your district allocate 2013-14 Title II, Part A funds for any of the following activities related to teacher professional development, evaluation, or recruitment/retention?**

SELECT ONE RESPONSE  
 IN EACH ROW

YES	NO
-----	----

**Professional development**

a. Professional development for teachers related to implementing [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] .....	1	0
b. Professional development for teachers on analyzing student assessment data to improve instruction .....	1	0
c. Professional development for teachers on understanding teacher evaluation systems and resulting feedback .....	1	0
d. Targeted professional development linked to teachers' evaluation results (e.g., individual teacher PD plans based on evaluation ratings, performance improvement plans for low-performing teachers) .....	1	0

**Implementation of teacher evaluation systems**

e. Training school administrators to evaluate teachers .....	1	0
f. Training peers, mentors, or other teachers to conduct classroom observations or review artifacts used in evaluating teachers .....	1	0
g. Administration of student or parent surveys on teacher performance .....	1	0

**Other activities**

h. Providing additional compensation to mentor teachers, master teachers, coaches, peer evaluators, or others who take on additional duties involving professional development of their peers .....	1	0
i. Providing financial rewards or incentives for high-performing teachers .....	1	0
j. Strategies to help schools recruit and retain effective teachers (e.g., scholarships, loan repayment assistance or tuition reimbursement, more compensation for qualified or effective teachers, external recruitment activities) .....	1	0
k. Using external providers to prepare, recruit, or supply more effective teachers to high need schools .....	1	0

**4-43. Did your district allocate 2013-14 Title II, Part A funds for any of the following activities related to principal professional development, evaluation, or recruitment/retention?**

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO
-----	----

**Professional development**

a. Professional development for principals related to implementing [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] .....	1	0
b. Professional development for principals on analyzing student assessment data to improve instruction.....	1	0
c. Providing professional development for principals on understanding principal evaluation systems and resulting feedback .....	1	0
d. Targeted professional development linked to principals' evaluation results (e.g., individual principal PD plans based on evaluation ratings, performance improvement plans for low-performing principals) .....	1	0

**Implementation of principal evaluation systems**

e. Training district administrators to conduct evaluations of principals.....	1	0
f. Training peers or mentors to conduct evaluations of principals .....	1	0
g. Administration of student or parent surveys on principal performance .....	1	0

**Other activities**

h. Providing additional compensation to principals who serve as mentors or coaches to their peers .....	1	0
i. Providing financial rewards or incentives for high-performing principals .....	1	0
j. Strategies to help schools recruit and retain effective principals (e.g., scholarships, loan repayment assistance or tuition reimbursement, more compensation for qualified or effective principals , external recruitment activities) .....	1	0
k. Using external providers to prepare, recruit, or supply more effective principals to high need schools .....	1	0

**Thank you for completing this survey.**

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## Principal Survey

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OMB#: 1850-0902  
Expiration Date: 02/28/2017

School Name:

City:

State:

# *Implementation of Title I/II Program Initiatives*

## Principal Survey

Spring 2014



### **Paperwork Reduction Act of 1995**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Your response to this collection is voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1850-0902. Note: Please do not return the completed survey to this address.

### **Notice of Confidentiality**

Information collected for this study comes under the confidentiality and data protection requirements of the Institute of Education Sciences (The Education Sciences Reform Act of 2002, Title I, Part E, Section 183). Responses to this data collection will be used for statistical purposes only. The reports prepared for the study will summarize findings across the sample and will not associate responses with a specific district or individual. We will not provide information that identifies you or your district to anyone outside the study team, except as required by law.

## Introduction

The **Implementation of Title I/II Program Initiatives** study will examine the implementation of policies promoted through the Elementary and Secondary Education Act (ESEA) at the state, district, and school levels, in four core areas: state content standards, assessments, school accountability, and teacher and principal evaluation. The study will serve as an update on the implementation of the Title I and Title II provisions since the last national assessment that concluded in 2006. The study includes surveys of officials from all state education agencies and from nationally representative samples of school district officials, school principals, and core academic and special education teachers. The United States (U.S.) Department of Education, Institute of Education Sciences (IES) is sponsoring this study.

- Your responses are critical to drawing lessons about the implementation of ESEA.
- All survey results will be presented as aggregate findings and no individual schools or principals will be named or otherwise identified in any study reports or other communications that use survey data.
- We will survey your school again at a later date to examine changes over time.

The study, including this survey, is being conducted by Westat and its partners, Mathematica Policy Research and edCount.



**DIRECTIONS:** In this survey, when a question refers to “you” or “your,” it is asking about the school principal.

**DEFINITIONS FOR USE THROUGHOUT THIS SURVEY:**

**Types of student assessments and growth**

- **Diagnostic assessments** are assessments that measure students’ knowledge and skills at interim points during the school year to provide timely feedback on their progress toward grade-level content standards so that instruction can be adjusted or other support can be provided.
- **Standardized assessments** are assessments consistently administered and scored for all students in the same grades and subjects, districtwide. These might include required state summative assessments, assessments purchased from testing companies, or district-developed assessments that are administered districtwide.
- **Summative assessments** are state- or district-mandated tests that are intended to measure students’ knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.
- **Student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:
  1. **Value added measures (VAMs) or student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher’s own students based on districtwide or statewide standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
  2. **Student learning objectives (SLOs) or student growth objectives (SGOs)** are achievement targets for a teacher’s own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher’s assessment of the students’ starting achievement levels. SLOs/SGOs may relate to students’ scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

Student subgroups

- A **combined subgroup** is a state-defined subgroup that includes two or more of the following student subgroups: White, Black or African American, Hispanic, Asian, American Indian or Alaska Native, Native Hawaiian or Other Pacific Islander, Multiracial/Two or More Races, Other Individual Racial/Ethnic group, Economically Disadvantaged, English Learners, or Students with Disabilities.

Types of intervention models

- A **restart model**, as defined in U.S. Department of Education regulations, requires schools to convert to a charter school or close and reopen under the management of a charter management organization or education management organization.
- A **transformation model**, as defined in U.S. Department of Education regulations, requires schools to replace the principal, adopt a teacher and principal evaluation system that accounts for student achievement growth as a significant factor, adopt a new governance structure, institute comprehensive instructional reforms, increase learning time, create a community-oriented school, and have operational flexibility.
- A **turnaround model**, as defined in U.S. Department of Education regulations, requires schools to replace the principal, replace at least 50 percent of the school staff, institute comprehensive instructional reforms, increase learning time, create community-oriented schools, and have operational flexibility.

**Arts Education** is defined as visual arts, music, dance, and drama or theatre.

**Formal observations** are standardized using an instrument, rubric, or checklist.

**[WEB PROGRAMMING NOTE: SOME TEXT IN THIS SURVEY WILL BE CUSTOMIZED AS FOLLOWS DEPENDING ON WHETHER THE SCHOOL IS IN A STATE THAT ADOPTED THE COMMON CORE STATE STANDARDS (CCSS) FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH.**

**IF THE SCHOOL IS IN A STATE THAT ADOPTED THE CCSS IN ELA OR MATH, DISPLAY “COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH” OR “CCSS” WHERE NOTED.**

**IF THE SCHOOL IS IN A STATE THAT DID NOT ADOPTED THE CCSS IN ELA OR MATH, DISPLAY “CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH” OR “CURRENT STATE CONTENT STANDARDS” WHERE NOTED.**

## Section 1. State Content Standards

**[WEB PROGRAMMING NOTE: IF THE SCHOOL IS IN A STATE THAT ADOPTED THE COMMON CORE STATE STANDARDS (CCSS) IN ENGLISH LANGUAGE ARTS (ELA) OR MATH, DISPLAY THE FOLLOWING TEXT:]**

Many states have recently adopted the Common Core State Standards (CCSS), which are content standards for English language arts (ELA) and math that are shared across these states. Some of these states have re-named the CCSS with a state-specific name. While we understand that your state may have a different name for these standards, we refer to them throughout this survey as the Common Core State Standards (CCSS). Other states have substantially revised their own state content standards for ELA and math in recent years. This section includes questions about materials, professional development, and resources your school has used to revise curriculum and instructional materials to align with the Common Core State Standards (CCSS) for English language arts (ELA) or math.

**[WEB PROGRAMMING NOTE: IF THE SCHOOL IS IN A STATE THAT DID NOT ADOPT THE CCSS IN ELA OR MATH, DISPLAY THE FOLLOWING TEXT:]**

Many states have recently adopted the Common Core State Standards (CCSS), which are content standards for English language arts (ELA) and math that are shared across these states. Other states have substantially revised their own state content standards for ELA and math in recent years. This section includes questions about materials, professional development, and resources your school has used to revise curriculum and instructional materials to align with the current state content standards for English language arts (ELA) or math.

1-1. During this school year (2013-14), which grade levels in your school are fully implementing the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH]?

SELECT ALL GRADES THAT APPLY IN EACH ROW

		GRADE													
a.	English language arts (ELA) .....	Pre-K	K	1	2	3	4	5	6	7	8	9	10	11	12
b.	Math .....	Pre-K	K	1	2	3	4	5	6	7	8	9	10	11	12

1-2. During this school year (2013-14), which of the following materials has your school used to revise curriculum to align with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] and/or plan lessons based on these standards?

(Select NA (not applicable), where available, if your school does not enroll any English learners or students with disabilities.)

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO	NA
-----	----	----

**Materials to help align curriculum and instruction with the content standards**

a. Documents showing alignment between the previous state standards and the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0	
b. Documents showing alignment between required state summative assessments and the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
c. Tools or guidance on providing instruction aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] such as scope and sequence, curriculum maps, or frameworks .....	1	0	
d. A state-developed model curriculum for ELA or math instruction for each grade or course.....	1	0	
e. Sample lesson plans consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] ...	1	0	
f. Examples or videos of instruction consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
g. Sample student work .....	1	0	
h. Sample performance tasks for formative assessment purposes including rubrics or scoring guides .....	1	0	
i. Diagnostic assessment tests (or banks of diagnostic assessment items) aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
j. Textbooks or other instructional materials aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	

**Materials to facilitate instruction for special populations**

k. Documents showing alignment between the [CCSS/ CURRENT STATE CONTENT STANDARDS] and the state’s English Language Proficiency standards (standards for the progression of English language development for English learners) .....	1	0	na
l. Materials for understanding how to adapt instruction to help English learners meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	na
m. Materials for understanding how to adapt instruction to help students with disabilities meet the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0	na

**Other materials**

n. Walk-through or observation protocols to aid in monitoring alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0	
o. Student report cards aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	

**IF YES IS SELECTED FOR ANY OF ROWS A THROUGH M ABOVE, PROCEED TO QUESTION 1-3. OTHERWISE, SKIP TO QUESTION 1-4.**

1-3. Indicate to what extent your school found the materials described in the previous question (by category) useful to help revise curriculum to align with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] and/or plan lessons based on these standards.

(Select NA if your school did not use that type of material.)

SELECT ONE RESPONSE IN EACH ROW

	NOT USEFUL AT ALL	SOMEWHAT USEFUL	MODERATELY USEFUL	VERY USEFUL	NA
a. Materials to help align curriculum and instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	0	1	2	3	na
b. Materials to facilitate instruction for special populations .....	0	1	2	3	na

1-4. During this school year (2013-14) and including last summer (2013), which of the following topics related to the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] have been covered in professional development offered to your school’s leaders and/or teachers?

SELECT ONE RESPONSE IN EACH ROW

YES	NO
-----	----

**Professional development topics**

a. Information about the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as content covered at each grade level and instructional changes or shifts required .	1	0
b. Instructional strategies consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as model lessons or designing student work .....	1	0
c. Adapting instruction to help English learners meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
d. Adapting instruction to help students with disabilities meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
e. Using student assessment data to improve instruction.....	1	0
f. Monitoring alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as the use of observation protocols.....	1	0

**IF YES IS SELECTED FOR ANY ROW IN 1-4 PROCEED TO QUESTIONS 1-5, 1-6, AND 1-7. OTHERWISE, SKIP TO QUESTION 1-8.**

1-5. Through which methods did your school’s leaders and/or teachers receive professional development on the topics listed above?

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO
-----	----

**Method of delivery of professional development**

a. Statewide or regional/county conference(s) on these topics .....	1	0
b. Presentation(s) via webinar or video recording(s) on these topics.....	1	0
c. Instructional coaches worked with teachers or teams of teachers on these topics	1	0
d. Required in-service professional development on these topics .....	1	0
e. Teachers worked in teams to develop curriculum and lessons aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
f. Teachers worked with a content area coordinator, a team leader, or a specialist on these topics .....	1	0
g. Some other mode.....	1	0

1-6. Which one of these methods was the most useful source of professional development related to the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH]?

SELECT ONE ONLY

- Statewide or regional/county conference(s) on these topics ..... 1
- Presentation(s) via webinar or video recording(s) on these topics ..... 2
- Instructional coaches worked with teachers or teams of teachers on these topics ..... 3
- Required in-service professional development on these topics ..... 4
- Teachers worked in teams to develop curriculum and lessons aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] ..... 5
- Teachers worked with a content area coordinator, a team leader, or a specialist on these topics ..... 6
- Some other mode ..... 7

**1-7. Indicate to what extent the professional development was useful to support implementation of lessons and teaching strategies aligned with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] in your school.**

SELECT ONE ONLY

- Not useful at all.....0
- Somewhat useful .....1
- Moderately useful .....2
- Very useful.....3

**1-8. During this school year (2013-14), have any of the following occurred in your school to align instruction with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH]?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. District staff have used walk-throughs or school visits to monitor alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
b. I monitor alignment of instruction to the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
c. Performance evaluations for teachers in your school include evidence of teaching approaches consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
d. Performance evaluations for school leaders include evidence that the [CCSS/ CURRENT STATE CONTENT STANDARDS] have been implemented .....	1	0



1-9. To what extent would you describe the following as challenges to implementing the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] in your school?

SELECT ONE RESPONSE IN EACH ROW

	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Insufficient time for professional development .....	1	2	3
b. Insufficient information available about how to revise lessons and instructional materials to meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	2	3
c. Lack of school staff who can mentor or serve as a resource to teachers about the [CCSS/ CURRENT STATE CONTENT STANDARDS]....	1	2	3
d. Lack of guidance or support from the district.....	1	2	3
e. Lack of instructional materials aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	2	3
f. The additional work required to modify curriculum and lesson plans within tight timeframes .....	1	2	3
g. Community concerns or opposition to the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	2	3

## Section 2. Assessments

In this section of the survey, we will ask about materials or professional development that you have received to help with assessment activities, and how your school uses information from assessments.

2-1. During this school year (2013-14), has your school done any of the following to prepare students for required state summative assessments in English language arts (ELA) and/or math?

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Strengthened coursework in areas with statewide assessments .....	1	0
b. Provided targeted assistance to struggling students outside school hours.....	1	0
c. Provided targeted assistance to struggling students in place of a class during the school day (e.g., pull-out programs) .....	1	0
d. Reduced class sizes for ELA or math .....	1	0
e. Assigned struggling students to high-performing teachers .....	1	0
f. Encouraged high-performing teachers to teach grades and subjects tested for state accountability purposes .....	1	0
g. Taught test taking skills to students.....	1	0
h. Provided opportunities for students to take practice statewide assessments on paper .....	1	0
i. Provided opportunities for students to take practice statewide assessments online .....	1	0
j. Identified students likely to score below state proficiency levels for additional help .....	1	0

Next we will ask about the use of a student-level data system. By student-level data system, we mean any technology-based tool that provides school leaders and teachers with data that can be used to monitor the achievement of individual students.

2-2. During this school year (2013-14), do you have electronic access to a student-level data system that includes any of the following types of data for students in your school?

Check box if you do not have electronic access to a student-level data system and skip to 2-4

Data System Includes:	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Past achievement of currently enrolled individual students on state or districtwide summative assessments .....	1	0
b. Achievement of individual students on districtwide diagnostic assessments .....	1	0
c. Achievement growth for individual students on state or districtwide summative assessments .....	1	0
d. Achievement growth associated with individual teachers measured using value added measures (VAMs) or student growth percentiles (SGPs) .....	1	0
e. Past course grades for currently enrolled individual students .....	1	0
f. Attendance of individual students .....	1	0
g. Behavior/discipline information on individual students .....	1	0
h. Readiness of individual students for grade promotion or graduation (“on track” measures) .....	1	0
i. Indicator of whether individual students graduated or dropped out prior to graduation [WEB PROGRAMMING NOTE: ROW SHOULD APPEAR ONLY FOR PRINCIPALS OF HIGH SCHOOLS OR COMBINED SCHOOLS THAT INCLUDE HIGH SCHOOL GRADES] .....	1	0

**2-3. During this school year (2013-14), has your school used a student-level data system for any of the following purposes?  
(Select NA, where available, if your school does not enroll any English learners or students with disabilities.)**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO	NA
a. To set goals for school performance .....	1	0	
b. To set goals for individual teachers or classes.....	1	0	
c. To monitor student progress toward performance targets or learning goals.....	1	0	
d. To monitor the progress of English learners .....	1	0	na
e. To monitor the progress of students with disabilities.....	1	0	na
f. To identify individual students who are struggling academically.....	1	0	
g. To monitor the progress of students who are struggling academically .....	1	0	
h. To assign students to teachers .....	1	0	
i. To identify teachers for additional support or oversight .....	1	0	
j. To evaluate the effectiveness of instructional interventions or initiatives.....	1	0	
k. To plan schoolwide professional development, such as identifying specific content or skills where teachers need assistance or support .....	1	0	
l. To evaluate the effectiveness of professional development programs .....	1	0	

**2-4. To what extent would you describe the following as challenges to using assessment data to inform instruction in your school?**

SELECT ONE RESPONSE IN EACH ROW

	<b>NOT A CHALLENGE</b>	<b>MINOR CHALLENGE</b>	<b>MAJOR CHALLENGE</b>
a. Limited access to data from prior years on this year's students.....	1	2	3
b. Timeliness of the data on student achievement from prior years....	1	2	3
c. Teachers' level of understanding of how to analyze information from diagnostic assessments to inform instruction .....	1	2	3
d. Providing enough training so teachers can analyze student assessment data to inform instruction .....	1	2	3
e. Lack of district or school staff who can assist teachers with questions about analyzing student data .....	1	2	3
f. Teachers having regularly-scheduled time to meet in teams to discuss student achievement data and instruction .....	1	2	3
g. Assessments are not well aligned with the curriculum .....	1	2	3
h. Available assessment data do not accurately measure students' knowledge and skills .....	1	2	3

### Section 3. School Accountability

[WEB PROGRAMMING NOTE: DISPLAY QUESTION 3-1a FOR SCHOOLS IN A STATE THAT HAS AN ESEA FLEXIBILITY WAIVER. DISPLAY QUESTION 3-1b FOR SCHOOLS IN ALL OTHER STATES]

**3-1a.** During this school year (2013-14), has your school been identified by the state as a “Reward” school (i.e., “highest-performing” or “high-progress” school), based on student outcomes measured by required state summative assessments and other data collected through the end of the 2012-13 school year?

SELECT ONE RESPONSE  
IN EACH ROW

School has been identified as one or more of the following:	YES	NO
a. Reward school .....	1	0
b. Highest-performing school .....	1	0
c. High-progress school .....	1	0

**3-1b.** During this school year (2013-14), has your school been identified by the state as a high-performing or high-progress (i.e., substantially improving) school based on student outcomes measured through the end of the 2012-13 school year?

*High-performing schools may be identified as Schools of Excellence, Distinguished Performance or Progress Schools, High Achievement Schools, or some other state-defined high-performing school (such as a school that earned an “A” in an A through F statewide school grading system).*

*Do not select “yes” if your school is a Blue Ribbon School (as designated by the U.S. Department of Education) unless your school has also been designated as high-performing or high-progress school as part of a state program.)*

Yes ..... 1

No ..... 0

[WEB PROGRAMMING NOTE: FOR SCHOOLS IN A STATE THAT HAS AN ESEA FLEXIBILITY WAIVER USE 3-2a WORDING. FOR SCHOOLS IN ALL OTHER STATES USE 3-2b WORDING.]

**3-2a.** Did your school meet all Annual Measurable Objectives (AMOs, or state-defined benchmarks for proficiency, growth, graduation rates, and other outcomes for all students and subgroups of students in your school) for last year (2012-13)?

Yes ..... 1

No ..... 0

**3-2b.** Did your school make Adequate Yearly Progress (AYP) last year (2012-13)?

Yes ..... 1

No ..... 0

[WEB PROGRAMMING NOTE: IF 3-2a OR 3-2b IS YES, SKIP TO 3-5.]

**Achievement of Subgroups**

**3-3. Which student subgroups in your school met their Annual Measurable Objectives (AMOs) for 2012-13?**

*(Select NA (not applicable), if your school does not have a sufficient number of students in a subgroup (e.g., American Indian or Alaska Natives, English learners, or students with disabilities).)*

SELECT ONE RESPONSE IN EACH ROW

	MET AMO	DID NOT MEET AMO	NA
a. White .....	1	0	na
b. Black or African American .....	1	0	na
c. Hispanic .....	1	0	na
d. Asian .....	1	0	na
e. American Indian or Alaska Native.....	1	0	na
f. Native Hawaiian or Other Pacific Islander .....	1	0	na
g. Multiracial/two or more races.....	1	0	na
h. Other individual racial/ethnic subgroup (specify)..... .....	1	0	na
i. Economically disadvantaged .....	1	0	na
j. English learners .....	1	0	na
k. Students with disabilities.....	1	0	na
l. Low academic performance (for example, lowest 25 percent based on proficiency) .....	1	0	na
m. A combined subgroup (specify) .....	1	0	na
_____			
n. Another combined subgroup (specify) .....	1	0	na
_____			

**[WEB PROGRAMMING:  
FOR SCHOOLS IN A STATE THAT DOES NOT HAVE AN ESEA FLEXIBILITY WAIVER, DISABLE ROWS 3-3L, M, AND N. AFTER QUESTION 3-3, SKIP SCHOOL TO QUESTION 3-5.**

**FOR SCHOOLS IN A STATE THAT HAS AN ESEA FLEXIBILITY WAIVER, IF 3-3L, M, OR N IS DID NOT MEET AMO (0) ASK 3-4, ALL OTHERS SKIP TO 3-5.]**

**3-4. What actions did you take to address the needs of students in the combined subgroup(s) that did not meet AMOs?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Developed a school improvement plan .....	1	0
b. Examined the reasons for low achievement of that combined subgroup.....	1	0
c. Implemented interventions to address the reasons for low achievement of the combined subgroup.....	1	0
d. Reported on the interim progress of the combined subgroup to the district or state more than once during this school year (2013-14).....	1	0
e. Examined the reasons for low achievement of <u>each constituent subgroup</u> within that combined subgroup .....	1	0
f. Implemented interventions to address the reasons for low achievement of <u>each constituent subgroup</u> within that combined subgroup .....	1	0
g. Reported on the interim progress of <u>each constituent subgroup</u> within that combined subgroup to the district or state more than once during this school year (2013-14) .....	1	0

**Low-Performing Schools**

**3-5. During this school year (2013-14), has your school been identified by the state as any of the following based on the achievement of the school’s students (or other student outcomes)?**

**[WEB PROGRAMMING NOTE: FOR SCHOOLS IN A STATE THAT HAS AN ESEA WAIVER STATES DISPLAY ITEMS a, b, AND d. FOR SCHOOLS IN ALL OTHER STATES DISPLAY ITEMS c, d, e, and f.]**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Priority school .....	1	0
b. Focus school.....	1	0
c. School in Need of Improvement.....	1	0
d. School with federal School Improvement Grant (SIG) funding .....	1	0
e. School in Restructuring.....	1	0
f. School in Corrective Action.....	1	0

**IF NO IS SELECTED FOR ALL RESPONSES ABOVE, SKIP TO QUESTION 3-7.**



**3-6. During this school year (2013-14), has your school’s progress been monitored by the state (or an organization designated by the state) in any of the following ways, and if so, how frequently?**

SELECT YES OR NO IN EACH ROW. IF YES, SELECT ONE OPTION FOR HOW OFTEN USED

	USED FOR MONITORING YOUR SCHOOL?		IF USED, HOW OFTEN?				
	YES	NO	ONCE PER SCHOOL YEAR	TWICE PER SCHOOL YEAR	QUARTERLY	MONTHLY	OTHER (specify)
a. Site visits .....	1	0	1	2	3	4	_____
b. Telephone conferences .....	1	0	1	2	3	4	_____
c. Collection of student data.....	1	0	1	2	3	4	_____

**3-7. Have you developed a school improvement plan for this school year (2013-14)?**

Yes ..... 1

No ..... 0 → Skip to 3-9

**3-8. What type of assistance did you receive in developing the school improvement plan, if any?**

SELECT ONE RESPONSE IN EACH ROW

	YES	NO
a. Assistance in analyzing and interpreting data to understand student achievement issues .....	1	0
b. Assistance identifying interventions to improve student performance .....	1	0
c. Assistance planning for implementation of interventions to improve student performance .....	1	0

**3-9. During this school year (2013-14), is your school implementing any of the following initiatives?**

School Initiatives	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Implementing a “restart” model as defined in U.S. Department of Education regulations .....	1	0
b. Implementing a “transformation” model as defined in U.S. Department of Education regulations .....	1	0
c. Implementing a “turnaround” model as defined in U.S. Department of Education regulations .....	1	0

**3-10. During this school year (2013-14), is your school implementing any of the following academic initiatives?**

Academic Initiatives	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Implementing a new curriculum.....	1	0
b. Implementing a comprehensive schoolwide reform model.....	1	0
c. Providing intensive intervention to struggling students during the school day (for example, Response to Intervention).....	1	0

**3-11. And is your school implementing any of the following structural changes during this school year (2013-14)?**

School Structural Changes	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Adjusting the school schedule without changing the overall number of school hours .....	1	0
b. Operating an extended school day, week, or year .....	1	0
c. Making class sizes smaller than typical in other schools .....	1	0
d. Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services) .....	1	0
e. Offering students the option to attend a different school (school choice) .....	1	0

**3-12. During this school year (2013-14), does your school have staffing authority of the following types?**

Staffing Authority	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. School has more flexibility in, or exemptions from, collective bargaining agreements or district policies/regulations that guide teacher staffing decisions compared to other schools in the district .....	1	0
b. School has the authority to make final decisions on teacher hiring.....	1	0

**3-13. During this school year (2013-14), is your school implementing new programs in any of the following areas?**

School is implementing new programs:	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. To provide ongoing mechanisms for family and community engagement .....	1	0
b. To address students' social, emotional, or health needs .....	1	0
c. To improve student behavior, discipline, or safety .....	1	0

**3-14. Before the start of this school year (2013-14), did any of the following personnel changes occur in your school?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. You were hired as a new principal for the school .....	1	0
b. Half or more of the teaching staff was replaced.....	1	0

**3-15. During this school year (2013-14) and including last summer (2013), which of the following topics have been covered in the professional development and assistance that you received?**

SELECT ONE RESPONSE IN EACH ROW

YES	NO
-----	----

**Professional development topics**

a. Professional development on developing and implementing a school improvement plan .....	1	0
b. Assistance on analyzing and reviewing budgets to use resources more effectively .....	1	0
c. Assistance on developing strategies to recruit or retain more effective teachers..	1	0
d. Professional development on teacher observation and instructional improvement .....	1	0
e. Assistance on improving the quality of teacher professional development .....	1	0
f. Professional development on identifying and implementing effective curricula, instructional strategies, or school intervention models.....	1	0
g. Help aligning school curricula to the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0

**IF YES IS SELECTED FOR ANY ROW IN 3-15 PROCEED TO QUESTIONS 3-16 AND 3-17. OTHERWISE, SKIP TO QUESTION 3-18.**

**3-16. Through which methods did you receive professional development on the topics listed above?**

SELECT ONE RESPONSE IN EACH ROW

YES	NO
-----	----

**Method of delivery of professional development**

a. Statewide or regional/county conference(s) on these topics .....	1	0
b. Presentation(s) via webinar or video recording(s) on these topics.....	1	0
c. Worked with an instructional coach on these topics .....	1	0
d. Required in-service professional development on these topics .....	1	0
e. Worked with content area coordinator, a team leader, or a specialist on these topics .....	1	0
f. Some other mode.....	1	0

**3-17. Which one of these methods was the most useful source of professional development on these topics?**

SELECT ONE ONLY

- Statewide or regional/county conference(s) on these topics ..... 1
- Presentation(s) via webinar or video recording(s) on these topics ..... 2
- Worked with an instructional coach on these topics ..... 3
- Required in-service professional development on these topics ..... 4
- Worked with content area coordinator, a team leader, or a specialist on these topics .. 5
- Some other mode ..... 6

**3-18. During this school year (2013-14), does your school offer after-school academic services (e.g., supplemental educational services) specifically intended to improve students’ proficiency on state assessments?**

- Yes ..... 1
- No ..... 0

**3-19. To what extent would you describe the following as challenges to improving the performance of your school?**

SELECT ONE RESPONSE IN EACH ROW

	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Difficulty finding, hiring, or retaining teachers with the skills needed.....	1	2	3
b. Lack of staff who can mentor or serve as a resource to teachers about instructional strategies for struggling students .....	1	2	3
c. Lack of guidance or support from the district .....	1	2	3
d. Insufficient resources for personnel and/or materials.....	1	2	3
e. Lack of effective methods/interventions to improve student achievement .....	1	2	3
f. Curricula not aligned with the required state summative assessments.....	1	2	3
g. Teacher concerns or opposition to implementing school interventions .....	1	2	3
h. Community concerns or opposition to implementing school interventions .....	1	2	3
i. Lack of parent involvement/participation in children’s education ...	1	2	3

## Section 4. Teacher and Principal Evaluation

### Teacher Evaluation

We would like to ask about your school's teacher evaluation practices. We are interested in the practices in your school during this school year (2013-14), even if some parts of the teacher evaluation system may be changing in future years.

4-1. During this school year (2013-14), is your school participating in a pilot or test of a new teacher evaluation system?

Yes ..... 1

No ..... 0

DON'T KNOW ..... d

This question and the next several questions ask about the use of student achievement growth in teacher evaluations.

**As a reminder, student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:

- 1. Value added measures (VAMs) or student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher's own students based on districtwide or statewide standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
- 2. Student learning objectives (SLOs) or student growth objectives (SGOs)** are achievement targets for a teacher's own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher's assessment of the students' starting achievement levels. SLOs/SGOs may relate to students' scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

**4-2. During this school year (2013-14), is student achievement growth used as one component of the performance evaluation of all, some, or no teachers in this school? This can include student achievement growth for the teacher’s own students and/or teamwide, gradewide, or schoolwide student achievement growth.**

*(Note: In order to report “all teachers,” student achievement growth would need to be used with all teachers, including teachers of art, music, physical education, and special populations such as English learners or students with disabilities.)*

SELECT ONE ONLY

Student achievement growth is used in the evaluation of all teachers in the school, across all grades (K-12), all subjects, and special education ..... 1

Student achievement growth is used in the evaluation of some but not all teachers in the school ..... 2

Student achievement growth is not used in the evaluation of any teachers in the school..... 3 → Skip to 4-4

**4-3. During this school year (2013-14), is student achievement growth used in the evaluations of any of the following types of teachers at your school?**

*(Select “yes” for the row if any teachers in that category have measures of student achievement growth such as VAMs, SGPs, SLOs, or SGOs in their evaluations. Select NA if your school does not have any teachers in the grades or grade level specified.)*

.SELECT ONE RESPONSE IN EACH ROW

Student achievement growth is used to evaluate:	YES	NO	NA
a. Kindergarten teachers.....	1	0	na
b. Teachers of grades 1, 2, or 3 .....	1	0	na
c. Teachers of ELA and/or math in grades 4-8.....	1	0	na
d. Teachers of science in grades 6, 7, or 8.....	1	0	na
e. Teachers of social studies in grades 6, 7, or 8. ....	1	0	na
f. High school ELA teachers.....	1	0	na
g. High school math teachers .....	1	0	na
h. High school science teachers.....	1	0	na
i. High school social studies teachers. ....	1	0	na
j. Any teachers of other subjects, such as art, music, or physical education .....	1	0	

**4-4. During this school year (2013-14), which of the following sources of information on teacher performance does your school use in teacher evaluations?**

SELECT ONE RESPONSE  
IN EACH ROW

	USED IN EVALUATING TEACHERS	NOT USED IN EVALUATING TEACHERS
a. Classroom observations using a teacher professional practice rubric, conducted by the principal or other school administrator .....	1	0
b. Classroom observations using a teacher professional practice rubric, conducted by someone other than a school administrator (such as a peer or mentor teacher, instructional coach, central office staff member, or an observer from outside the school or district) .....	1	0
c. Teacher self-assessment .....	1	0
d. Portfolios or other artifacts of teacher professional practice .....	1	0
e. Assessments by a peer or mentor teacher that are not based on a teacher professional practice rubric .....	1	0
f. Student work samples .....	1	0
g. Student surveys or other student feedback .....	1	0
h. Parent surveys or other parent feedback .....	1	0



**4-5. How frequently must non-probationary or tenured teachers be evaluated?**

SELECT ONE RESPONSE IN EACH ROW

Non-probationary or tenured teacher whose previous performance was:	FREQUENCY OF EVALUATIONS				
	EVERY YEAR	EVERY 2 YEARS	EVERY 3 YEARS	EVERY 4 YEARS	EVERY 5 YEARS
a. Rated effective, satisfactory, proficient, or better .....	1	2	3	4	5
b. Rated unsatisfactory (or the equivalent).....	1	2	3	4	5

**4-6. For the evaluation of a non-probationary or tenured teacher, how many formal observations must be completed during the evaluation period or cycle?**

*(Enter the number in each row. Please consider only instances of formal observations conducted in the classroom. Formal observations are standardized using an instrument, rubric, or checklist.)*

Non-probationary or tenured teacher whose previous performance was:	NUMBER OF FORMAL OBSERVATIONS REQUIRED
a. Rated effective, satisfactory, proficient, or better.....	_____
b. Rated unsatisfactory (or the equivalent) .....	_____

**4-7. Thinking now about first-year teachers, for the evaluation of a first-year teacher, how many formal observations must be completed (at a minimum) during this school year (2013-14)?**

*(Please consider only instances of formal observations conducted in the classroom. Formal observations are standardized using an instrument, rubric, or checklist.)*

\_\_\_\_\_ NUMBER OF REQUIRED FORMAL OBSERVATIONS OF FIRST-YEAR TEACHERS

4-8. Based on the most recent evaluations completed (for example, 2012-13), please indicate the percentage of teachers at your school who fell into the highest and lowest performance evaluation rating categories.

*(Write in the percentage of teachers in each category. If no teachers fell into the highest or lowest category, please enter a "0" on that line. If you don't know the percentage, select "d" for Don't Know. Your best estimate for percentages is fine.)*

	PERCENTAGE OF ALL TEACHERS	DON'T KNOW
a. Highest evaluation rating or category.....	_____	d
b. Lowest evaluation rating or category .....	_____	d

**IF DON'T KNOW IS SELECTED FOR BOTH 4-8a AND 4-8b, SKIP TO QUESTION 4-10.**

4-9. When answering the rating question above, were the teacher evaluation policies and practices in that year:

SELECT ONE ONLY

A pilot of new teacher evaluation policies and practices based on new laws or regulations since 2009..... 1

Teacher evaluation policies and practices implemented schoolwide that were the same as or very similar to those in place during this school year (2013-14)..... 2

Older teacher evaluation practices that were in effect schoolwide during the most recent evaluation year and are not the same as or similar to current practices in your school?..... 3

**4-10. Will the performance evaluation results for teachers for this school year (2013-14) be used to inform any of the following decisions?**

*(Select NA, where available, if tenure is not offered in your district or school.)*

		SELECT ONE RESPONSE IN EACH ROW		
<b>Teacher evaluation results will be used to inform decisions about teacher professional development:</b>		<b>YES</b>	<b>NO</b>	<b>NA</b>
a.	Feedback given to teachers on their professional practice .....	1	0	
b.	Planning professional development for individual teachers.....	1	0	
c.	Development of performance improvement plans for low-performing teachers.....	1	0	
d.	Setting goals with teachers for student achievement growth for the next school year .....	1	0	
e.	Identifying low-performing teachers for coaching, mentoring, or peer assistance...	1	0	
<b>Teacher evaluation results will be used to inform decisions about teacher career advancement:</b>				
f.	Recognizing high-performing teachers .....	1	0	
g.	Determining annual salary increases .....	1	0	
h.	Determining bonuses or performance-based compensation other than salary increases .....	1	0	
i.	Granting tenure or similar job protection.....	1	0	na
j.	Career advancement opportunities, such as teacher leadership roles.....	1	0	
<b>For low-performing teachers, evaluation results will be used to inform decisions about:</b>				
k.	Loss of tenure or similar job protection.....	1	0	na
l.	Sequencing potential layoffs to reduce staff .....	1	0	
m.	Dismissing or terminating employment for cause .....	1	0	

**Principal Evaluation**

We would like to ask about the practices used to evaluate you as a principal. We are interested in the policies currently in place at your school even if some parts of the principal evaluation system may be changing in future years.

**4-11. During this school year (2013-14), is your school participating in a pilot or test of a new evaluation system for principals?**

- Yes .....1
- No .....0
- DON'T KNOW .....d

**4-12. Is your performance being evaluated during this school year (2013-14)?**

Yes .....1 → Skip to 4-14  
 No .....0  
 DON'T KNOW .....d

**4-13. Was your performance evaluated during the last school year (2012-13)?**

Yes .....1  
 No .....0 → Skip to 4-20  
 DON'T KNOW .....d → Skip to 4-20

**[WEB PROGRAMMING NOTE: FOR THOSE EVALUATED THIS YEAR (4-12=1) DISPLAY THE FIRST PHRASING INSIDE OF BRACKETS FOR QUESTIONS 4-14 THROUGH 4-19. FOR THOSE EVALUATED LAST YEAR (4-13=1) DISPLAY THE SECOND PHRASING INSIDE OF BRACKETS.]**

**4-14. [During this school year (2013-14), will any student outcomes be included/During last school year (2012-13) were any student outcomes included] as part of your own performance evaluation?**

SELECT ONE RESPONSE  
 IN EACH ROW

	YES	NO
a. Schoolwide proficiency rates on standardized assessments .....	1	0
b. Schoolwide year-to-year changes in proficiency rates on standardized assessments .....	1	0
c. Achievement growth of students schoolwide using a value added measure (VAM) or student growth percentiles (SGP).....	1	0
d. Student promotion/graduation rate .....	1	0
e. Student dropout rate .....	1	0
f. Gaps in achievement or low student achievement growth for English learners .....	1	0
g. Gaps in achievement or low student achievement growth for students with disabilities .....	1	0
h. Gaps in achievement or low student achievement growth for other subgroups .....	1	0
i. Student attendance .....	1	0
j. Student behavior/discipline/safety.....	1	0

4-15. [During this school year (2013-14)/During last school year (2012-13)], which of the following sources of information on your own performance (other than student outcome measures) [are/were] used in your evaluation?

SELECT ONE RESPONSE IN EACH ROW

	USED IN YOUR EVALUATION	NOT USED IN YOUR EVALUATION
a. Ratings based on a principal professional practice rubric.....	1	0
b. Self-assessment.....	1	0
c. Input from district administrators that is not based on a principal professional practice rubric.....	1	0
d. Staff surveys or other staff feedback .....	1	0
e. Student surveys or other student feedback.....	1	0
f. Parent surveys or other parent feedback .....	1	0

4-16. Please indicate to what extent you agree or disagree with each of the following statements about your performance evaluation for [this school year (2013-14)/last school year (2012-13)].

*(Select NA, where available, if student achievement growth is not used in your performance evaluation.)*

SELECT ONE RESPONSE IN EACH ROW

	DISAGREE STRONGLY	DISAGREE SOMEWHAT	AGREE SOMEWHAT	AGREE STRONGLY	NA
a. Schoolwide student achievement growth is a fair measure of my performance .....	1	2	3	4	na
b. My overall evaluation covers all important aspects of my performance as a school leader .....	1	2	3	4	
c. In the long run, students will benefit from including measures of student achievement growth in the evaluations of principals.....	1	2	3	4	na

4-17. [So far this school year (2013-14), have you experienced/During last school year (2012-13) did you experience] any of the following evaluation-related activities?

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. A district administrator, evaluator, mentor, or coach has observed your performance.....	1	0
b. A district administrator, evaluator, mentor, or coach has conducted a “walk through” in your school .....	1	0
c. You received feedback on your performance from a district administrator, evaluator, mentor, or coach.....	1	0
d. You received coaching or suggestions on how you could improve the achievement growth of students at your school .....	1	0

4-18. [Will/Were] your performance evaluation results for [this school year (2013-14) be/last school year (2012-13)] used to inform any of the following decisions about your career?

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO	DON'T KNOW
-----	----	------------

**Evaluation results will be used to inform decisions about:**

a. Feedback provided on your professional practice .....	1	0	d
b. Planning your professional development .....	1	0	d
c. Developing a performance improvement plan .....	1	0	d
d. Determining whether you should receive coaching or mentoring .....	1	0	d
e. Determining your annual salary increase .....	1	0	d
f. Determining whether you receive a bonus or performance-based compensation <u>other than a salary increase</u> .....	1	0	d

4-19. [Could/Were] principal evaluation results for [this school year (2013-14) be/last school year (2012-13)] used to inform any of the following decisions?

(Select NA, where available, if tenure is not available to principals.)

Evaluation results could be used to inform decisions about:	SELECT ONE RESPONSE IN EACH ROW			
	YES	NO	DON'T KNOW	NA
a. Recognizing high-performing principals.....	1	0	d	
b. Granting tenure or similar job protection.....	1	0	d	na
c. Career advancement opportunities, such as additional leadership roles.....	1	0	d	
d. Determining whether a principal's contract is renewed.....	1	0	d	
e. Assigning a principal to a school .....	1	0	d	
f. Loss of tenure or similar job protection.....	1	0	d	na
g. Sequencing potential layoffs if the district needs to reduce staff .....	1	0	d	
h. Demotion .....	1	0	d	
i. Dismissal or terminating employment for cause .....	1	0	d	

4-20. During this school year (2013-14) and including last summer (2013), did you receive any of the following supports to help you improve your performance as a principal?

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. An individualized professional development plan linked to your previous performance evaluation results.....	1	0
b. Professional development related to strategies for improving student achievement growth.....	1	0
c. Opportunities to learn from principals who have a record of leading schools with high student achievement growth.....	1	0
d. Advice or consultation from district, state, university, or other experts on improving student achievement.....	1	0
e. Staff to relieve you of routine administrative work so that you could spend more time on instructional leadership in your school .....	1	0

4-21. Thinking now about how decisions about professional development are made, to what extent were you able to choose the content or focus of the professional development in which you participated during this school year (2013-14) and including last summer (2013)?

*(Select only one response that best describes the amount of choice you had in selecting professional development content/focus.)*

SELECT ONE ONLY

All professional development content/focus was assigned by others (e.g. district leaders) ..... 1

I was able to choose the content/focus of a small part of the professional development in which I participated..... 2

I was able to choose the content/focus of a large part of the professional development in which I participated..... 3

I was able to choose the content/focus of all the professional development in which I participated ..... 4



**Support for Understanding Teacher and Principal Evaluation Systems**

**4-22. During this school year (2013-14) and including last summer (2013), did you receive professional development on any of the following topics related to teacher evaluation?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. The components of the teacher evaluation system in your district .....	1	0
b. The teacher professional practice rubric, including specific examples of performance at various rating levels for each item in the rubric .....	1	0
c. Practice applying the teacher professional practice rubric by watching videotaped clips of teaching or observing teachers in classrooms.....	1	0
d. Assessment of the consistency of your rating of classroom instruction with that of another observer rating the same example of teaching.....	1	0
e. Formal certification to rate teacher practice using the teacher professional practice rubric .....	1	0
f. How a teacher’s contribution to student achievement growth is defined and measured .....	1	0
g. Creating student learning objectives and/or measures of student achievement growth.....	1	0
h. Communicating evaluation results to teachers .....	1	0
i. How to provide feedback to teachers based on the ratings of professional practice .....	1	0
j. Refresher training and re-certification on the teacher observation rubric .....	1	0

**4-23. During this school year (2013-14) and including last summer (2013), did you receive professional development on any of the following topics related to principal evaluation?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Components of the principal evaluation system in your district .....	1	0
b. The principal professional practice rubric, including specific examples of performance at various rating levels for each item in the rubric .....	1	0
c. How student achievement growth is defined and measured at the school level .....	1	0

4-24. During this school year (2013-14) and including last summer (2013), about how many hours of professional development on the principal evaluation system did you participate in?

*(If you did not participate in any professional development on the principal evaluation system during this period, please enter "0" below. Your best estimate is fine.)*

\_\_\_\_\_ HOURS

4-25. During this school year (2013-14), have you received or had access to any of the following materials or events to help you understand and use the teacher and principal performance evaluation systems?

SELECT ONE RESPONSE FOR TEACHERS AND  
ONE RESPONSE FOR PRINCIPALS  
FOR EACH ROW

	FOR THE TEACHER EVALUATION SYSTEM		FOR THE PRINCIPAL EVALUATION SYSTEM	
	YES	NO	YES	NO
a. A website or page dedicated to providing information on the evaluation system .....	1	0	1	0
b. An information session at your school or in your district .....	1	0	1	0
c. A hot line, email address, or web form for questions about the evaluation system .....	1	0	1	0
d. Regular reports on the progress of planning or implementing the system .....	1	0	1	0
e. Central office staff assigned to help evaluators understand and use the evaluation system .....	1	0	1	0
f. A manual or handbook describing how the evaluation system is intended to operate.....	1	0	1	0
g. Examples of what different levels of performance as defined by the system look like in practice .....	1	0	1	0

4-26. Please indicate to what extent you agree or disagree with each of the following statements about your understanding of the teacher performance evaluation system you will be using this school year (2013-14).

SELECT ONE RESPONSE IN EACH ROW

	DISAGREE STRONGLY	DISAGREE SOMEWHAT	AGREE SOMEWHAT	AGREE STRONGLY
a. I have a good understanding of the procedures involved in the teacher evaluation system .....	1	2	3	4
b. I have a good understanding of how the teacher performance levels are defined .....	1	2	3	4
c. Overall, I have a good understanding of the teacher evaluation system .....	1	2	3	4

[WEB PROGRAMMING NOTE: IF PRINCIPAL NOT EVALUATED THIS YEAR (4-12=0 OR d) SKIP QUESTION 4-27.]

4-27. Please indicate to what extent you agree or disagree with each of the following statements about your understanding of the system that will be used to evaluate your performance this school year (2013-14).

SELECT ONE RESPONSE IN EACH ROW

	DISAGREE STRONGLY	DISAGREE SOMEWHAT	AGREE SOMEWHAT	AGREE STRONGLY
a. I have a good understanding of the procedures involved in the principal evaluation system.....	1	2	3	4
b. I have a good understanding of how the performance levels in the principal evaluation system are defined.....	1	2	3	4
c. It is clear to me what I need to do to get the performance rating I want .....	1	2	3	4
d. Overall, I have a good understanding of the principal evaluation system .....	1	2	3	4

4-28. During this school year (2013-14) or last summer (2013), did you receive any of the following information about teacher preparation programs in your state?

SELECT ONE RESPONSE IN EACH ROW

	YES	NO
a. Information on the effectiveness of teachers prepared by the programs.....	1	0
b. An overall rating of the quality or performance of the programs .....	1	0

**Section 5. Arts Education**

**5-1. How would you describe the number of minutes per week a typical student in your school spends in arts education instruction during this school year (2013-14) as compared to last school year (2012-13)?**

SELECT ONE ONLY

- Minutes per week have increased since last year ..... 1 → Skip to 5-3
- Minutes per week have remained the same since last year ..... 2 → Skip to 5-3
- Minutes per week have decreased since last year ..... 3
- DON'T KNOW ..... d → Skip to 5-3

**5-2. To what extent would you describe the following as reasons for the decreased time in arts education in this school?**

SELECT ONE RESPONSE IN EACH ROW

	NOT A REASON	MINOR REASON	MAJOR REASON	DON'T KNOW
a. Reduced funding .....	0	1	2	d
b. Reduced state requirements for arts education.....	0	1	2	d
c. Reduced district requirements for arts education .....	0	1	2	d
d. Inadequate equipment, materials, tools and/or instruments...	0	1	2	d
e. Inadequate facilities .....	0	1	2	d
f. Lack of arts education teachers/specialists .....	0	1	2	d
g. Lack of student interest or demand .....	0	1	2	d
h. Lack of parent or community support .....	0	1	2	d

**5-3. During this school year (2013-14), are any of the following initiatives underway in your school?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO	DON'T KNOW
a. Expansion of arts education curriculum/offerings.....	1	0	d
b. Integration of arts with other academic subjects (e.g., ELA, math, social studies).....	1	0	d
c. Integration of technology into arts education instruction/learning.....	1	0	d
d. Expansion/improvement of arts facilities and materials (e.g., rooms, equipment).....	1	0	d
e. Hiring of additional arts education teachers/specialists.....	1	0	d
f. New/expanded partnerships with community organizations for support in arts education instruction.....	1	0	d

**Section 6. Background**

**6-1. During this school year (2013-14), do any of these describe the management of your school?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. The school is part of a special statewide accountability district .....	1	0
b. The school is a charter school.....	1	0
c. The school is managed by a school management organization, either for-profit or nonprofit.....	1	0

**6-2. Did the school receive Title I funds for this school year (2013-14)?**

Yes .....1  
 No .....0  
 DON'T KNOW .....d

**6-3. Including the current school year, how many years have you served as the principal of this or any other school?  
 (Count part of a year as one year; do not give fractions or months)**

\_\_\_\_\_ TOTAL NUMBER OF YEARS SERVING AS PRINCIPAL OF THIS OR ANOTHER SCHOOL

**6-4. Including the current year, how many years have you served as the principal of this school?  
 (Count part of a year as one year; do not give fractions or months)**

\_\_\_\_\_ TOTAL NUMBER OF YEARS SERVING AS PRINCIPAL OF THIS SCHOOL

**6-5. Before you became a principal, how many years of elementary or secondary teaching experience did you have?  
 (Count part of a year as one year; do not give fractions or months)**

\_\_\_\_\_ TOTAL NUMBER OF YEARS TEACHING BEFORE BECOMING A PRINCIPAL

**6-6. Before you became a principal, did you participate in any training or development program for aspiring school principals?**

Yes ..... 1  
 No ..... 0

**6-7. What is the highest degree you have earned?**

SELECT ONE ONLY

- Do not have a degree ..... 0
- Associate's degree ..... 1
- Bachelor's degree (B.A., B.S., etc.) ..... 2
- Master's degree (M.A., M.A.T., M.Ed., M.S., etc.) ..... 3
- Educational specialist or professional diploma (at least one year beyond master's level) ..... 4
- Doctorate or first professional degree (Ph.D., Ed.D., M.D., L.L.B., J.D., D.D.S., M.B.A.) ... 5

**6-8. Are you male or female?**

- Male ..... 1
- Female ..... 2

**6-9. Are you of Hispanic or Latino origin?**

- Yes ..... 1
- No ..... 0

**6-10. What is your race?**

SELECT ALL THAT APPLY

- American Indian or Alaska Native ..... 1
- Asian ..... 2
- Black or African American ..... 3
- Native Hawaiian or Other Pacific Islander ..... 4
- White ..... 5

**Thank you for completing this survey.**

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## Teacher Survey

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OMB#:1850-0902  
Expiration Date: 02/28/2017

Name:	
School Name:	
City:	State:

# *Implementation of Title I/II Program Initiatives*

## Teacher Survey

Spring 2014



### **Paperwork Reduction Act of 1995**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Your response to this collection is voluntary. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1850-0902. Note: Please do not return the completed survey to this address.

### **Notice of Confidentiality**

Information collected for this study comes under the confidentiality and data protection requirements of the Institute of Education Sciences (The Education Sciences Reform Act of 2002, Title I, Part E, Section 183). Responses to this data collection will be used only for statistical purposes. The reports prepared for the study will summarize findings across the sample and will not associate responses with a specific district or individual. We will not provide information that identifies you or your district to anyone outside the study team, except as required by law.

## Introduction

The **Implementation of Title I/II Program Initiatives** study will examine the implementation of policies promoted through the Elementary and Secondary Education Act (ESEA) at the state, district, and school levels, in four core areas: state content standards, assessments, school accountability, and teacher evaluation. The study will serve as an update on the implementation of the Title I and Title II provisions since the last national assessment that concluded in 2006. The study includes surveys of officials from all state education agencies and from nationally representative samples of school district officials, school principals, and core academic and special education teachers. The United States (U.S.) Department of Education, Institute of Education Sciences (IES) is sponsoring this study.

- Your responses are critical to drawing lessons about the implementation of ESEA.
- All survey results will be presented as aggregate findings and no individual schools or teachers will be named or otherwise identified in any study reports or other communications that use survey data.
- We will survey a new sample of teachers from your school at a later date so we can examine changes occurring in the school over time.

The study, including this survey, is being conducted by Westat and its partners, Mathematica Policy Research and edCount.

**DEFINITIONS FOR USE THROUGHOUT THIS SURVEY:**

**Summative assessments** are state- or district-mandated tests that are intended to measure students' knowledge and skills at (or near) the end of a school year or course relative to grade-level content standards.

**Diagnostic assessments** are assessments that measure students' knowledge and skills at interim points during the school year to provide timely feedback on their progress toward grade-level content standards so that instruction can be adjusted or other support can be provided.

**Student achievement growth** is the change in student achievement for an individual student between two or more points in time. Two types of student achievement growth measures are common:

1. **Value added measures (VAMs)** or **student growth percentiles (SGPs)** apply complex statistical methods to calculate achievement growth for a teacher's own students based on districtwide or statewide standardized assessments. VAMs and SGPs can also be calculated for teacher teams, for grades, or for schools.
2. **Student learning objectives (SLOs)** or **student growth objectives (SGOs)** are achievement targets for a teacher's own students, determined by each individual teacher at the beginning of the school year (often in consultation with the school principal) based on the teacher's assessment of the students' starting achievement levels. SLOs/SGOs may relate to students' scores on standardized assessments, or to teacher-developed tests, performance tasks, or other customized assessments of student learning.

**Standardized assessments** are assessments consistently administered and scored for all students in the same grades and subjects, districtwide. These might include required state summative assessments, assessments purchased from testing companies, or district-developed assessments that are administered districtwide.

**Arts Education** is defined as visual arts, music, dance, and drama or theatre.

**Formal observations** are standardized using an instrument, rubric, or checklist.

**WEB PROGRAMMING NOTE: SOME TEXT IN THIS SURVEY WILL BE CUSTOMIZED AS FOLLOWS DEPENDING ON WHETHER THE TEACHER IS IN A SCHOOL IN A STATE THAT ADOPTED THE COMMON CORE STATE STANDARDS (CCSS) FOR ENGLISH LANGUAGE ARTS (ELA) OR MATH.**

**IF THE TEACHER IS IN A SCHOOL IN A STATE THAT ADOPTED THE CCSS IN ELA OR MATH, DISPLAY "COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH" OR "CCSS" WHERE NOTED.**

**IF THE TEACHER IS IN A SCHOOL IN A STATE THAT DID NOT ADOPTED THE CCSS IN ELA OR MATH, DISPLAY "CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH" OR "CURRENT STATE CONTENT STANDARDS" WHERE NOTED.**

## Section 1. State Content Standards

**[WEB PROGRAMMING NOTE: IF THE TEACHER IS IN A SCHOOL IN A STATE THAT ADOPTED THE COMMON CORE STATE STANDARDS (CCSS) IN ENGLISH LANGUAGE ARTS (ELA) OR MATH, DISPLAY THE FOLLOWING TEXT:**

Many states have recently adopted the Common Core State Standards (CCSS), which are content standards for English language arts (ELA) and math that are shared across these states. Some of these states have re-named the CCSS with a state-specific name. While we understand that your state may have a different name for these standards, we refer to them throughout this survey as the Common Core State Standards (CCSS). Other states have substantially revised their own state content standards for ELA and math in recent years. This section includes questions about materials, professional development, and resources you have used to revise curriculum and instructional materials to align with the Common Core State Standards (CCSS) for English language arts (ELA) or math.

**[WEB PROGRAMMING NOTE: IF THE TEACHER IS IN A SCHOOL IN A STATE THAT DID NOT ADOPT THE CCSS IN ELA OR MATH, DISPLAY THE FOLLOWING TEXT:**

Many states have recently adopted the Common Core State Standards (CCSS), which are content standards for English language arts (ELA) and math that are shared across these states. Other states have substantially revised their own state content standards for ELA and math in recent years. This section includes questions about materials, professional development, and resources you have used to revise curriculum and instructional materials to align with the current state content standards for English language arts (ELA) or math.

1-1. During this school year (2013-14), is your teaching fully aligned with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH], partially aligned with the standards, or have you not incorporated the standards into your teaching yet?

SELECT ONE RESPONSE IN EACH ROW

	FULLY ALIGNED WITH THE [CCSS/CURRENT STATE CONTENT STANDARDS]	PARTIALLY ALIGNED WITH THE [CCSS/CURRENT STATE CONTENT STANDARDS]	NOT ALIGNED WITH THE [CCSS/CURRENT STATE CONTENT STANDARDS]	[CCSS/CURRENT STATE CONTENT STANDARDS] IN THIS SUBJECT ARE NOT APPLICABLE TO THE CLASSES I TEACH
a. English language arts (ELA) .....	1	2	3	na
b. Math.....	1	2	3	na

1-2. During this school year (2013-14), have you used any of the following materials to revise curriculum to align with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] and/or plan lessons based on these standards?

(Select NA (not applicable), where available, if you do not teach any English learners or students with disabilities.)

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO	NA
<b>Materials to help align curriculum and instruction with the content standards</b>			
n. Documents showing alignment between the previous state standards and the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
o. Documents showing alignment between required state summative assessments and the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
p. Tools or guidance on providing instruction aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] such as scope and sequence, curriculum maps, or frameworks .....	1	0	
q. A state-developed model curriculum for ELA or math instruction for each grade or course .....	1	0	
r. Sample lesson plans consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
s. Examples or videos of instruction consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
t. Sample student work .....	1	0	
u. Sample performance tasks for formative assessment purposes including rubrics or scoring guides .....	1	0	
v. Diagnostic assessment tests (or banks of diagnostic assessment items) aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
w. Textbooks or other instructional materials aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
<b>Materials to facilitate instruction for special populations</b>			
x. Documents showing alignment between the [CCSS/ CURRENT STATE CONTENT STANDARDS] and the state’s English Language Proficiency standards (standards for the progression of English language development for English learners) .....	1	0	na
y. Materials for understanding how to adapt instruction to help English learners meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	na
z. Materials for understanding how to adapt instruction to help students with disabilities meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	na
<b>Other materials</b>			
aa. Walk-through or observation protocols to aid in monitoring alignment of your instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	
bb. Student report cards aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0	

**IF YES IS SELECTED FOR ANY ROWS A THROUGH M ABOVE, PROCEED TO QUESTION 1-3. OTHERWISE, SKIP TO QUESTION 1-4.**



1-3. Indicate to what extent you found the materials described in the previous question (by category) useful to help revise curriculum to align with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] and/or plan lessons based on these standards.

(Select NA if you did not use that type of material.)

SELECT ONE RESPONSE IN EACH ROW

	NOT USEFUL AT ALL	SOMEWHAT USEFUL	MODERATELY USEFUL	VERY USEFUL	NA
a. Materials to help align curriculum and instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	0	1	2	3	na
b. Materials to facilitate instruction for special populations.....	0	1	2	3	na

1-4. During this school year (2013-14) and including last summer (2013), have you received professional development on any of the following topics related to the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH]?

SELECT ONE RESPONSE IN EACH ROW

YES	NO
-----	----

**Professional development topics**

a. Information about the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as content covered at each grade level and instructional changes or shifts required ...	1	0
b. Instructional strategies consistent with the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as model lessons or designing student work .....	1	0
c. Adapting instruction to help English learners meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
d. Adapting instruction to help students with disabilities meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
e. Using student assessment data to improve instruction.....	1	0
f. Monitoring alignment of instruction with the [CCSS/ CURRENT STATE CONTENT STANDARDS], such as the use of observation protocols.....	1	0

**IF YES IS SELECTED FOR ANY ROW IN 1-4 PROCEED TO QUESTIONS 1-5, 1-6, AND 1-7. OTHERWISE, SKIP TO QUESTION 1-8.**

**1-5. Through which methods did you receive professional development on the topics listed above?**

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO
-----	----

**Method of delivery of professional development**

a. Attended statewide or regional/county conference(s) on these topics .....	1	0
b. Watched presentation(s) via webinar or video recording(s) on these topics .....	1	0
c. Worked with an instructional coach on these topics.....	1	0
d. Received required in-service professional development on these topics .....	1	0
e. Worked in teams with other teachers to develop curriculum and lessons aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
f. Worked with a content area coordinator, a team leader, or a specialist on these topics .....	1	0
g. Some other mode.....	1	0

**1-6. Which one of these methods was the most useful source of professional development related to the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH]?**

SELECT ONE ONLY

- Attended statewide or regional/county conference(s) on these topics..... 1
- Watched presentation(s) via webinar or video recording(s) on these topics ..... 2
- Worked with an instructional coach on these topics ..... 3
- Received required in-service professional development on these topics..... 4
- Worked in teams with other teachers to develop curriculum and lessons aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] ..... 5
- Worked with a content area coordinator, a team leader, or a specialist on these topics ..... 6
- Some other mode ..... 7

**1-7. Indicate to what extent the professional development you received was useful to help plan lessons and use teaching strategies aligned with the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH].**

SELECT ONE ONLY

- Not useful at all..... 0
- Somewhat useful ..... 1
- Moderately useful ..... 2
- Very useful..... 3

**1-8. During this school year (2013-14), have you participated in any of the following activities related to the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH]?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Discussed how to implement the [CCSS/ CURRENT STATE CONTENT STANDARDS] at faculty, department, or grade-level meetings.....	1	0
b. Worked with other teachers to make connections between the [CCSS/ CURRENT STATE CONTENT STANDARDS], curricula, and lesson plans across grades or courses..	1	0
c. Reviewed the alignment of curriculum and lesson plans to the [CCSS/ CURRENT STATE CONTENT STANDARDS] covering the subjects you teach.....	1	0
d. Dropped material from lesson or unit plans that does not align with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
e. Set student learning goals or objectives using the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
f. Developed assignments, projects, tests, or performance tasks aimed at assessing student progress toward meeting the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
g. Provided feedback to students in terms of their progress toward meeting the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
h. Had central office staff or a school administrator visit your classroom to see how your instruction aligns with the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	0
i. Had a coach, mentor teacher, or other instructional leader visit your classroom to see how your instruction aligns with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	0
j. Discussed the alignment of your teaching to the [CCSS/ CURRENT STATE CONTENT STANDARDS] with school administrators as part of your performance evaluation process.....	1	0
k. Had alignment of your teaching with the [CCSS/ CURRENT STATE CONTENT STANDARDS] as part of your performance evaluation.....	1	0
l. Included implementing the [CCSS/ CURRENT STATE CONTENT STANDARDS] as part of your professional development plan.....	1	0

1-9. During your class instruction this school year (2013-14), how often do you do the following activities?

*(If you teach more than one group of students during the day, please respond for your typical class.)*

SELECT ONE RESPONSE IN EACH ROW

	NEVER	ONCE PER MONTH OR LESS	TWO OR THREE TIMES PER MONTH	ONCE OR TWICE PER WEEK	THREE OR FOUR TIMES PER WEEK	EVERY DAY
a. Use non-fiction informational texts such as historical, scientific, or technical narratives in your instruction .....	0	1	2	3	4	5
b. Use non-fiction literary texts such as essays, speeches, arguments, art reviews, or memoirs in your instruction .....	0	1	2	3	4	5
c. Require students to include evidence from informational or literary texts in their writing.....	0	1	2	3	4	5
d. Create assignments that require students to use information from literary or informational texts to complete.....	0	1	2	3	4	5
e. In classroom discussions, require students to practice using evidence from both literary and informational texts .....	0	1	2	3	4	5
f. Provide opportunities for students to apply math concepts in real-world situations.....	0	1	2	3	4	5
g. Require students to demonstrate conceptual math understanding through complex problem solving .....	0	1	2	3	4	5

**1-10. To what extent would you describe the following as challenges to incorporating the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] into your classroom instruction?**

SELECT ONE RESPONSE IN EACH ROW

	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Insufficient time for professional development .....	1	2	3
b. Professional development that is weak or poorly aligned with instructional needs .....	1	2	3
c. Insufficient information available about how to revise lessons and instructional materials to meet the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	2	3
d. Lack of school staff who can mentor or serve as a resource to teachers about the [CCSS/ CURRENT STATE CONTENT STANDARDS].....	1	2	3
e. Lack of guidance or support from the district or school .....	1	2	3
f. Lack of instructional materials aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	2	3
The additional work required to modify curriculum and lesson plans within tight timeframes .....	1	2	3
g. Community concerns or opposition to the [CCSS/ CURRENT STATE CONTENT STANDARDS] .....	1	2	3

**1-11. Overall, to what extent do you view incorporating the [COMMON CORE STATE STANDARDS (CCSS) FOR ELA OR MATH/ CURRENT STATE CONTENT STANDARDS FOR ELA OR MATH] into your instruction as a challenge?**

SELECT ONE ONLY

- Not a challenge..... 1
- Minor challenge..... 2
- Major challenge..... 3

## Section 2. Assessments

In this section of the survey, we will ask about materials or professional development that you have received to help with assessment activities, and how you use information from assessments.

- 2-1. During this school year (2013-14), have you done any of the following to prepare students for required state summative assessments in English language arts (ELA) and/or math?

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Strengthened coursework in areas with statewide assessments .....	1	0
b. Taught test-taking skills to students .....	1	0
c. Provided opportunities for students to take practice statewide assessments on paper .....	1	0
d. Provided opportunities for students to take practice statewide assessments online .	1	0
e. Identified students likely to score below state proficiency levels for additional help.	1	0

Next we will ask about the use of a student-level data system. By student-level data system, we mean any technology-based tool that provides school leaders and teachers with data that can be used to monitor the achievement of individual students.

- 2-2. During this school year (2013-14), do you have electronic access to a student-level data system that includes any of the following types of data for students in your classes?

Check box if you do not have electronic access to a student-level data system and skip to 2-4

Data System Includes:	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Past achievement of each of your current students on state or districtwide summative assessments .....	1	0
b. Achievement of each of your current students on districtwide diagnostic assessments.....	1	0
c. Achievement growth of each of your current students on state or districtwide summative assessments .....	1	0
d. Past course grades for each of your current students .....	1	0
e. Attendance of individual students .....	1	0
f. Behavior/discipline information for each of your current students .....	1	0
g. Readiness of each of your current students for grade promotion or graduation (“on track” measures) .....	1	0

2-3. During this school year (2013-14), have you received any of the following related to the data system to help you analyze and use student data to inform instruction?

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Web-based tools .....	1	0
b. Manuals or guidebooks .....	1	0
c. Support from data experts who could address your questions .....	1	0

2-4. During this school year (2013-14), have you used data on student achievement for any of the following purposes? Data on student achievement could come from state summative assessments, districtwide assessments, or assessments you developed for your classes.

*(Select NA, where available, if you do not teach any English learners or students with disabilities.)*

	SELECT ONE RESPONSE IN EACH ROW		
	YES	NO	NA
a. To set measurable learning objectives or goals for your classes.....	1	0	
b. To monitor student progress toward performance targets or learning goals..	1	0	
c. To monitor the progress of English learners .....	1	0	na
d. To monitor the progress of students with disabilities.....	1	0	na
e. To identify individual students who are struggling academically.....	1	0	
f. To monitor the progress of students who are struggling academically .....	1	0	
g. To plan whole-class instruction .....	1	0	
h. To plan instruction for individual students.....	1	0	
i. To evaluate the effectiveness of a lesson or unit.....	1	0	
j. To evaluate the effectiveness of your instruction.....	1	0	

2-5. To what extent would you describe the following as challenges to using assessment data to inform your instruction?

SELECT ONE RESPONSE IN EACH ROW

	NOT A CHALLENGE	MINOR CHALLENGE	MAJOR CHALLENGE
a. Limited access to data from prior years on the students I teach this year .....	1	2	3
b. Timeliness of the data on student achievement from prior years..	1	2	3
c. Understanding how to analyze information from diagnostic assessments to inform instruction .....	1	2	3
d. Getting enough training on analyzing student assessment data to inform instruction .....	1	2	3
e. Lack of district or school staff who can assist me with questions about analyzing student data.....	1	2	3
f. Having regularly-scheduled time to meet with other teachers as a team to discuss student achievement data and instruction .....	1	2	3
g. Assessments are not well aligned with the curriculum.....	1	2	3
h. Available assessment data do not accurately measure my students' knowledge and skills.....	1	2	3



### Section 3. School Accountability

**3-1. During this school year (2013-14), have school leaders provided any of the following information about your school?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Your school's performance category, based on your state or district school accountability system.....	1	0
b. Why your school is in its current performance category .....	1	0
c. This year's school goals for student achievement .....	1	0
d. Strategies your school is pursuing to meet its student achievement goals .....	1	0
e. How you could contribute to meeting student achievement goals for your school...	1	0
f. Strategies to set specific student achievement goals for your classes or students ....	1	0
g. Strategies for you to use in meeting student achievement goals for your classes or students.....	1	0

**3-2. During this school year (2013-14) and including last summer (2013), have you participated in any of the following activities?**

	SELECT ONE RESPONSE IN EACH ROW	
	YES	NO
a. Implemented a new curriculum in your classroom.....	1	0
b. Implemented a comprehensive schoolwide reform model in your classroom.....	1	0
c. Worked a school schedule that provides additional time for student learning (relative to a typical schedule for schools in your community) through an extended school day, week, or year.....	1	0
d. Identified struggling students for school-sponsored individual or small-group tutoring outside of the school day .....	1	0
e. Provided school-sponsored assistance to struggling students outside of the school day at least once a week .....	1	0
f. Participated in a new schoolwide program to increase family and community engagement .....	1	0
g. Participated in a new schoolwide program to address students' social, emotional, or health needs .....	1	0
h. Implemented a new schoolwide safety or discipline program with your students ....	1	0

**3-3. To what extent would you describe the following as challenges to improving the achievement of students in your classes?**

SELECT ONE RESPONSE IN EACH ROW

	<b>NOT A CHALLENGE</b>	<b>MINOR CHALLENGE</b>	<b>MAJOR CHALLENGE</b>
a. Lack of staff who can mentor or serve as a resource to teachers about instructional strategies for struggling students .....	1	2	3
b. Lack of guidance or support from the district or school.....	1	2	3
c. Insufficient classroom resources .....	1	2	3
d. Lack of effective methods/interventions to improve student achievement .....	1	2	3
e. Curricula not aligned with the required state summative assessments.....	1	2	3
f. Teacher concerns or opposition to implementing school interventions .....	1	2	3
g. Community concerns or opposition to implementing school interventions .....	1	2	3
h. Lack of parent involvement/participation in children's education.....	1	2	3

**Section 4. Teacher Evaluation**

**Evaluation**

**4-1. During this school year (2013-14), is your school participating in a pilot or test of a new teacher evaluation system?**

- Yes ..... 1
- No ..... 0
- DON'T KNOW ..... d

**4-2 Is your performance being evaluated during this school year (2013-14)?**

- Yes ..... 1 → Skip to 4-4
- No ..... 0
- DON'T KNOW ..... d

**4-3 Was your performance evaluated during the last school year (2012-13)?**

- Yes ..... 1
- No ..... 0 → Skip to 4-15
- DON'T KNOW ..... d → Skip to 4-15

[WEB PROGRAMMING NOTE: FOR THOSE EVALUATED THIS YEAR (4-2=1) DISPLAY THE FIRST PHRASING INSIDE OF BRACKETS FOR QUESTIONS 4-4THROUGH 4-14. FOR THOSE EVALUATED LAST YEAR (4-3=1) DISPLAY THE SECOND PHRASING INSIDE OF BRACKETS.]

4-4. During [this school year (2013-14), does/last school year (2012-13) did] your performance evaluation include any of the following sources of information on performance?

SELECT ONE RESPONSE IN EACH ROW

	USED IN MY EVALUATION	NOT USED IN MY EVALUATION	DON'T KNOW
a. Classroom observations using a teacher professional practice rubric, conducted by the principal or other school administrator.....	1	0	d
b. Classroom observations using a teacher professional practice rubric, conducted by someone other than a school administrator (such as a peer or mentor teacher, instructional coach, central office staff member, or an observer from outside the school or district) .....	1	0	d
c. Your self-assessment.....	1	0	d
d. Portfolios or other artifacts of your teaching practice.....	1	0	d
e. Assessments by a peer or mentor teacher not based on a teacher professional practice rubric .....	1	0	d
f. Student work samples.....	1	0	d
g. Student surveys or other student feedback.....	1	0	d
h. Parent surveys or other parent feedback .....	1	0	d

4-5. [During this school year (2013-14), will/During last school year (2012-13) were] any of the following [be evaluated/evaluated] as part of your performance evaluation?

*(Select NA, where available, if you do not teach any English learners or students with disabilities.)*

SELECT ONE RESPONSE IN EACH ROW

	YES	NO	DON'T KNOW	NA
a. Use assessment data to plan instruction .....	1	0	d	
b. Align lessons with the [CCSS/ CURRENT STATE CONTENT STANDARDS] in English language arts (ELA) or math.....	1	0	d	
c. Use instructional strategies aligned with the [CCSS/ CURRENT STATE CONTENT STANDARDS] in ELA or math.....	1	0	d	
d. Differentiate instruction for English learners.....	1	0	d	na
e. Differentiate instruction for students with disabilities.....	1	0	d	na
f. Collaborate with other school staff.....	1	0	d	

4-6. [So far this school year (2013-14), how many times have you been/Last school year (2012-13), how many times were you] formally observed by a school administrator, coach, mentor or peer for the purpose of evaluating your performance?

*(Please consider only instances of formal observations conducted in your classroom. Formal observations are standardized using an instrument, rubric or checklist.)*

SELECT ONE ONLY

- Never ..... 0 → Skip to 4-10
- Once..... 1
- Twice..... 2
- 3 times ..... 3
- 4 or more times ..... 4

4-7. Indicate to what extent you agree or disagree with each of the following statements about the formal observations of your teaching.

SELECT ONE RESPONSE IN EACH ROW

	DISAGREE STRONGLY	DISAGREE SOMEWHAT	AGREE SOMEWHAT	AGREE STRONGLY
a. I had a clear sense of what kinds of things the observers were looking for when they observed my teaching.....	1	2	3	4
b. The people who observed my teaching are well qualified to evaluate it .....	1	2	3	4

4-8. [So far this school year (2013-14), how many times have you received/During last school year (2012-13), how many times did you receive] any of the following based on the formal observation(s)?

SELECT ONE RESPONSE IN EACH ROW

	NEVER	ONCE	TWICE	3 TIMES	4 OR MORE TIMES
a. You received oral feedback .....	0	1	2	3	4
b. You received written feedback .....	0	1	2	3	4
c. You received specific suggestions or coaching on how to improve your teaching.....	0	1	2	3	4
d. You received recommendations for resources (e.g., professional development, materials, lesson examples) to use to improve your teaching.....	0	1	2	3	4

**4-9. Indicate to what extent you agree or disagree with each of the following statements about the feedback you received based on the formal observation(s) of your teaching.**

SELECT ONE RESPONSE IN EACH ROW

	DISAGREE STRONGLY	DISAGREE SOMEWHAT	AGREE SOMEWHAT	AGREE STRONGLY
a. The feedback was based on the teacher professional practice rubric used to assess my teaching.....	1	2	3	4
b. The feedback pointed out specific examples of strengths or weaknesses that were observed .....	1	2	3	4
c. The feedback provided specific ideas about how I could improve my instruction .....	1	2	3	4
d. The feedback was a fair assessment of my teaching .....	1	2	3	4

**4-10. [During this school year (2013-14), will/During last school year (2012-13), did] your performance evaluation include measures of student achievement growth using value added measures (VAMs) or student growth percentiles (SGPs) for your own students and/or for a broader group of students?**

SELECT ONE RESPONSE IN EACH ROW

	YES	NO
a. VAMs or SGPs for your own students are included in your performance evaluation .....	1	0
b. VAMs or SGPs for a broader group than your own students, for example, a team, grade, or school, are included in your performance evaluation .....	1	0

**4-11. [During this school year (2013-14), will/During last school year (2012-13), did] your performance evaluation include whether your students [meet/met] student learning objectives or learning goals that you set at the beginning of the school year (perhaps in consultation with your principal)?**

Yes ..... 1  
 No ..... 0  
 DON'T KNOW ..... d

The next several questions include items about student achievement growth more generally. Student achievement growth may be measured using student growth percentiles (SGPs), value added measures (VAMs), student learning objectives (SLOs), student growth objectives (SGOs), or other measures of change in student achievement over time.

4-12. Please indicate to what extent you agree or disagree with each of the following statements about your performance evaluation for [this school year (2013-14)/last school year (2012-13)].

*(Select NA, where available, if student achievement growth is not used in your performance evaluation.)*

SELECT ONE RESPONSE IN EACH ROW

	DISAGREE STRONGLY	DISAGREE SOMEWHAT	AGREE SOMEWHAT	AGREE STRONGLY	NA
a. Student achievement growth for my students is a fair way to assess my contribution to student achievement .....	1	2	3	4	na
b. My overall evaluation covers all important aspects of my performance as a teacher.....	1	2	3	4	
c. In the long run, students will benefit from including measures of student achievement growth in the evaluations of teachers.....	1	2	3	4	na

4-13. [Will/Were] your performance evaluation results for [this school year (2013-14) be/last school year (2012-13)] used to inform any of the following decisions?

SELECT ONE RESPONSE  
IN EACH ROW

YES	NO	DON'T KNOW
-----	----	------------

**Evaluation results will be used to inform decisions about:**

a. Feedback provided on your professional practice .....	1	0	d
b. Planning your professional development .....	1	0	d
c. Developing a performance improvement plan .....	1	0	d
d. Setting goals for student achievement growth for the next school year .....	1	0	d
e. Determining whether you should receive coaching, mentoring, or peer assistance .....	1	0	d
f. Determining your annual salary increase .....	1	0	d
g. Determining whether you receive a bonus or performance-based compensation other than a salary increase .....	1	0	d

4-14. [Could/Were] teacher evaluation results for [this school year (2013-14) be/last school year (2012-13)] used to inform any of the following decisions?

*(Select NA, where available, if tenure is not offered in your district or school.)*

SELECT ONE RESPONSE IN EACH ROW

YES	NO	DON'T KNOW	NA
-----	----	------------	----

**Evaluation results could be used to inform decisions about:**

a. Recognizing high-performing teachers .....	1	0	d	
b. Granting tenure or similar job protection .....	1	0	d	na
c. Career advancement opportunities, such as teacher leadership roles .....	1	0	d	
d. Determining whether a teacher is eligible to transfer to other schools .....	1	0	d	
e. Loss of tenure or similar job protection .....	1	0	d	na
f. How potential layoffs in your district could affect teachers .....	1	0	d	
g. Dismissal or terminating employment for cause .....	1	0	d	



**4-15. During this school year (2013-14) and including last summer (2013), did you receive professional development on any of the following topics?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO	DON'T KNOW
a. The components of the teacher evaluation system used in your school.....	1	0	d
b. The teacher professional practice rubric, including specific examples of performance at various rating levels for each item in the rubric.....	1	0	d
c. Creating student learning objectives and/or measures of student achievement growth .....	1	0	d
d. How a teacher's contribution to student achievement growth is defined and measured .....	1	0	d

**4-16. During this school year (2013-14) and including last summer (2013), about how many hours of professional development on the teacher evaluation system did you participate in?**

*(If you did not participate in any professional development on the teacher evaluation system during this period, please enter "0" below. Your best estimate is fine.)*

\_\_\_\_\_ HOURS

**4-17. During this school year (2013-14), have you received or had access to any of the following materials or events to help you understand the system for evaluating your performance?**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. A website or page dedicated to providing information on the evaluation system....	1	0
b. An information session at your school or in your district .....	1	0
c. A hot line, email address, or web form for questions about the evaluation system .....	1	0
d. Regular reports on the progress of planning or implementing the system .....	1	0
e. A manual or handbook describing how the evaluation system is intended to operate.....	1	0
f. Examples of what different levels of performance as defined by the system look like in practice .....	1	0

**[WEB PROGRAMMING NOTE: IF TEACHER NOT EVALUATED THIS YEAR (4-2=0 OR d) SKIP QUESTION 4-18.]**

**4-18. Please indicate to what extent you agree or disagree with each of the following statements about your understanding of the system that will be used to evaluate your performance this school year (2013-14).**

SELECT ONE RESPONSE IN EACH ROW

	DISAGREE STRONGLY	DISAGREE SOMEWHAT	AGREE SOMEWHAT	AGREE STRONGLY
a. I have a good understanding of the procedures involved in the evaluation system.....	1	2	3	4
b. I have a good understanding of how the performance levels are defined .....	1	2	3	4
c. It is clear to me what I need to do to get the performance rating I want .....	1	2	3	4
d. Overall, I have a good understanding of the evaluation system .....	1	2	3	4

**Professional Development**

**4-19. During this school year (2013-14), have you had access to professional development that is specifically linked to areas for improvement identified either by formal observations of your practice this year or by your performance evaluation last school year?**

*(Select NA if you have not had a formal observation of your practice this year or a completed performance evaluation for last school year.)*

	SELECT ONE RESPONSE IN EACH ROW		
	YES	NO	NA
a. An online resource that identifies professional development opportunities linked to my specific areas for improvement.....	1	0	na
b. The principal or another school leader identifies professional development opportunities linked to my specific areas for improvement.....	1	0	na
c. A video library that illustrates teaching practices consistent with higher ratings on specific items on the teacher professional practice rubric .....	1	0	na
d. Self-paced, internet-based professional development modules linked to my specific areas for improvement.....	1	0	na

**4-20. Thinking now about how decisions about professional development are made, to what extent were you able to choose the content or focus of the professional development in which you participated during this school year (2013-14) and including last summer (2013)?**

*(Select only one response that best describes the amount of choice you had in selecting professional development content/focus.)*

SELECT ONE ONLY

- All professional development content/focus was assigned by others (e.g. school or district leaders)..... 1
- I was able to choose the content/focus of a small part of the professional development in which I participated..... 2
- I was able to choose the content/focus of a large part of the professional development in which I participated..... 3
- I was able to choose the content/focus of all the professional development in which I participated..... 4

**4-21. During this school year (2013-14), does your school have an instructional coach available to help you improve your teaching?**

*(An instructional coach provides intensive, on-site support to teachers to help them improve instructional practice. For this survey, instructional coaches do not include mentors exclusively assigned to help new teachers, or to assist struggling teachers placed in a peer assistance program.)*

- Yes ..... 1  
 No ..... 0 → Skip to 4-23  
 DON'T KNOW ..... d → Skip to 4-23

**4-22. During this school year (2013-14), how many times have you worked one-on-one or in a small group with an instructional coach on any of the following topics?**

*(Select NA, where available, if you do not teach any English learners or students with disabilities.)*

SELECT ONE RESPONSE IN EACH ROW

	NEVER	ONCE	TWICE	3-4 TIMES	5 OR MORE TIMES	NA
a. Implementing the [CCSS/CURRENT STATE CONTENT STANDARDS] in ELA or math.....	0	1	2	3	4	
b. Adapting instruction to the needs of English learners .....	0	1	2	3	4	na
c. Adapting instruction to the needs of students with disabilities.....	0	1	2	3	4	na
d. Using assessment results to plan instruction .....	0	1	2	3	4	
e. Understanding how the state or district measures student achievement growth .....	0	1	2	3	4	
f. Improving your content knowledge .....	0	1	2	3	4	
g. Improving your classroom management or relationships with students .....	0	1	2	3	4	

**4-23. During this school year (2013-14), do you and other teachers have common planning time to meet in teams?**

- Yes ..... 1  
 No ..... 0 → Skip to 4-26

**4-24. How often do you have common planning time with other teachers in your school?**

SELECT ONE ONLY

- Daily ..... 1
- Several times per week..... 2
- Once per week..... 3
- Several times per month ..... 4
- Several times per year ..... 5

**4-25. Does your school require that you participate in common planning time?**

- Yes ..... 1
- No ..... 0

**4-26. During this school year (2013-14), about how often have you engaged in any of the following activities with other teachers?**

SELECT ONE RESPONSE IN EACH ROW

	NEVER	SEVERAL TIMES PER YEAR	SEVERAL TIMES PER MONTH	ONCE PER WEEK	SEVERAL TIMES PER WEEK	DAILY
a. Received feedback on your teaching practice from colleagues .....	0	1	2	3	4	5
b. Planned lessons or courses with teachers of the same grade or subject .....	0	1	2	3	4	5
c. Developed materials or activities for particular classes or lessons with teachers of the same grade or subject .....	0	1	2	3	4	5
d. Discussed learning needs of individual students with colleagues .....	0	1	2	3	4	5
e. Discussed student assessment results with colleagues.....	0	1	2	3	4	5
f. Exchanged feedback with colleagues based on observing in each other's classrooms.....	0	1	2	3	4	5
g. Learned from high-performing or highly rated teachers in your school or district.....	0	1	2	3	4	5

**School Climate**

**4-27. Indicate to what extent you agree or disagree with each of the following statements about your school’s climate.**

SELECT ONE RESPONSE IN EACH ROW

	DISAGREE STRONGLY	DISAGREE SOMEWHAT	AGREE SOMEWHAT	AGREE STRONGLY
a. There is an atmosphere of trust and mutual respect at my school .....	1	2	3	4
b. Teachers at my school support each other in their efforts to improve teaching.....	1	2	3	4
c. The principal has confidence in the expertise of teachers at my school .....	1	2	3	4
d. The method of teacher performance evaluation encourages teachers to cooperate rather than compete .....	1	2	3	4
e. My principal is responsive to teachers’ input .....	1	2	3	4
f. Teachers can make up for most of the deficits and limitations that students bring with them to school.....	1	2	3	4

**Section 5. Arts Education**

**IF YOU DO NOT TEACH STUDENTS IN ELEMENTARY GRADES, SKIP TO QUESTION 6-1.**  
**IF YOU DID NOT TEACH AT THIS SCHOOL DURING THE 2012-13 SCHOOL YEAR, SKIP TO QUESTION 5-4.**  
**OTHERWISE, PROCEED TO QUESTION 5-1.**

**5-1. During the 2012-13 school year, how many minutes per week did a typical student in your grade or class spend in arts education?**

*(Enter the number of minutes. If arts education is offered for part of the year, answer for the weeks the arts classes take place. Your best estimate is fine.)*

\_\_\_\_\_ MINUTES PER WEEK

It varies by arts education subject (specify minutes per week for each subject)

\_\_\_\_\_

DON'T KNOW ..... d

**5-2. During the 2012-13 school year, how often did a typical student in your grade or class receive instruction designated specifically as arts education?**

*(If arts education is offered for part of the year, answer for the weeks the arts classes take place.)*

SELECT ONE ONLY

Every day ..... 1

3 or 4 times per week ..... 2

Once or twice per week ..... 3

Less than once per week ..... 4

It varies by arts education subject (specify frequency for each subject) ..... 5

\_\_\_\_\_

Not at all ..... 0 → Skip to 5-4

DON'T KNOW ..... d → Skip to 5-4

5-3. During the 2012-13 school year, for what part of the school year does the arts education class last for a typical student in your grade or class (i.e., does a typical student receive arts instruction throughout the full school year or only for some portion of the year)?

*(If different types of arts education classes are offered for different parts of the year, add together part-year offerings. If one arts class is full-year, select "the entire school year.")*

SELECT ONE ONLY

- The entire school year ..... 1
  - Half of the school year ..... 2
  - One-quarter of the school year ..... 3
  - Less than one quarter of the school year ..... 4
  - It varies by arts education subject (specify part of school year for each subject)..... 5
- 
- DON'T KNOW ..... d

5-4. During this school year (2013-14), how many minutes per week does a typical student in your grade or class spend in arts education?

*(Enter the number of minutes. If arts education is offered for part of the year, answer for the weeks the arts classes take place. Your best estimate is fine.)*

\_\_\_\_\_ MINUTES PER WEEK

It varies by arts education subject (specify minutes per week for each subject)

---

DON'T KNOW ..... d

5-5. During this school year (2013-14), how often does a typical student in your grade or class receive instruction designated specifically as arts education?

*(If arts education is offered for part of the year, answer for the weeks the arts classes take place.)*

SELECT ONE ONLY

- Every day ..... 1
- 3 or 4 times per week ..... 2
- Once or twice per week ..... 3
- Less than once per week ..... 4
- It varies by arts education subject (specify frequency for each subject) ..... 5

---

Not at all ..... 0 → Skip to 6-1

DON'T KNOW ..... d → Skip to 6-1



5-6. During this school year (2013-14), for what part of the school year does the arts education class last for a typical student in your grade or class (i.e., does a typical student receive arts instruction throughout the full school year or only for some portion of the year)?

*(If different types of arts education classes are offered for different parts of the year, add together part-year offerings. If one arts class is full-year, select "the entire school year.")*

SELECT ONE ONLY

- The entire school year ..... 1
- Half of the school year ..... 2
- One-quarter of the school year ..... 3
- Less than one quarter of the school year ..... 4
- It varies by arts education subject (specify part of school year for each subject)..... 5

---

- DON'T KNOW ..... d

**Section 6. Background**

**6-1. Including the current school year, how many years of teaching experience do you have in each of the following settings?  
(Count part of a year as one year; do not give fractions or months.)**

	YEARS
a. Total number of years teaching .....	_____
b. Total number of years teaching in your current district .....	_____
c. Total number of years teaching in your current school .....	_____

**6-2. What is your main role in this school?**

SELECT ALL THAT APPLY

- General education classroom teacher ..... 1
- Special education classroom teacher ..... 2
- Resource room teacher ..... 3
- Related service provider (e.g., speech therapist) ..... 4
- Program specialist (e.g., full inclusion specialist) ..... 5
- Other (specify) ..... 6

\_\_\_\_\_

**6-3. Please indicate which of the following subjects you are teaching during this school year.**

SELECT ONE RESPONSE  
IN EACH ROW

	YES	NO
a. English language arts (ELA) .....	1	0
b. Math.....	1	0
c. Science .....	1	0
d. Social studies/history .....	1	0
e. Special education .....	1	0
f. English as a second language .....	1	0
g. Other .....	1	0

**6-4. Please indicate in what grades you are teaching during this school year.**

SELECT ALL THAT APPLY

- Kindergarten ..... K
- First grade ..... 1
- Second grade ..... 2
- Third grade ..... 3
- Fourth grade ..... 4
- Fifth grade ..... 5
- Sixth grade ..... 6
- Seventh grade ..... 7
- Eighth grade ..... 8
- Ninth grade ..... 9
- Tenth grade ..... 10
- Eleventh grade ..... 11
- Twelfth grade ..... 12

**6-5. How would you classify your main teaching assignment at this school, that is, the activity at which you spend most of your time during the current school year (2013-14)?**

SELECT ONE ONLY

- Full-time teacher working only at this school ..... 1
- Part-time teacher working only at this school ..... 2
- Itinerant teacher (e.g., your assignment requires that you provide instruction at more than one school) ..... 3
- Long-term substitute (e.g., your assignment requires that you fill the role of a regular teacher on a long-term basis, but you are still considered a substitute) ..... 4
- Other (specify) ..... 5

---

**6-6. Of the students you are teaching this school year, what percent are English learners?**

SELECT ONE ONLY

- None ..... 0
- 1 to 24 percent ..... 1
- 25 to 49 percent ..... 2
- 50 to 99 percent ..... 3
- 100 percent..... 4
- DON'T KNOW ..... d

**6-7. Of the students you are teaching this school year, what percent are students with disabilities?**

SELECT ONE ONLY

- None ..... 0 → Skip to 6-9
- 1 to 9 percent ..... 1
- 10 to 24 percent ..... 2
- 25 to 49 percent ..... 3
- 50 to 99 percent ..... 4
- 100 percent..... 5
- DON'T KNOW ..... d

**6-8. Do you teach students with disabilities in a self-contained classroom or an inclusion classroom?**

SELECT ONE ONLY

- Self-contained classroom ..... 1
- Inclusion classroom ..... 2
- Both ..... 3

**6-9. What is the highest degree you have earned?**

SELECT ONE ONLY

- Do not have a degree ..... 0
- Associate's degree ..... 1
- Bachelor's degree (B.A., B.S., etc.)..... 2
- Master's degree (M.A., M.A.T., M.Ed., M.S., etc.) ..... 3
- Educational specialist or professional diploma (at least one year beyond master's level) ..... 4
- Doctorate or first professional degree (Ph.D., Ed.D., M.D., L.L.B., J.D., D.D.S., M.B.A.) ... 5

**6-10. Which of the following describes the teaching certificate you currently hold in this state?**

SELECT ONE ONLY

- Regular or standard state certificate or advanced professional certificate ..... 1
- Certificate issued after satisfying all requirements except the completion of a probationary period ..... 2
- Certificate that requires some additional coursework, student teaching, or passage of a test before regular certification can be obtained ..... 3
- Certificate issued to persons who must complete a certification program in order to continue teaching ..... 4
- I do not hold any of the above certifications in this state ..... 0

**6-11. Are you male or female?**

- Male ..... 1
- Female ..... 2

**6-12. Are you of Hispanic or Latino origin?**

- Yes ..... 1
- No ..... 0

**6-13. What is your race?**

SELECT ALL THAT APPLY

- American Indian or Alaska Native ..... 1
- Asian ..... 2
- Black or African American ..... 3
- Native Hawaiian or Other Pacific Islander ..... 4
- White ..... 5

**6-14. Do you speak any language other than English, either in the classroom or outside the classroom, such as at home?**

SELECT ALL THAT APPLY

- Yes, Spanish ..... 1
- Yes, some other language ..... 2
- No ..... 0

**Thank you for completing this survey.**

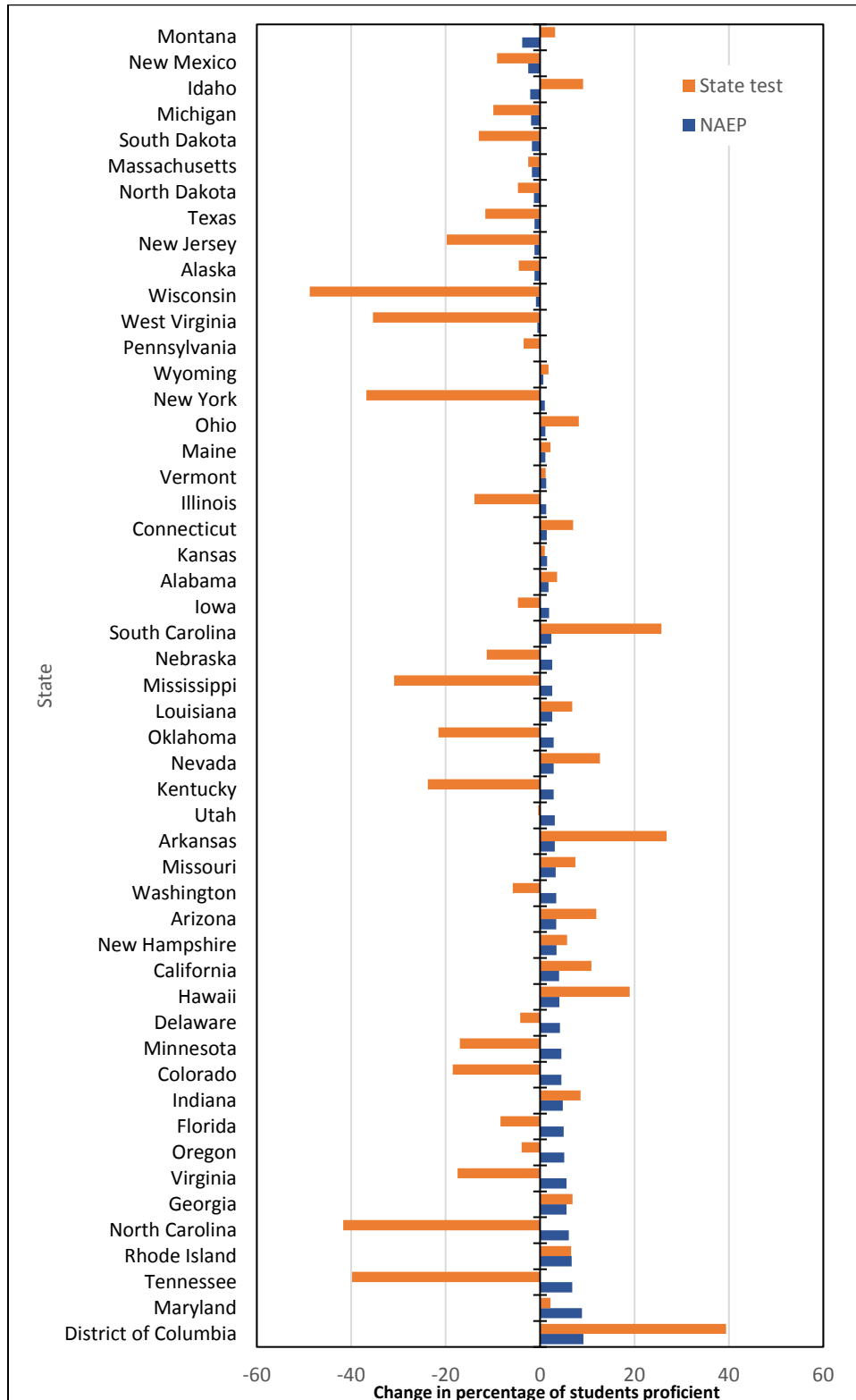
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**Appendix C**  
**Exhibits for Trends in Student Proficiency Rates**

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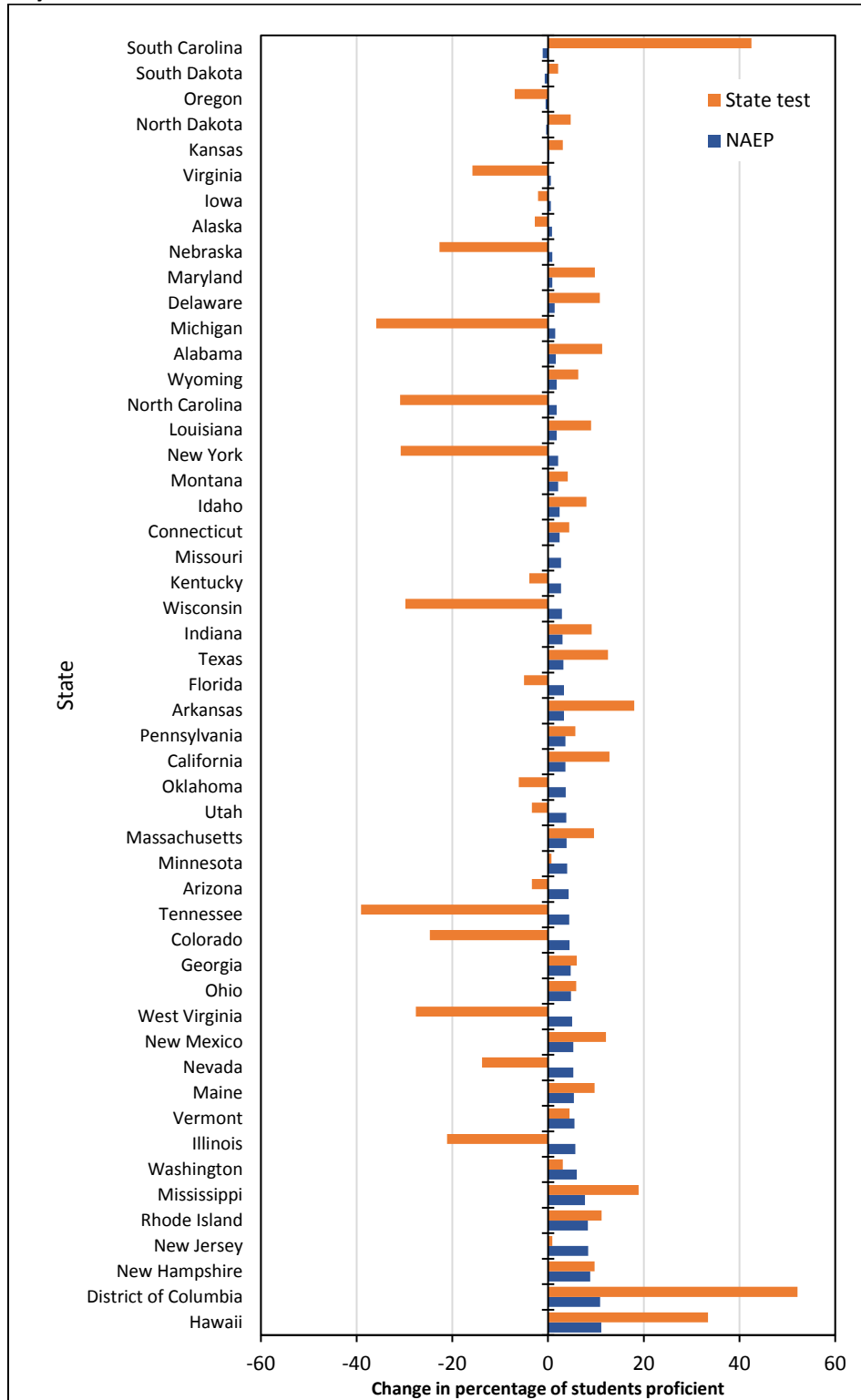
**Exhibit C.1. Changes in public school 4th-grade reading proficiency rates between 2007 and 2013, by state**



Note: States are sequenced from largest decline in NAEP proficiency rate to largest increase. Proficiency rates include students who score at or above proficient.

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2007 and 2013 Math Assessments, NAEP Data Explorer. See *Digest of Education Statistics 2007 and 2013*, tables 128 and 222.50. U.S. Department of Education, state achievement test data, 2007 and 2013, ED Data Express, State Tables. ED Facts Consolidated State Performance Reports, 2006–07 and 2012–13: <http://www2.ed.gov/admins/lead/account/consolidated/sy13-14part1/index.html>

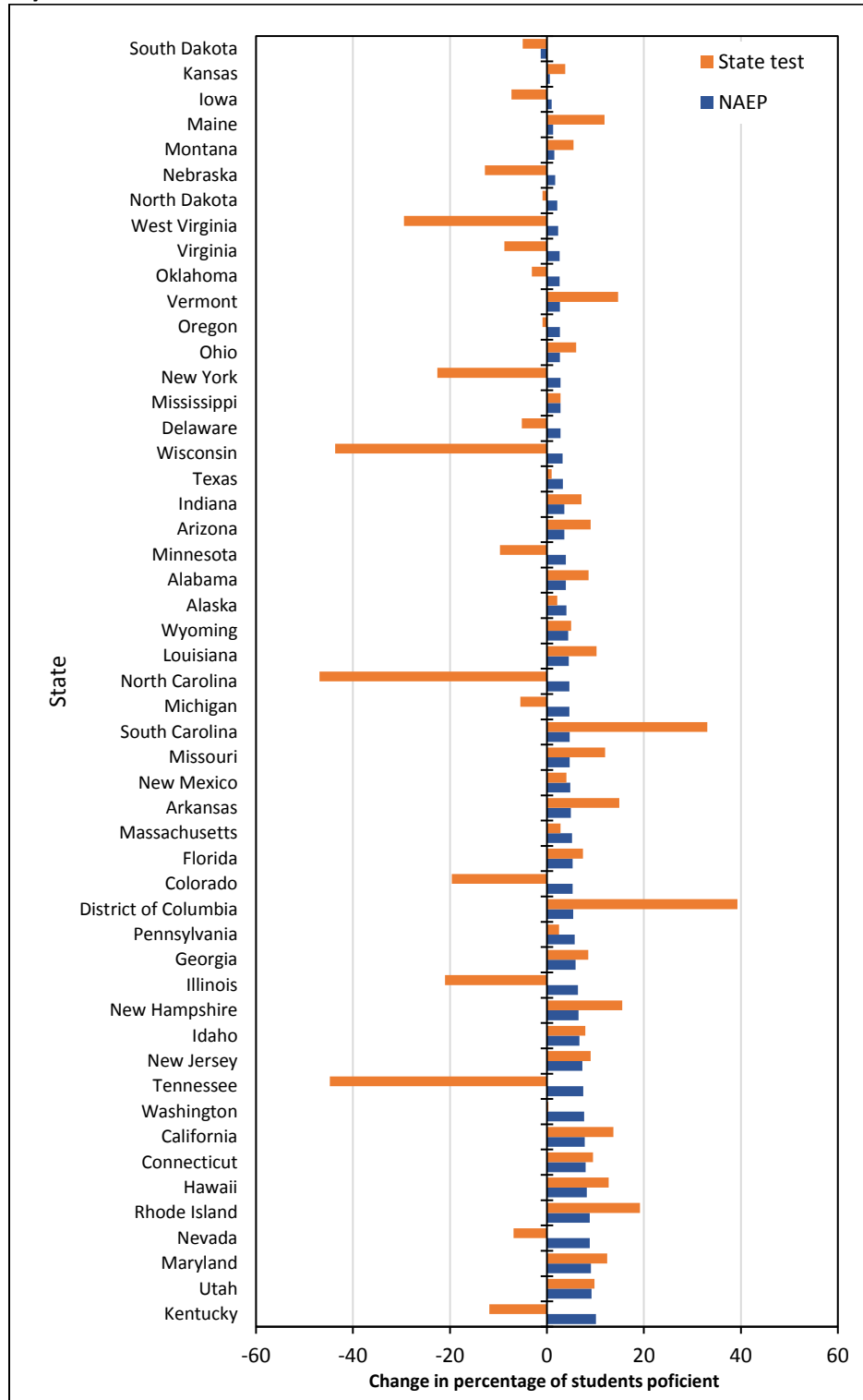
**Exhibit C.2. Changes in public school 8th-grade math proficiency rates between 2007 and 2013, by state**



Note: States are sequenced from largest decline in NAEP proficiency rate to largest increase. Proficiency rates include students who score at or above proficient.

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2007 and 2013 Math Assessments, NAEP Data Explorer. See *Digest of Education Statistics 2007 and 2013*, tables 128 and 222.50. U.S. Department of Education, state achievement test data, 2007 and 2013, ED Data Express, State Tables. ED Facts Consolidated State Performance Reports, 2006–07 and 2012–13: <http://www2.ed.gov/admins/lead/account/consolidated/sy13-14part1/index.html>

**Exhibit C.3. Changes in public school 8th-grade reading proficiency rates between 2007 and 2013, by state**



Note: States are sequenced from largest decline in NAEP proficiency rate to largest increase. Proficiency rates include students who score at or above proficient.

Source: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2007 and 2013 Math Assessments, NAEP Data Explorer. See *Digest of Education Statistics 2007 and 2013*, tables 128 and 222.50. U.S. Department of Education, state achievement test data, 2007 and 2013, ED Data Express, State Tables. ED Facts Consolidated State Performance Reports, 2006–07 and 2012–13: <http://www2.ed.gov/admins/lead/account/consolidated/sy13-14part1/index.html>

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**Appendix D**  
**Exhibits for Content Standards and Assessments**

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**Exhibit D.1. Number of states that required districts to fully implement reading/ELA and math curricula aligned with the state content standards: 2013–14**

Full implementation required in all grades in the following group	Number of states	
	Reading/ELA	Math
Kindergarten	26	26
Grades 1–2	26	26
Grades 3–8	26	26
Grades 9–12	26	25
State did not require full implementation in any grade	24	24
<b>Number of states</b>	<b>51</b>	<b>51</b>

Note: States relied on their own definition of full implementation when answering the question about whether districts were required to fully implement curricula aligned with the state content standards.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit D.2. Percentage of teachers who received professional development on selected topics related to the state content standards for reading/ELA or math during summer 2013 or the 2013–14 school year, by school grade span and Title I status**

Professional development topic	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
Information about the state content standards, such as content covered at each grade level and instructional changes or shifts required	84	86	77	71*	72	69
Instructional strategies consistent with the state content standards, such as model lessons or designing student work	71	79*	73	62*	75	62*
Monitoring alignment of instruction with the state content standards, such as the use of observation protocols	59	62	56	50	54	46*
Adapting instruction to help SWDs meet the state content standards	34	33	41	34	42	34*
Adapting instruction to help ELs meet the state content standards	37	33	38	26*	39	28*
None of the above	10	6*	11	19*	12	20*
<b>Number of teachers</b>	<b>897,130</b>	<b>319,186</b>	<b>243,729</b>	<b>214,611</b>	<b>154,750</b>	<b>371,144</b>
<b>Number of teachers (unweighted)</b>	<b>2,571</b>	<b>839</b>	<b>681</b>	<b>504</b>	<b>495</b>	<b>934</b>

\* Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.



**Exhibit D.3. Percentage of teachers who reported planning lessons or courses with teachers of the same grade or subject at least weekly, by school grade span and Title I status: 2013–14**

Weekly planning	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
Planned lessons or courses with teachers of the same grade or subject	49	56*	42	38	34	30
<b>Number of teachers</b>	<b>872,807</b>	<b>312,279</b>	<b>237,280</b>	<b>208,384</b>	<b>149,311</b>	<b>360,842</b>
<b>Number of teachers (unweighted)</b>	<b>2,498</b>	<b>820</b>	<b>660</b>	<b>487</b>	<b>475</b>	<b>909</b>

\* Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.4. Percentage of teachers who conducted instructional activities aligned with college- and career-ready standards at least weekly during their classroom instruction, by teacher's primary subject taught: 2013–14**

Instructional activity	Percent of teachers by primary subject taught						
	All teachers	Reading/ ELA	Math	Science	Social studies	General elementary	Special education
Used nonfictional informational texts such as historical, scientific, or technical narratives in your instruction	64	61	21*	59	76*	78*	54*
Provided opportunities for students to apply math concepts in real-world situations	62	16*	83*	56*	17*	80*	62
In classroom discussions, required students to practice using evidence from both literary and informational texts	60	78*	19*	38*	60	72*	54*
Required students to demonstrate conceptual math understanding through complex problem solving	57	13*	84*	47*	13*	77*	49*
Created assignments that required students to use information from literary or informational texts to complete	56	80*	17*	48*	61	61*	49*
Required students to include evidence from informational or literary texts in their writing	53	77*	14*	41*	58*	58*	48*
Used nonfiction literary texts such as essays, speeches, arguments, art reviews, or memoirs in your instruction	29	46*	7*	16*	52*	27	28
None of the above	8	7*	10	14*	14*	4*	15*
Any of the above	92	93	90	86*	86*	96*	85*
<b>Number of teachers</b>	<b>2,276,103</b>	<b>324,579</b>	<b>271,114</b>	<b>200,354</b>	<b>185,569</b>	<b>989,029</b>	<b>305,459</b>
<b>Number of teachers (unweighted)</b>	<b>6,221</b>	<b>907</b>	<b>739</b>	<b>557</b>	<b>478</b>	<b>2,711</b>	<b>829</b>

\* Percentage is significantly different from percentage for all teachers ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

D-6

**Exhibit D.5. Percentage of teachers who conducted instructional activities aligned with college- and career-ready standards at least weekly during their classroom instruction by school grade span and Title I status: 2013–14**

Instructional activity	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
Used nonfictional informational texts such as historical, scientific, or technical narratives in your instruction	73	76	55	57	52	47
Provided opportunities for students to apply math concepts in real-world situations	76	77	52	45*	44	42
In classroom discussions, required students to practice using evidence from both literary and informational texts	68	72	56	51	54	44*
Required students to demonstrate conceptual math understanding through complex problem solving	71	73	45	40	41	37
Created assignments that required students to use information from literary or informational texts to complete	59	62	56	53	54	45*
Required students to include evidence from informational or literary texts in their writing	57	58	53	50	48	41*
Used nonfiction literary texts such as essays, speeches, arguments, art reviews, or memoirs in your instruction	27	27	32	29	37	28*
None of the above	6	5	9	9	12	14
Any of the above	94	95	91	91	88	86
<b>Number of teachers</b>	<b>893,976</b>	<b>318,095</b>	<b>243,906</b>	<b>212,742</b>	<b>153,861</b>	<b>368,748</b>
<b>Number of teachers (unweighted)</b>	<b>2,564</b>	<b>836</b>	<b>681</b>	<b>499</b>	<b>490</b>	<b>929</b>

\* Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.6. Percentage of teachers who conducted instructional activities aligned with college- and career-ready standards at least weekly during their classroom instruction, by state ESEA flexibility and Race to the Top status: 2013–14**

Instructional activity	Percent of teachers in			
	All teachers	States with ESEA flexibility and RTT 1 or 2 grant	Other states and districts with ESEA flexibility	States and districts without ESEA flexibility
Used nonfictional informational texts such as historical, scientific, or technical narratives in your instruction	64	67	63*	60*
Provided opportunities for students to apply math concepts in real-world situations	62	65	62	55*†
In classroom discussions, required students to practice using evidence from both literary and informational texts	60	68	58*	55*
Required students to demonstrate conceptual math understanding through complex problem solving	57	63	56*	49*†
Created assignments that required students to use information from literary or informational texts to complete	56	64	54*	49*
Required students to include evidence from informational or literary texts in their writing	53	61	50*	47*
Used nonfiction literary texts such as essays, speeches, arguments, art reviews, or memoirs in your instruction	29	30	29	24*†
None of the above	8	7	8	12*†
Any of the above	92	93	92	87*†
<b>Number of teachers</b>	<b>2,276,103</b>	<b>628,176</b>	<b>1,338,059</b>	<b>309,868</b>
<b>Number of teachers (unweighted)</b>	<b>6,221</b>	<b>1,675</b>	<b>3,806</b>	<b>740</b>

\* Percentage is significantly different from percentage for states with ESEA flexibility and RTT 1 or 2 grant ( $p < .05$ ).

† Percentage is significantly different from other states and districts with ESEA flexibility ( $p < .05$ ).

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. The sampled California districts that were approved for flexibility in August 2013 are also included.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.7. Percentage of teachers who reported classroom visits by staff to observe alignment of instruction with state reading/ELA or math content standards, by school grade span and Title I status: 2013–14**

Classroom visit	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
Visited by staff to see how teacher's instruction aligned with state content standards	70	68	66	55*	59	49*
<b>Number of teachers</b>	<b>896,107</b>	<b>318,654</b>	<b>243,180</b>	<b>214,123</b>	<b>153,768</b>	<b>370,054</b>
<b>Number of teachers (unweighted)</b>	<b>2,567</b>	<b>838</b>	<b>679</b>	<b>502</b>	<b>493</b>	<b>933</b>

\* Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Note: Staff include central office staff, a school administrator, coach, mentor teacher, or other instructional leader.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.8. Percentage of teachers reporting major challenges to implementing the state content standards in reading/ELA or math, by school grade span and Title I status: 2013–14**

Challenge	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
<b>Specific challenges</b>						
The additional work required to modify curriculum and lesson plans within tight timeframes	57	60	55	55	49	55
Insufficient time for professional development	39	37	42	43	37	42
Lack of instructional materials aligned with the state content standards	36	33	38	32	30	35
Insufficient information available about how to revise lessons and instructional materials to meet the state content standards	27	23	29	26	30	32
Lack of school staff who can mentor or serve as a resource to teachers about the state content standards	27	18*	27	28	33	32
Professional development that is weak or poorly aligned with instructional needs	26	21*	29	24	30	32
Lack of guidance or support from the district or school	20	15*	21	16	23	24
Community concerns or opposition to the state content standards	12	15*	12	11	12	17
None of the above	24	23	23	24	30	26
<b>Overall challenge</b>						
Challenge incorporating the state content standards into your instruction (overall rating)	19	15*	25	17*	19	26*
<b>Number of teachers</b>	<b>893,783</b>	<b>317,571</b>	<b>243,509</b>	<b>212,046</b>	<b>153,666</b>	<b>368,459</b>
<b>Number of teachers (unweighted)</b>	<b>2,563</b>	<b>834</b>	<b>680</b>	<b>499</b>	<b>489</b>	<b>928</b>

\*Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.9. Number of states using extended constructed responses on reading/ELA or math summative assessments and high school end-of-year course and exit exams in grades used for accountability testing, overall and by state participation in spring 2014 consortia assessment pilot: 2013–2014**

Subject & grade span	Number of states		
	All states	Consortia assessment states	Other states
<b>Reading/ELA</b>			
Grades 3–5	24	16	8
Grades 6–8	26	17	9
High school	36	22	14
<b>Math</b>			
Grades 3–5	19	13	6
Grades 6–8	19	14	5
High school	19	13	6
<b>Number of states</b>	<b>51</b>	<b>31</b>	<b>20</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit D.10. Percentage of ESEA-tested teachers who took selected actions to prepare students for required state summative assessments in reading/ELA or math, by grade span: 2013–14**

Action to prepare students	All ESEA-tested teachers	Percent of teachers in		
		Elementary schools	Middle schools	High schools
Taught test-taking skills to students	86	89	88	79*†
Strengthened coursework in areas with statewide assessments	84	88	88	71*†
Identified students likely to score below state proficiency levels for additional help	84	91	88	67*†
Provided opportunities for students to take practice statewide assessments on paper	68	72	71	58*†
Provided opportunities for students to take practice statewide assessments online	48	54	49*	39*†
<b>Number of teachers</b>	<b>1,384,358</b>	<b>638,627</b>	<b>366,947</b>	<b>317,594</b>
<b>Number of teachers (unweighted)</b>	<b>3,756</b>	<b>1,779</b>	<b>971</b>	<b>844</b>

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

Notes: The “All” column includes ESEA-tested teachers in other schools (e.g., schools that span multiple levels such as K–12 schools).

Exhibit is limited to ESEA-tested teachers. These are teachers who were identified by their school as teachers who taught a class whose students were tested for accountability purposes.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.



**Exhibit D.11. Percentage of teachers who took selected actions to prepare students for required state summative assessments in reading/ELA or math, by grade span and Title I status: 2013–14**

Action to prepare students	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
Strengthened coursework in areas with statewide assessments	81	85*	86	84	71	71
Taught test taking skills to students	81	82	89	87	83	76*
Provided opportunities for students to take practice statewide assessments on paper	54	58	72	66	63	54*
Provided opportunities for students to take practice statewide assessments online	40	41	49	46	40	36
Identified students likely to score below state proficiency levels for additional help	85	85	89	82*	69	62
<b>Number of teachers</b>	<b>882,916</b>	<b>314,208</b>	<b>240,664</b>	<b>213,575</b>	<b>152,097</b>	<b>363,573</b>
<b>Number of teachers (unweighted)</b>	<b>2,526</b>	<b>826</b>	<b>671</b>	<b>500</b>	<b>482</b>	<b>917</b>

\* Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.12. Percentage of teachers who took selected actions to prepare students for required state summative assessments in reading/ELA or math, by state ESEA flexibility and Race to the Top status: 2013–14**

Action to prepare students	Percent of teachers in			
	All teachers	States with ESEA flexibility and RTT 1 or 2 grant	Other states and districts with ESEA flexibility	States and districts without ESEA flexibility
Taught test-taking skills to students	82	86	82*	73*†
Strengthened coursework in areas with statewide assessments	80	84	81*	69*†
Identified students likely to score below state proficiency levels for additional help	80	84	81	67*†
Provided opportunities for students to take practice statewide assessments on paper	59	67	59*	44*†
Provided opportunities for students to take practice statewide assessments online	41	41	41	42
<b>Number of teachers</b>	<b>2,250,083</b>	<b>616,850</b>	<b>1,327,144</b>	<b>306,754</b>
<b>Number of teachers (unweighted)</b>	<b>6,139</b>	<b>1,643</b>	<b>3,766</b>	<b>731</b>

† Percentage is significantly different from the percentage for other states and districts with ESEA flexibility ( $p < .05$ ).

\* Percentage is significantly different from percentage for states with ESEA flexibility and RTT 1 or 2 grant ( $p < .05$ ).

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. The sampled California districts that were approved for flexibility in August 2013 are also included.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.13. Percentage of districts by computer requirements for 2015 state summative assessments and reports of sufficient technological resources, overall and by district poverty status: 2013–14**

Computer requirement for 2015 assessments	Percent of districts		
	All districts	High-poverty districts <sup>1</sup>	Low-/medium-poverty districts
Among all districts			
Students will be required to take state assessments using computers	72	68	73
Students will not be required to take state assessments using computers	14	9	15
Districts that don't know if they are requiring computers	15	23	12
<b>Among districts where students would be required to use computers:<sup>2</sup></b>			
Reported having both computer resources and sufficient bandwidth	64	58	66
<b>Number of districts</b>	<b>560</b>	<b>266</b>	<b>294</b>

<sup>1</sup>High-poverty districts are those with a child poverty rate greater than 27.7 percent; all other districts are considered low- to medium-poverty districts. Twenty-five percent of students were enrolled in high-poverty districts. District poverty data was based on the US Census Bureau Small Area Income and Poverty Estimates Program (SAIPE) for districts included in the SAIPE program. For other districts, an imputation was done based on the district's percentage of students eligible for free or reduced-price lunch, or other means (using for example the poverty percentage for a SAIPE district in the same geographic area).

<sup>2</sup>Overall, 402 districts reported that students will be required to take state assessments using computers; 179 of them were high-poverty districts and 223 were low- to medium-poverty districts.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

**Exhibit D.14. Percentage of teachers reporting that they received various supports for using assessment data, by school grade span: 2013–14**

Type of support	Percent of teachers in			
	All teachers	Elementary schools	Middle schools	High schools
Professional development on using student assessment data to improve instruction	77	81	73*	70*
Web-based tools	60	60	64	56*†
Support from data experts who could address your questions	48	50	50	42*†
Worked with an instructional coach on using assessment results to plan instruction	37	45	33*	25*†
Manuals or guidebooks	36	40	35*	27*†
<b>Number of teachers</b>	<b>2,286,226</b>	<b>1,215,567</b>	<b>458,340</b>	<b>525,894</b>
<b>Number of teachers (unweighted)</b>	<b>6,248</b>	<b>3,407</b>	<b>1,185</b>	<b>1,429</b>

† Percentage is significantly different from percentage for middle schools ( $p < .05$ ).

\* Percentage is significantly different from percentage for elementary schools ( $p < .05$ ).

Note: The “All” column includes teachers in other schools (e.g., schools that span multiple levels such as K–12 schools).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.15. Percentage of teachers reporting that they received various supports for using assessment data, by school grade span and Title I status: 2013–14**

Type of support	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
Professional development on using student assessment data to improve instruction	80	82	75	71	78	67*
Web-based tools	60	59	63	65	64	52*
Support from data experts who could address your questions	50	51	50	49	55	37*
Worked with an instructional coach on using assessment results to plan instruction	46	42	40	25*	37	20*
Manuals or guidebooks	40	40	32	39*	34	24*
<b>Number of teachers</b>	<b>896,634</b>	<b>318,933</b>	<b>243,729</b>	<b>214,611</b>	<b>154,750</b>	<b>371,144</b>
<b>Number of teachers (unweighted)</b>	<b>2,569</b>	<b>838</b>	<b>681</b>	<b>504</b>	<b>495</b>	<b>934</b>

\* Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.16. Percentage of teachers reporting that they used assessment data for various purposes, by school grade span and Title I status: 2013–14**

Use of assessment data	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
To monitor student progress toward performance targets or learning goals	97	98	95	92	91	86*
To identify individual students who are struggling academically	97	98	96	94	95	89*
To monitor the progress of students who are struggling academically	97	97	95	94	90	88
To set measurable learning objectives or goals for your classes	95	95	92	90	87	82*
To plan instruction for individual students	94	94	85	82	81	75*
To plan whole-class instruction	90	90	91	86*	85	81
To evaluate the effectiveness of your instruction	90	91	90	87	89	83*
To monitor the progress of SWDs	66	66	74	72	64	61
To monitor the progress of ELs	53	46*	50	37*	45	32*
To evaluate the effectiveness of a lesson or unit	84	85	87	85	87	81*
<b>Number of teachers</b>	<b>883,275</b>	<b>313,966</b>	<b>240,603</b>	<b>212,747</b>	<b>151,393</b>	<b>364,394</b>
<b>Number of teachers (unweighted)</b>	<b>2,524</b>	<b>825</b>	<b>671</b>	<b>498</b>	<b>482</b>	<b>920</b>

\* Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Note: Data related to monitoring the progress of SWDs and ELs are limited to those teachers who taught these students.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program

Initiatives: Spring 2014 Teacher Survey.

**Exhibit D.17. Percentages of teachers who reported major challenges to using assessment data to improve instruction, by school grade span and Title I status: 2013–14**

Potential challenge	Percent of teachers in					
	Elementary schools		Middle schools		High schools	
	Title I	Non-Title I	Title I	Non-Title I	Title I	Non-Title I
Limited access to data from prior years on this year's students	14	13	11	11	17	22
Timeliness of the data on student achievement from prior years	14	11*	14	13	19	21
Understanding of how to analyze information from diagnostic assessments to inform instruction	10	9	14	11	17	17
Getting enough training so teachers can analyze student assessment data to inform instruction	15	14	20	16	23	24
Lack of district or school staff who can assist teachers with questions about analyzing student data	11	8*	13	11	15	20
Having regularly scheduled time to meet with other teachers to discuss student achievement data and instruction	32	28*	35	33	41	40
Assessments are not well aligned with the curriculum	21	18	17	12*	15	16
Available assessment data do not accurately measure students' knowledge and skills	20	19	16	16	23	21
None of the above	44	49	44	47	39	40
<b>Number of teachers</b>	<b>881,746</b>	<b>311,990</b>	<b>240,603</b>	<b>211,866</b>	<b>152,386</b>	<b>364,394</b>
<b>Number of teachers (unweighted)</b>	<b>2,519</b>	<b>819</b>	<b>671</b>	<b>498</b>	<b>484</b>	<b>920</b>

\* Percentage is significantly different from percentage for teachers in Title I schools ( $p < .05$ ).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

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**Appendix E**  
**Exhibits for Accountability and Support for Schools and Districts**

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**Exhibit E.1. Minimum subgroup size and changes, by state ESEA flexibility status: 2008–13**

School year	Minimum subgroup size (average)		
	All states	States with ESEA flexibility in 2013–14	States without ESEA flexibility in 2013–14
2008–09	33.7	33.5	34.4
2012–13	24.9	22.8	35.6
Difference, 2008–09 to 2012–13	-8.8	-10.7	1.3
Number of states changing their minimum subgroup size <sup>1</sup>	28	27	1
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

<sup>1</sup>Of the 43 states with flexibility, New Mexico did not report its minimum subgroup size in 2012-13. All 27 states with ESEA flexibility that changed minimum subgroup size reduced subgroup size. Among the non-flex states, Wyoming changed its minimum subgroup size from 30 to 40.

Notes: For 2008–09: Harr-Robins, et al., 2012.

Eight states in 2008–09 and one state in 2012–13 used a rule that depends on the number of students in the school. A school size of 400 students was used for the calculations.

The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.2. Number of states with ESEA flexibility defining combined subgroups for accountability: 2013–14**

<b>States' use of combined subgroups to set AMOs or to report proficiency rates in 2012–13</b>	<b>Number of states with ESEA flexibility</b>
States using combined subgroups for accountability <sup>1</sup>	25
Low academic performance	7
Students with disabilities, English learners, and economically disadvantaged	7
Combined racial/ethnic subgroup	5
Racial/ethnic minorities, students with disabilities, English learners, and economically disadvantaged	3
Migrant students	2
Highest-performing 75 percent of students	2
Other combined subgroup	1
States using combined subgroups in all schools	22
Combined subgroups are only used in schools where individual subgroups are below the minimum size for reporting student outcomes	3
States both using combined subgroups and reducing the minimum subgroup size	18
<b>Number of states</b>	<b>43</b>

<sup>1</sup>States may use more than one combined subgroup.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.3. Number of states using selected measures to identify highest-performing and high-progress Title I schools, by state ESEA flexibility status: 2013–14**

Measures used	Number of states			
	With ESEA flexibility		Without ESEA flexibility	
	Highest-performing schools	High-progress schools	Highest-performing schools	High-progress schools
Reading/ELA and Math assessments and high school comprehensive or exit exams	40	35	4	2
<b>Other assessments</b>				
Science or social studies assessment	14	13	0	0
ACT or SAT (participation or scores)	14	10	0	0
Advanced Placement or International Baccalaureate courses or exams	8	5	0	0
<b>Measures other than proficiency of all students</b>				
Achievement growth of individual students	21	17	0	2
Year-to-year changes in proficiency of all students	13	23	0	3
Achievement growth of subgroups	17	14	0	1
Subgroup proficiency rates	23	13	2	3
Size of subgroup achievement gaps	15	15	0	1
<b>Measures other than those based on assessments</b>				
Graduation rate	43	30	2	1
Year-to-year increase in graduation rate	0	9	0	0
Subgroup graduation rate	9	5	2	1
Completion of accelerated high school courses (honors, pre-AP)	3	2	0	0
College enrollment after high school	2	0	0	0
Enrollment in career and technical education courses or attainment of career or industry certification	6	4	0	0
Enrollment in college courses or dual enrollment	6	3	0	0
Student and parent engagement surveys	1	1	0	0
Student attendance	19	12	1	0
High poverty status	3	2	1	0
<b>Number of states</b>	<b>43</b>	<b>43</b>	<b>8</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies and State Department of Education Websites.

**Exhibit E.4. Number of states using selected measures to identify low-performing Title I schools, by state ESEA flexibility status: 2013–14**

Measures used	Number of states			
	With ESEA flexibility		Without ESEA flexibility	
	Priority schools	Focus schools	Schools in corrective action	Schools in restructuring
<b>Reading/ELA and Math assessments and high school comprehensive or exit exams</b>	39	39	8	8
<b>Other assessments</b>				
Science or social studies assessment	13	14	0	0
ACT or SAT (participation or scores)	10	11	1	1
Advanced Placement or International Baccalaureate courses or exams	4	4	0	0
<b>Measures other than proficiency of all students</b>				
Achievement growth of individual students	17	11	0	0
Year-to-year changes in proficiency of all students	14	6	0	0
Achievement growth of subgroups	13	15	0	0
Subgroup proficiency rates	9	31	8	8
Size of subgroup achievement gaps	3	21	0	0
<b>Measures other than those based on assessments</b>				
Graduation rate	36	32	8	8
Subgroup graduation rate	5	17	8	8
SIG school/Tier I/Tier II status	35	0	0	0
Completion of accelerated high school courses (honors, pre-AP)	2	2	0	0
College enrollment after high school	1	1	0	0
Enrollment in career and technical education courses or attainment of career or industry certification	3	5	0	0
Enrollment in college courses or dual enrollment	3	3	0	0
Student and parent engagement surveys	1	1	0	0
Student attendance	3	4	0	0
<b>Number of states</b>	<b>43</b>	<b>43</b>	<b>8</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies and State Department of Education Websites.

**Exhibit E.5. Number of states identifying Title I low-performing schools and the number and percentage of schools, by state ESEA flexibility status: 2013–14**

Identification of Title I lowest-performing schools	States with ESEA flexibility		States without ESEA flexibility	
	Priority schools	Focus schools	Schools in corrective action	Schools in restructuring
<b>Number of states that identified Title I low-performing schools for 2013–14</b>	43	43	8	8
<b>Number and percentage of Title I schools identified as low-performing schools in 2013–14 (EDFacts report)</b>				
Number of schools	2,184	4,571	1,226	3,547
Percentage of all Title I schools	5%	10%	11%	32%
<b>Number and percentage of Title I schools identified as low-performing schools in 2013–14 (Survey)<sup>1</sup></b>				
Number of schools	2,476	4,745	1,242	3,524
Percentage of all Title I schools	6%	11%	9%	19%
<b>Number of states identifying Title I low-performing schools<sup>2</sup></b>				
Annually	15	14	8	8
Every 2 years	1	5	0	0
Every 3 years	25	22	0	0
<b>Number of states</b>	<b>43</b>	<b>43</b>	<b>8</b>	<b>8</b>

<sup>1</sup>One state with flexibility and one state without flexibility did not provide the number of low-performing schools in the survey. States reported the number of low-performing schools to the EDFacts system in February 2014 and in the survey in spring and summer 2014. The number of low-performing schools reported in the survey was somewhat higher than the number reported in EDFacts. The number of priority schools was more discrepant in the two reports than was the number of schools in the other low-performing categories, with 6 percent of Title I schools reported as priority schools in the survey and 5 percent in EDFacts.

<sup>2</sup>Two states with flexibility did not respond to this question.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies and number of Title I schools from EDFacts.

**Exhibit E.6. Number of states requiring interventions in Title I priority and focus schools and Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14**

Interventions required	Number of states			
	With ESEA flexibility		Without ESEA flexibility	
	Priority schools	Focus schools	Schools in corrective action	Schools in restructuring
Schools must prepare a school improvement plan	40	41	8	8
Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs	35	37	6	6
Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs	31	31	4	5
School improvement plans must be made public	30	30	7	7
Districts must offer students the opportunity to attend other schools (school choice)	n/a	n/a	8	8
Districts must offer low-income students the opportunity to enroll in after-school supplemental educational services	n/a	n/a	8	8
<b>Number of states</b>	<b>43</b>	<b>43</b>	<b>8</b>	<b>8</b>

n/a = not applicable.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.



**Exhibit E.7. Number of states providing guidance to districts in 2013–14 about selection of school intervention models for Title I priority and focus schools and Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14**

State guidance	Number of states			
	With ESEA flexibility		Without ESEA flexibility	
	Priority schools	Focus schools	Schools in corrective action	Schools in restructuring
Guidance on how to match the model to school needs and capacity	37	37	5	4
Guidance on models appropriate for addressing the needs of English learners	29	30	2	2
Guidance on models appropriate for addressing the needs of students with disabilities	28	31	4	3
Guidance on how to engage the community in the selection of the model	28	21	3	2
<b>Number of states</b>	<b>43</b>	<b>43</b>	<b>8</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.8. Number of states providing extra professional development and assistance for Title I priority and focus schools and Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14**

	Number of states			
	With ESEA flexibility		Without ESEA flexibility	
	Priority schools	Focus schools	Schools in corrective action	Schools in restructuring
<b>Extra professional development and assistance</b>				
<b>Additional professional development or assistance for principals on:</b>				
Acting as instructional leaders	38	31	5	5
School improvement planning, identifying interventions, or budgeting effectively	36	32	7	6
Recruiting, retaining, and developing more effective teachers	27	19	2	2
<b>Additional professional development or assistance for teachers on:</b>				
Analyzing student assessment data to improve instruction	32	27	3	3
Working effectively in teacher teams to improve instruction	30	25	2	2
Identifying and implementing strategies to address the needs of students with disabilities	29	27	2	2
Identifying and implementing strategies to address the needs of English learners	28	24	1	1
<b>Additional resources to be used:</b>				
For purposes specified in the school improvement plan	35	27	4	4
For additional instructional time (extended day or extended year)	26	15	5	4
For reductions in class size	14	5	2	2
For other purpose	16	13	2	2
<b>Number of states</b>	<b>43</b>	<b>43</b>	<b>8</b>	<b>8</b>

Notes: Extra professional development and assistance are services beyond what is available to any Title I school. The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.9. Percentage of schools implementing specific instructional interventions, by school improvement status and Title I status: 2013–14**

Academic, structural, and student support interventions	Percent of Title I schools				Percent of schools	
	Priority schools	Focus schools	Schools in corrective action or restructuring	Other Title I schools	Non-Title I schools	All schools
Providing intensive intervention to struggling students during the school day (for example, Response to Intervention)	‡	90	84	86	75	‡
Implementing new programs to improve student behavior, discipline, or safety	‡	93*	83	74	68	‡
Implementing new programs to address students' social, emotional, and health needs	89*^	82*	71	67	66	68
Implementing new programs to provide ongoing mechanisms for family and community engagement	81*	82*	77*	64	55	62
Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services)	77*	69	88*	63	54	61
Adjusting the school schedule without changing the overall number of school hours	62^	59*	39	45	37	43
Offering students the option to attend a different school (school choice)	59*	50*	78*	32	24	33
Implementing a comprehensive schoolwide reform model	56*^	28*	10	8	8	10
Operating an extended school day, week, or year	49*^	38*	21	23	11	20
Implementing a new curriculum	46	55*	45	39	50	45
Making class sizes smaller than typical in other schools	45*^	33	18	24	19	23
<b>Number of schools</b>	<b>1,818</b>	<b>4,799</b>	<b>3,805</b>	<b>43,932</b>	<b>36,112</b>	<b>90,466</b>
<b>Number of schools (unweighted)</b>	<b>32</b>	<b>74</b>	<b>66</b>	<b>483</b>	<b>415</b>	<b>1,070</b>

‡ Data suppressed because reporting standards not met due to small sample sizes. ^ Percentage for Title I priority schools is significantly different from percentage for Title I schools in corrective action and restructuring ( $p < .05$ ).

\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Note: The category "other Title I schools" excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.10. Percentage of principals reporting school improvement plans, personnel changes, and flexibility in staffing, by school improvement status and Title I status: 2013–14**

School improvement plans and staffing changes	Percent of principals in Title I schools			Percent of principals in		
	Priority schools	Focus schools	Schools in corrective action or restructuring	Other Title I schools	Non-Title I schools	All schools
Developed a school improvement plan for 2013–14	100*^	‡	89	83	84	‡
<b>Assistance received in developing the school improvement plan</b>						
Assistance in analyzing and interpreting data to understand student achievement issues	67	72	57	61	55	59
Assistance identifying interventions to improve student performance	62	69*	51	55	50	54
Assistance planning for implementation of interventions to improve student performance	57	66	60	56	52	55
<b>Changes in school staffing</b>						
Principal was hired as the school's new principal before the start of the school year 2013–14	65*^	30	40*	19	17	21
Half or more of the teaching staff was replaced	26*^	10	5	4	3	4
<b>Flexibility and authority in staffing</b>						
School has the authority to make final decisions on teacher hiring	59	60	41*	64	60	61
School has more flexibility in, or exemptions from, collective bargaining agreements or policies/regulations that guide teacher staffing decisions compared to other schools in the district	20	19	7	17	13	15
<b>Number of principals</b>	<b>1,818</b>	<b>4,799</b>	<b>3,805</b>	<b>43,932</b>	<b>36,262</b>	<b>90,616</b>
<b>Number of principals( unweighted)</b>	<b>32</b>	<b>74</b>	<b>66</b>	<b>483</b>	<b>416</b>	<b>1,071</b>

‡ Data suppressed because reporting standards not met due to small sample sizes.^ Percentage for Title I priority schools is significantly different from percentage for Title I schools in corrective action and restructuring ( $p < .05$ ).

\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Note: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.11. Percentage of principals reporting professional development and assistance received in 2013–14 and in the previous summer, by school improvement status and Title I status: 2013–14**

Professional development and assistance for principals	Percent of principals in Title I schools			Percent of principals in		
	Priority schools	Focus schools	Schools in corrective action or restructuring	Other Title I schools	Non-Title I schools	All schools
Professional development on teacher observation and instructional improvement	‡	86	44*	82	84	‡
Professional development on developing and implementing a school improvement plan	85*	78*	34*	52	45	50
Professional development on identifying and implementing effective curricula, instructional strategies, or school intervention models	67	78	58	70	64	68
Assistance on improving the quality of teacher professional development	62	68	37*	56	50	54
Help aligning school curricula to the common core state standards/current state content standards	59*	73	80	75	74	75
Assistance on analyzing and reviewing budgets to use resources more effectively	51	47	33	37	24	32
Assistance on developing strategies to recruit or retain more effective teachers	42	28	20	25	19	23
<b>Number of principals</b>	<b>1,818</b>	<b>4,799</b>	<b>3,805</b>	<b>43,791</b>	<b>35,867</b>	<b>90,080</b>
<b>Number of principals (unweighted)</b>	<b>32</b>	<b>74</b>	<b>66</b>	<b>481</b>	<b>413</b>	<b>1,066</b>

‡ Data suppressed because reporting standards not met due to small sample sizes.

\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Note: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.12. Percentage of teachers reporting professional development and assistance received in 2013–14 and the previous summer, by school improvement status and Title I status: 2013–14**

Professional development and assistance received	Percent of teachers in Title I schools			Percent of teachers in		
	Priority schools	Focus schools	Schools in corrective action or restructuring	Other Title I schools	Non-Title I schools	All schools
<b>Received professional development on</b>						
Using student assessment data to improve instruction	85	77	61*	81	73	77
Instructional strategies consistent with the state’s content standards, such as model lessons or designing student work	72	70	67	73	68	70
Adapting instruction to help students with disabilities meet the state’s content standards	41	38	21*	37	33	35
Adapting instruction to help English learners meet the state’s content standards	40	44	33	37	29	34
<b>Worked with other teachers to</b>						
Discuss learning needs of individual students	93*	94*	95	97	95	96
Discuss student assessment results	91*	94	94	96	93	94
Plan lessons or develop materials or activities	88	86	94*	85	84	85
Make connections between the state’s content standards, curricula, and lesson plans across grades or courses	75	82	82	82	76	80
Exchange feedback based on observing each other’s classrooms or learn from high-performing colleagues	52	45	34*	44	41	43
<b>Used data on student achievement to</b>						
Identify individual students who are struggling academically	98	97	97	96	93	95
Monitor the progress of students who are struggling academically	98*	96	96	96	93	95
Monitor student progress toward performance targets or learning goals	96	95	93	96	92	94
Set measurable learning objectives	94	93	89*	94	88	91
Plan instruction for individual students	93	90	84*	91	84	88
Plan whole-class instruction	92	88	89	90	85	88
Evaluate the effectiveness of instruction	92	87	89	91	86	89
Monitor the progress of students with disabilities	89	88	81*	90	86	88
Evaluate the effectiveness of a lesson or unit	88	81	84	85	83	84
Monitor the progress of English learners	81	88	84	84	74	81
<b>Number of teachers</b>	<b>46,630</b>	<b>139,742</b>	<b>101,999</b>	<b>1,079,056</b>	<b>955,167</b>	<b>2,322,594</b>
<b>Number of teachers (unweighted)</b>	<b>194</b>	<b>437</b>	<b>272</b>	<b>2,863</b>	<b>2,298</b>	<b>6,064</b>

\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Note: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit E.13. Number of states reporting that at least one Title I priority school or Title I school in corrective action or restructuring closed or implemented specific models for school turnaround, by state ESEA flexibility status: 2013–14**

	Number of states	
	With ESEA flexibility	Without ESEA flexibility
<b>School turnaround model</b>	<b>Priority schools</b>	<b>Schools in corrective action or restructuring</b>
<b>Number of states reporting at least one Title I lowest-performing school</b>		
Closed after the 2012–13 school year	13	1
Implementing a “restart” model as defined in U.S. Department of Education regulations	12	0
Implementing a “transformation” model as defined in U.S. Department of Education regulations	37	7
Implementing a “turnaround” model as defined in U.S. Department of Education regulations	29	2
Percentage of districts with at least one Title I lowest-performing school implementing any of the three models	40%	7%
<b>Number of states responding</b>	<b>42</b>	<b>7</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.14. State reports of the percentage of Title I priority schools and Title I schools in corrective action or restructuring that implemented specific models for school turnaround and the number of schools closed, by state ESEA flexibility status: 2013–14**

	Number and percent of lowest-performing schools in states	
	With ESEA flexibility	Without ESEA flexibility
<b>School turnaround model</b>	<b>Priority schools</b>	<b>Schools in corrective action or restructuring</b>
Number of schools closed after the 2012–13 school year	67	‡
<b>Percentage of Title I lowest-performing schools</b>		
Implementing a “restart” model as defined in U.S. Department of Education regulations	2%	0%
Implementing a “transformation” model as defined in U.S. Department of Education regulations	37%	7%
Implementing a “turnaround” model as defined in U.S. Department of Education regulations	13%	0%
Implementing any of the three models (excluding the Closed model)	52%	8%
<b>Number of states responding</b>	<b>42</b>	<b>7</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>

‡ Data suppressed because reporting standards not met due to small sample sizes.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.



**Exhibit E.15. Percentage of Title I priority schools or Title I schools in corrective action or restructuring reporting that they implemented specific models for school turnaround, by state or district ESEA flexibility status: 2013–14**

School turnaround model	Percent of low-performing schools in states or districts	
	With ESEA flexibility	Without ESEA flexibility
	Priority schools	Schools in corrective action or restructuring
Implementing a “restart” model as defined in U.S. Department of Education regulations	0	0
Implementing a “transformation” model as defined in U.S. Department of Education regulations	31	5*
Implementing a “turnaround” model as defined in U.S. Department of Education regulations	15	‡
Implementing any of the three models <sup>1</sup>	44	8*
<b>Number of low-performing schools</b>	<b>1,818</b>	<b>3,805</b>
<b>Number of low-performing schools (unweighted)</b>	<b>32</b>	<b>66</b>

‡ Data suppressed because reporting standards not met due to small sample sizes.

\* Percentage is significantly different from percentage for priority schools with ESEA flexibility ( $p < .05$ ).

<sup>1</sup> Percentages in this row might not be the sum of categories above because of rounding error.

Note: The category “states or districts with ESEA flexibility” includes districts in states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. The sampled California districts that were approved for flexibility in August 2013 are also included.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.16. Number of states reporting that at least one Title I priority school and Title I school in corrective action or restructuring made specific management changes, by state ESEA flexibility status: 2013–14**

	Number of states	
	With ESEA flexibility	Without ESEA flexibility
<b>Management changes</b>	<b>Priority schools</b>	<b>Schools in corrective action or restructuring</b>
<b>At least one Title I lowest-performing school was</b>		
Placed school under direct state control or in a statewide accountability district	7	0
Converted a school to a charter school	3	1
Placed school under management by a school management organization, either for-profit or non-profit	5	0
Removed school from district control since the beginning of the 2012–13 school year	8	0
<b>Number of states responding</b>	<b>43</b>	<b>5</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies and state reports to the ED*Facts* system in February 2014.

**Exhibit E.17. State reports of the percentage of Title I priority schools and Title I schools in corrective action or restructuring making specific management changes, by state ESEA flexibility status: 2013–14**

	Percent of schools in states <sup>1</sup>	
	With ESEA flexibility	Without ESEA flexibility
	Priority schools	Schools in corrective action or restructuring
<b>Management changes</b>		
Placed school under direct state control or in a statewide accountability district	4	0
Converted a school to a charter school	1	0
Placed school under management by a school management organization, either for-profit or non-profit	1	0
Removed school from district control since the beginning of the 2012–13 school year	4	0
<b>Number of states responding</b>	<b>43</b>	<b>5</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>

<sup>1</sup>Percentages are based on the number of schools reported to be in a particular school improvement status as reported by states in the *EDFacts* system, February 2014.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies and state reports to the *EDFacts* system in February 2014.

**Exhibit E.18. Number of states reporting at least one Title I priority school or one Title I school in corrective action or restructuring made personnel changes before the start of 2013–14, by state ESEA flexibility status: 2013–14**

	Number of states	
	With ESEA flexibility	Without ESEA flexibility
	<b>Priority schools</b>	<b>Schools in corrective action or restructuring</b>
<b>Personnel changes before the start of 2013–14</b>		
Principal replaced	28	3
Half or more of the teaching staff replaced	13	1
<b>Number of states responding</b>	41	5
<b>Number of states</b>	43	8

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.19. State reports of the percentage of Title I priority schools and Title I schools in corrective action or restructuring that made personnel changes before the start of 2013–14, by state ESEA flexibility status: 2013–14**

	Percent of low-performing schools in states	
	With ESEA flexibility	Without ESEA flexibility
	Priority schools	Schools in corrective action
<b>Personnel changes before the start of 2013–14</b>		
Principal replaced	18	1
Half or more of the teaching staff replaced	5	0
<b>Number of states responding</b>	41	6
<b>Number of states</b>	43	8

Notes: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.20. Percentage of Title I priority schools and Title I schools in corrective action or restructuring reporting personnel changes before the start of 2013–14, by state or district ESEA flexibility status: 2013–14**

	Percentage of low-performing schools in states or districts	
	With ESEA flexibility	Without ESEA flexibility
	Priority schools	Schools in corrective action and restructuring
<b>Personnel changes before the start of 2013–14</b>		
Principal replaced	65	40*
Half or more of the teaching staff replaced	26	5*
<b>Number of schools</b>	1,818	3,805
<b>Number of schools (unweighted)</b>	32	66

\* Percentage is significantly different from percentage for priority schools with ESEA flexibility ( $p < .05$ ).

Note: The category “states or districts with ESEA flexibility” includes districts in states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. The sampled California districts that were approved for flexibility in August 2013 are also included.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.21. Number of states in which teacher assignment laws or policies provide specific incentives or flexibility for Title I priority schools and Title I schools in corrective action or restructuring in 2013–14, by state ESEA flexibility status**

	Number of states		
	With ESEA flexibility	Without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
<b>Incentives and flexibility permitted</b>			
School discretion or authority to decide which staff to hire for these schools	21	6	5
Financial incentives for teachers to begin or continue to work in these schools	10	3	1
Exemptions from teacher tenure rules that affect placement in or removal from these schools (specify which rules)	5	0	0
Financial incentives for staff with English learner expertise to begin or continue to work in these schools	3	2	2
More flexibility in, or exemptions from, collective bargaining agreements or certain state employment laws/regulations that guide staffing decisions	3	1	1
Financial incentives for staff with expertise working with students with disabilities to begin or continue to work in these schools	2	2	2
<b>Number of states</b>	<b>43</b>	<b>8</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.22. Percentage of Title I schools with flexibility in teacher assignment laws or policies and authority for teacher hiring, by school improvement status: 2013–14**

Flexibility	Percent of schools		
	Title I priority schools	Title I schools in corrective action or restructuring	Other Title I schools
School has more flexibility in, or exemptions from, collective bargaining agreements or policies/regulations that guide teacher staffing decisions compared to other schools in the district	20	7	17
School has the authority to make final decisions on teacher hiring	59	41*	64
<b>Number of schools</b>	<b>1,818</b>	<b>3,805</b>	<b>43,791</b>
<b>Number of schools (unweighted)</b>	<b>32</b>	<b>66</b>	<b>481</b>

\* Percentage is significantly different from percentage for other Title I schools ( $p < .05$ ).

Note: Other Title I schools excludes priority schools, focus schools, and schools in corrective action or restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.



**Exhibit E.23. Number of states with interventions required in non-Title I priority schools and non-Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14**

Interventions required	Number of states		
	With ESEA flexibility	Without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
Schools must prepare a school improvement plan	19	4	4
School improvement plans must be made public	18	4	4
Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs	16	4	4
Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs	15	3	3
Districts must offer students the opportunity to attend other schools (school choice)	n/a	0	0
Districts must offer low-income students the opportunity to enroll in after-school supplemental educational services	n/a	0	0
<b>Number of states responding</b>	<b>19</b>	<b>4</b>	<b>4</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>	<b>8</b>

n/a = not applicable.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.24. Number of states closing non-Title I priority schools and non-Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14**

	Number of states		
	With ESEA flexibility	Without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
<b>Non-Title I schools closed</b>			
Number of states with at least one non-Title I school closed just prior to the 2013–14 school year	3	0	0
Number of non-Title I schools closed just prior to 2013–14 school year	23	0	0
<b>Number of states responding</b>	<b>19</b>	<b>4</b>	<b>4</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.25. Number of states with at least one non-Title I priority school or non-Title I school in corrective action or restructuring making personnel changes before the start of 2013–14, by state ESEA flexibility status**

	Number of states		
	With ESEA flexibility	Without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
<b>Non-Title I schools with personnel changes</b>			
Principal was replaced	4	0	0
Half or more of the teaching staff replaced	4	0	0
<b>Number of states responding</b>	<b>16</b>	<b>3</b>	<b>4</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.26. Number and percentage of non-Title I priority schools or non-Title I schools in corrective action or restructuring making personnel changes before the start of 2013–14, by state ESEA flexibility status**

	Number and percent of schools in states		
	With ESEA flexibility	Without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
<b>Non-Title I schools with personnel changes</b>			
<b>Number of non-Title I schools in which:</b>			
Principal was replaced	42	0	0
Half or more of the teaching staff replaced	7	0	0
<b>Percentage of non-Title I schools in which:<sup>1</sup></b>			
Principal was replaced	2%	0%	0%
Half or more of the teaching staff replaced	0%	0%	0%
<b>Number of states responding</b>	16	3	4
<b>Number of states</b>	43	8	8

<sup>1</sup>Percentages are based on the number of non-Title I schools reported to be in a particular school improvement status as reported by states in the *EDFacts* system, February 2014.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.27. Number of states in which teacher assignment laws or policies provide specific incentives or flexibility for non-Title I priority schools and non-Title I schools in corrective action or restructuring, by state ESEA flexibility status: 2013–14**

	Number of states		
	With ESEA flexibility	Without ESEA flexibility	
	Priority schools	Schools in corrective action	Schools in restructuring
<b>Incentives and flexibility permitted</b>			
School discretion or authority to decide which staff to hire for these schools	10	4	4
Financial incentives for teachers to begin or continue to work in these schools	4	1	1
Exemptions from teacher tenure rules that affect placement in or removal from these schools (specify which rules)	3	0	0
Financial incentives for staff with English learner expertise to begin or continue to work in these schools	1	1	1
Financial incentives for staff with expertise working with students with disabilities to begin or continue to work in these schools	1	1	1
More flexibility in, or exemptions from, collective bargaining agreements or certain state employment laws/regulations that guide staffing decisions	1	1	1
<b>Number of states responding</b>	<b>19</b>	<b>4</b>	<b>4</b>
<b>Number of states</b>	<b>43</b>	<b>8</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.28. Number of states with organizational or administrative structures to support school turnaround efforts, by state ESEA flexibility status: 2013–14**

State structures	Number of states	
	With ESEA flexibility	Without ESEA flexibility
<b>State has organizational or administrative structures specifically intended to improve state capacity to support school turnaround efforts</b>	40	5
Monitoring or reporting requirements specifically for schools designated as priority or focus schools/schools in restructuring or corrective action	40	5
State staff or office whose sole responsibility is to support school turnaround	35	5
Contracts with external consultants to support school turnaround	33	3
State-level staff or consultants to provide support to turnaround schools and districts in working with English learners	33	2
State-level staff or consultants to provide support to turnaround schools and districts in working with students with disabilities	33	2
Regional staff or office whose sole responsibility is to support school turnaround	18	3
<b>Number of states</b>	<b>43</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.29. Number of states with approaches to and frequency of monitoring Title I lowest-performing schools, by state ESEA flexibility status: 2013–14**

Monitoring approach and frequency	Number of states		
	With ESEA flexibility		Without ESEA flexibility
	Priority schools	Focus schools	Schools in corrective action or restructuring
<b>Site visits</b>	39	36	7
Once or twice per year or less frequently	16	15	3
Quarterly	8	4	2
Monthly or twice per month	6	8	1
Weekly or daily	5	1	0
Other or missing	4	8	1
<b>Telephone conferences</b>	30	25	5
Once or twice per year or less frequently	8	6	0
Quarterly	4	3	1
Monthly or twice per month	7	4	1
Weekly or daily	0	0	0
Other or missing	11	12	3
<b>Discussions with parents/community</b>	20	14	3
Once or twice per year or less frequently	11	8	1
Quarterly	2	1	1
Monthly or twice per month	0	0	0
Weekly or daily	0	0	0
Other or missing	7	5	1
<b>Analysis of student data</b>	40	40	7
Once or twice per year or less frequently	15	17	3
Quarterly	15	12	2
Monthly or twice per month	7	5	1
Weekly or daily	1	1	0
Other or missing	2	5	1
<b>Number of states</b>	<b>43</b>	<b>43</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.30. Number of states with full-time-equivalent staff or consultants to assist low-performing Title I schools and their districts, by state ESEA flexibility status: 2013–14**

State support for Title I priority and focus schools or schools in corrective action or restructuring in 2013–14	Number of states	
	With ESEA flexibility	Without ESEA flexibility
<b>Number of full-time-equivalent staff or consultants supporting Title I lowest-performing schools</b>		
Range	0–100	1–61
Number of states with none	3	0
<b>Number of schools supported per full-time-equivalent staff or consultants</b>		
Range	0–90	1–135
Average schools per consultant (total schools reported divided by all state staff reported)	12	32
Median schools per consultant	7.8	8.4
<b>Number of states</b>	<b>43</b>	<b>8</b>

Notes: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. Lowest-performing schools include priority and focus schools in states with flexibility and schools in corrective action and restructuring in states without flexibility.

Information about the number of staff or consultants is not available separately for Title I priority and focus schools.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.



**Exhibit E.31. Percentage of principals reporting the frequency of state monitoring, by state or district ESEA flexibility status and type of Title I school: 2013–14**

Monitoring approach and frequency	Percent of schools in states or districts:		
	With ESEA flexibility		Without ESEA flexibility
	Priority schools	Focus schools	Schools in corrective action or restructuring
<b>Site visits</b>	86*	43*	18
Quarterly or more often	50*	23*	7
Less frequently or other non-specific	37*	17	11
<b>Telephone conferences</b>	24*	28*	5
Quarterly or more often	14*	14*	0
Less frequently or other non-specific	10	12	5
<b>Collection of student data</b>	75*	51*	24
Quarterly or more often	46*	25*	9
Less frequently or other non-specific	28	23	15
<b>No monitoring</b>	‡	‡	75
<b>Number of schools</b>	<b>1,803</b>	<b>4,203</b>	<b>3,335</b>
<b>Number of schools (unweighted)</b>	<b>31</b>	<b>66</b>	<b>57</b>

‡ Data suppressed because reporting standards not met due to small sample sizes.

\* Percentage is significantly different from the percentage for schools in corrective action or restructuring ( $p < .05$ ).

Note: The category “states or districts with ESEA flexibility” includes districts in states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014. The sampled California districts that were approved for flexibility in August 2013 are also included. The category, “other non-specific” includes ambiguous responses about the timing of monitoring. Frequency of monitoring estimates may not sum to approach totals because of rounding.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.32. Number of states with interventions required in 2013–14 for Title I schools not meeting AMOs for 2012–13 and schools in need of improvement, by state ESEA flexibility status**

Interventions required	Number of states		
	All states	With ESEA flexibility	Without ESEA flexibility
Schools must prepare a school improvement plan that focuses on subjects and/or subgroups that are falling short of AMOs	38	30	8
Schools must implement and monitor an instructional program that supports students not showing sufficient growth toward AMOs	27	21	6
Schools and/or districts must provide professional development to staff that supports interventions for subgroups of students not showing sufficient growth toward AMOs	23	16	7
School improvement plans must be available to the public	22	15	7
Districts must offer students the opportunity to attend other schools (school choice)	9	1 <sup>1</sup>	8
Districts must offer low-income students the opportunity to enroll in after-school supplemental educational services	8	1 <sup>1</sup>	7
Districts must set aside funds to provide additional resources to improve these schools	3	3	0
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

<sup>1</sup>One state with ESEA flexibility wrote (as an “other-specify” response) that schools in this category must provide school choice and supplemental educational services. Since the question was not asked directly of states with ESEA flexibility, there might be additional states that require this intervention.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.33. Number of states monitoring Title I schools not meeting AMOs for 2012–13 and schools in need of improvement, by state ESEA flexibility status: 2013–14**

Monitoring approach	Number of states	
	With ESEA flexibility	Without ESEA flexibility
Monitors the thoroughness of district oversight of schools as appropriate to the performance category of those schools	19	3
Conducts monitoring visits to a sample of schools in this performance category	16	4
Reviews and provides feedback on the school improvement plan	15	7
Approves the school improvement plan	10	3
Conducts monitoring visits to all schools in this performance category	4	3
<b>Number of states</b>	<b>43</b>	<b>8</b>

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013. Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.  
Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit E.34. Percentage of principals reporting school improvement plans, personnel changes, and flexibility in staffing, by school improvement status, AMO status, and Title I status: 2013–14**

School improvement plans and staffing changes	Percent of principals in Title I schools				Percent of principals in non-Title I schools	
	Priority and focus schools	Schools in corrective action or restructuring	Other Title I schools		Met AMOs	Did not meet AMOs
			Met AMOs	Did not meet AMOs		
Development of a school improvement plan for 2013–14	‡	89	81	85	82	86
<b>Assistance received in developing the school improvement plan</b>						
Assistance in analyzing and interpreting data to understand student achievement issues	71	57	60	62	59	51
Assistance identifying interventions to improve student performance	67	51	56	53	53	46
Assistance planning for implementation of interventions to improve student performance	64	60	57	55	53	51
<b>Changes in school staffing</b>						
Principal was hired as the school's new principal before the start of the school year 2013–14	40	40	23	17	15	20
Half or more of the teaching staff was replaced	14	5	6	2	4	2
<b>Flexibility and authority in staffing</b>						
School has the authority to make final decisions on teacher hiring	60	41	59*	69	66	53
School has more flexibility in, or exemptions from, collective bargaining agreements or policies/regulations that guide teacher staffing decisions compared to other schools in the district.	19	7	16	17	15	12
<b>Number of principals</b>	<b>6,617</b>	<b>3,805</b>	<b>19,696</b>	<b>24,236</b>	<b>19,817</b>	<b>16,295</b>
<b>Number of principals ( unweighted)</b>	<b>106</b>	<b>66</b>	<b>235</b>	<b>248</b>	<b>224</b>	<b>192</b>

‡ Data suppressed because reporting standards not met due to small sample sizes.

\* Percentage is significantly different from percentage for other Title I schools that did not meet AMOs ( $p < .05$ ).

Note: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.35. Percentage of schools implementing specific interventions, by school improvement status, AMO status, and Title I status: 2013–14**

Academic, structural, and student support interventions	Percent of Title I schools				Percent of non-Title I schools	
	Priority and focus schools	Schools in corrective action or restructuring	Other Title I schools		Met AMOs	Did not meet AMOs
			Met AMOs	Did not meet AMOs		
Implementing new programs to improve student behavior, discipline, or safety	93	83	71	77	66	72
Providing intensive intervention to struggling students during the school day (for example, Response to Intervention)	92	84	85	88	76	74
Implementing new programs to address students' social, emotional, and health needs	84	71	62	71	65	68
Implementing new programs to provide ongoing mechanisms for family and community engagement	81	77	58	68	52	58
Providing extra academic services for struggling students outside of the school day (for example, supplemental educational services)	71	88	62	65	52	56
Adjusting the school schedule without changing the overall number of school hours	60	39	42	48	34	40
Offering students the option to attend a different school (school choice)	53	78	21*	42	26	22
Implementing a new curriculum	52	45	41	38	53	47
Operating an extended school day, week, or year	41	21	24	23	11	12
Implementing a comprehensive schoolwide reform model	36	10	8	8	5	11
Making class sizes smaller than typical in other schools	36	18	23	25	16	23
<b>Number of schools (weighted)</b>	<b>6,617</b>	<b>3,805</b>	<b>19,696</b>	<b>24,236</b>	<b>19,864</b>	<b>16,295</b>
<b>Number of schools (unweighted)</b>	<b>106</b>	<b>66</b>	<b>235</b>	<b>248</b>	<b>223</b>	<b>192</b>

\* Percentage is significantly different from percentage for other Title I schools that did not meet AMOs ( $p < .05$ ).

Note: The category "other Title I schools" excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.36. Percentage of teachers reporting participation in school intervention activities, by school improvement status, AMO status, and Title I status: 2013–14**

School intervention activity	Percent of teachers in Title I schools				Percent of teachers in non-Title I schools	
	Priority and focus schools	Schools in corrective action or restructuring	Other Title I schools		Met AMOs	Did not meet AMOs
			Met AMOs	Did not meet AMOs		
Identified struggling students for school-sponsored individual or small-group tutoring outside of the school day	69	65	61	65	58	57
Implemented a new curriculum in the classroom	64	59	64	66	62	59
Provided school-sponsored assistance to struggling students outside of the school day at least once a week	51	50	45	48	44	47
Implemented a new schoolwide safety or discipline program with students	45	42	40	41	32	30
Implemented a comprehensive schoolwide reform model in the classroom	44	25	30*	36	26	26
Worked a school schedule that provides additional time for student learning (relative to a typical schedule for schools in the community) through an extended school day, week, or year	43	29	41	34	27	29
Participated in a new schoolwide program to increase family and community engagement	43	28	39	38	25	22
Participated in a new schoolwide program to address students' social, emotional, or health needs	39	36	32	38	28	24
<b>Number of teachers</b>	<b>186,372</b>	<b>101,999</b>	<b>473,974</b>	<b>580,763</b>	<b>508,153</b>	<b>421,606</b>
<b>Number of teachers ( unweighted)</b>	<b>640</b>	<b>273</b>	<b>1,409</b>	<b>1,420</b>	<b>1,241</b>	<b>1,019</b>

\* Percentage is significantly different from percentage for other Title I schools that did not meet AMOs ( $p < .05$ ).

Note: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit E.37. Percentage of principals reporting professional development and assistance received in 2013–14 and the previous summer, by school improvement status, AMO status, and Title I status**

Professional development and assistance	Percent of principals in Title I schools				Percent of principals in non-Title I schools	
	Priority and focus schools	Schools in corrective action or restructuring	Other Title I schools		Met AMOs	Did not meet AMOs
			Met AMOs	Did not meet AMOs		
Professional development on teacher observation and instructional improvement	88	44	79	84	84	83
Professional development on developing and implementing a school improvement plan	80	34	47	56	46	43
Professional development on identifying and implementing effective curricula, instructional strategies, or school intervention models	75	58	68	72	69	58
Help aligning school curricula to the common core state standards/ current state content standards	69	80	76	75	75	73
Assistance on improving the quality of teacher professional development	67	37	48*	63	48	51
Assistance on analyzing and reviewing budgets to use resources more effectively	48	33	31*	42	23	25
Assistance on developing strategies to recruit or retain more effective teachers	32	20	23	27	21	17
<b>Number of principals</b>	<b>6,617</b>	<b>3,805</b>	<b>19,625</b>	<b>24,166</b>	<b>19,817</b>	<b>16,050</b>
<b>Number of principals (unweighted)</b>	<b>106</b>	<b>66</b>	<b>234</b>	<b>247</b>	<b>222</b>	<b>191</b>

\* Percentage is significantly different from percentage for other Title I schools that did not meet AMOs ( $p < .05$ ).

Note: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit E.38. Percentage of teachers reporting professional development and assistance received in 2013–14 and the previous summer, by school improvement status, AMO status, and Title I status**

Professional development or assistance received	Percent of teachers in Title I schools				Percent of teachers in non-Title I schools	
	Priority and focus schools	Schools in corrective action or restructuring	Other Title I schools		Met AMOs	Did not meet AMOs
			Met AMOs	Did not meet AMOs		
<b>Received professional development on:</b>						
Using student assessment data to improve instruction	79	61	83	80	74	72
Instructional strategies consistent with the state’s content standards, such as model lessons or designing student work	70	67	72	74	69	66
Adapting instruction to help English learners meet the state’s content standards	43	33	40	35	30	28
Adapting instruction to help students with disabilities meet the state’s content standards	39	21	42*	34	33	33
<b>Worked with other teachers to:</b>						
Discuss learning needs of individual students	93	95	97	97	95	96
Discuss student assessment results	93	94	95	96	94	93
Plan lessons or develop materials or activities	86	94	84	87	85	82
Make connections between the state’s content standards, curricula, and lesson plans across grades or courses	80	82	84	82	79	73
Exchange feedback based on observing each other’s classrooms or learn from high-performing colleagues	47	34	44	45	40	41
<b>Used data on student achievement to:</b>						
Identify individual students who are struggling academically	97	97	96	96	95	92
Monitor the progress of students who are struggling academically	96	96	97	95	94	91
Monitor student progress toward performance targets or learning goals	95	93	97	96	92	91
Set measurable learning objectives	94	89	94	94	90	86
Plan instruction for individual students	90	84	92	91	86	81
Plan whole-class instruction	89	89	91	89	87	84
Monitor the progress of students with disabilities	88	81	90	90	89	84
Evaluate the effectiveness of instruction	88	89	90	91	87	86
Monitor the progress of English learners	86	84	84	84	77	70
Evaluate the effectiveness of a lesson or unit	83	84	86	85	84	83
<b>Number of teachers</b>	<b>186,372</b>	<b>101,999</b>	<b>473,974</b>	<b>580,763</b>	<b>508,153</b>	<b>421,606</b>
<b>Number of teachers (unweighted)</b>	<b>660</b>	<b>282</b>	<b>1,433</b>	<b>1,442</b>	<b>1,263</b>	<b>1,042</b>

\* Percentage is significantly different from percentage for other Title I schools that did not meet AMOs ( $p < .05$ ).

Note: The category “other Title I schools” excludes focus schools, priority schools, schools in corrective action, and schools in restructuring.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.



**Exhibit E.39. Number of states identifying highest-performing and high-progress schools and the number and percentage of schools, by state ESEA flexibility status: 2013–14**

Identification of schools	All states	States with ESEA flexibility	States without ESEA flexibility
<b>Number of states identifying highest-performing and high-progress schools</b>			
Number of states that identified Title I highest-performing schools for 2013–14	47	43	4
Number of states that identified Title I high-progress schools for 2013–14	42	37	5
<b>Number of Title I schools identified as highest-performing</b>	2,145	2,061	84
Percentage of Title I schools identified as highest-performing schools	4%	5%	1%
<b>Number of Title I schools identified as high-progress</b>	2,316	1,975	341
Percentage of Title I schools identified as high-progress schools	5%	5%	3%
<b>Number of states with other policies for high-performing schools</b>			
Number of states identifying non-Title I schools as high-performing or high-progress schools	31	26	5
Number of states with other programs to identify and recognize high-performing schools	20	20	n/a
<b>Number of states</b>	<b>51</b>	<b>43</b>	<b>8</b>

n/a = not applicable.

Note: The category “states with ESEA flexibility” includes states that were granted flexibility by September 30, 2013.

Washington State is included among the states with ESEA flexibility, as the state had ESEA flexibility until late in April 2014.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

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**Appendix F**  
**Exhibits for Teacher and Principal Evaluation,**  
**Support, and Equity of Distribution**

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**Exhibit F.1. Number of states that changed laws or regulations governing principal evaluation since 2009 and required principal evaluation practices: 2013–14**

Principal evaluation practices	Number of states
<b>Status of new laws or regulations</b>	
Did not adopt laws or regulations for principal evaluation	3
Adopted new laws or regulations for principal evaluation	48
<b>Required evaluation practice</b>	
Ratings based on a principal professional practice rubric	35
Required three or more performance categories	35
Principal evaluators must receive training on the principal professional practice rubric	32
Achievement growth of students schoolwide using a value-added measure (VAM) or student growth percentiles (SGPs) for elementary and middle school principals	14
Achievement growth of students schoolwide using a value-added measure (VAM) or student growth percentiles (SGPs) for high school principals	13
Requires use of student achievement growth (VAMS/SPGs) for all principals and ratings based on a professional practice rubric	11
Principal evaluators must pass a test that assesses their accuracy in using the principal professional practice rubric	8
Staff surveys or other staff feedback	9
Student surveys or other student feedback	4
Parent surveys or other parent feedback	4
Required use of professional practice rubric with trained and certified evaluators, and achievement growth using VAMs/SGPs, and at least 3 performance categories	5
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit F.2. Number of states by type of guidance to districts for principal evaluation systems:  
2013–14**

<b>State guidance</b>	<b>Number of states</b>
Districts are required to use a uniform evaluation model prescribed by the state	13
Districts are required to adopt the state evaluation model if they cannot meet or surpass state expectations (i.e., state default model)	4
Districts are permitted to select their own principal evaluation models as long as they comply with state statutes and rules	23
Districts may adopt state model but are not required to do so (i.e., exemplar model)	10
<b>Number of states responding</b>	<b>50</b>
<b>Number of states</b>	<b>51</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit F.3. Number of states requiring districts to submit plans or reports related to teacher and principal evaluation system practices, by status of state adoption of a new system as of 2009: 2013–14**

	Number of states that		
	All states	Adopted new laws or regulations	Did not adopt new laws or regulations
<b>Required plans or reports</b>			
<b>Plans for</b>			
evaluating principals and teachers, including information about any measures that are selected by districts <sup>1</sup>	24	23	1
using evaluation results in hiring/placement/promotion decisions <sup>1</sup>	6	6	0
describing what will be done to improve the performance of teachers identified as ineffective, low-performing, or unsatisfactory <sup>2</sup>	9	9	0
describing what will be done to improve the performance of principals identified as ineffective, low-performing, or unsatisfactory <sup>3</sup>	8	8	0
<b>Periodic reports</b>			
about the number of principals and teachers observed or rated over a specific time period <sup>1</sup>	16	15	1
about meeting other milestones or progress indicators (such as the number of principals and teachers who participated in a discussion of the past year's performance by a specific date) <sup>1</sup>	6	6	0
on the number or percentage of teachers identified as ineffective, low-performing, or unsatisfactory who were provided with assistance or were terminated <sup>2</sup>	16	15	1
on the number or percentage of teachers whose performance evaluation included a measure of student achievement growth <sup>2</sup>	17	17	0
on the number or percentage of principals identified as ineffective, low-performing, or unsatisfactory who were provided with assistance or were terminated <sup>3</sup>	13	13	0
<b>Other<sup>1</sup></b>	9	9	0
<b>Number of states</b>	<b>51</b>	<b>46-48</b>	<b>3-5</b>

<sup>1</sup> For this row, the column "states adopting new laws or regulations" is limited to the 46 states that adopted new laws or regulations for their teacher and principal evaluation system.

<sup>2</sup> For this row, the column "states adopting new laws or regulations" is limited to the 47 states that adopted new laws or regulations for their teacher evaluation system.

<sup>3</sup> For this row, the column "states adopting new laws or regulations" is limited to the 48 states that adopted new laws or regulations for their principal evaluation system.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit F.4. Percentage of districts by number of rating categories for teacher evaluation: 2013–14**

<b>Number of rating categories</b>	<b>Percent of districts</b>
Two	4
Three	12
Four	62
Five or more categories	21
<b>Number of districts</b>	<b>15,391</b>
<b>Number of districts (unweighted)</b>	<b>559</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

**Exhibit F.5. Percentage of districts observing satisfactory, proficient, or effective non-probationary or tenured teachers, by frequency of evaluations and number of observations per evaluation cycle: 2013–14**

<b>Number of observations per cycle</b>	<b>Percent of districts conducting evaluations</b>			
	<b>Every year</b>	<b>Every 2 years</b>	<b>Every 3 years</b>	<b>Every 4–5 years</b>
One	29	11	7	0
Two	21	4	3	1
Three	8	0	3	0
Four or more	6	2	2	1
<b>Number of districts</b>	<b>10,084</b>	<b>2,654</b>	<b>2,361</b>	<b>295</b>
<b>Number of districts (unweighted)</b>	<b>386</b>	<b>87</b>	<b>72</b>	<b>15</b>

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.



**Exhibit F.6. Percentage of districts using practices for teacher evaluation, by state guidance on evaluation systems: 2013–14**

Evaluation practice used	All districts	Percent of districts by guidance on state model			
		Required to use a uniform evaluation model prescribed by the state	Required to adopt the state model if they cannot meet or surpass state expectations (state default model)	Permitted to select their own teacher evaluation models as long as they comply with state statutes and rules	May adopt the state model but are not required to do so (state exemplar model)
<b>Classroom observations using a professional practice rubric</b>	92	91	100	97	86†
Used at least two classroom observations	50	68	66	58^	31*†
With trained observers	41	64	50	45*^	25*
With trained and certified observers	29	41	48	35^	15*
<b>Student achievement growth for some or all teachers<sup>1</sup></b>	50	77	66	52*^	35*†
VAM/SGP based on teacher's own students <sup>2</sup>	37	54	64	42^	22*†
At least three performance categories	95	96	89	96	95
Combination of multiple observations with trained and certified observers, achievement growth using VAMs/SGPs on teacher's own students, and at least three performance categories	18	26	36	26^	4*
<b>Number of districts</b>	<b>15,393</b>	<b>2,812</b>	<b>673</b>	<b>5,803</b>	<b>6,106</b>
<b>Number of districts (unweighted)</b>	<b>560</b>	<b>137</b>	<b>33</b>	<b>203</b>	<b>187</b>

\* Percentage is significantly different from percentage for districts required to use uniform evaluation model ( $p < .05$ ).

^ Percentage is significantly different from percentage of districts that may adopt but are not required to adopt the state model ( $p < .05$ ).

† Percentage is significantly different from percentage for districts required to adopt state model if they cannot meet or surpass state expectation ( $p < .05$ ).

<sup>1</sup> Student achievement growth includes growth for the teacher's own students and/or teamwide, gradewide, or schoolwide growth. This can include VAMs, SGPs, SLOs, or SGOs.

<sup>2</sup> Used for teachers in grades K–3, or ELA or math teachers in grades 4–8 or high school.

Note: Classroom observation data was limited to non-probationary/tenured teachers whose previous performance was rated effective, satisfactory, proficient, or better.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

F-7

**Exhibit F.7. Percentage of districts implementing a new teacher evaluation system established since 2009, by district size: 2013–14**

Implementation status	Percent of districts			
	All districts	Small districts	Medium districts	Large districts
Fully implementing	32	28	45*	40
Piloting or partially implementing	27	27	26	22
Not piloting or implementing	41	45	30*	38
<b>Number of districts</b>	<b>15,393</b>	<b>11,514</b>	<b>3,501</b>	<b>378</b>
<b>Number of districts (unweighted)</b>	<b>560</b>	<b>236</b>	<b>240</b>	<b>84</b>

\* Percentage is significantly different from percentage for small districts ( $p < .05$ ).

Notes: The category “Not piloting or implementing” includes districts that were planning their new systems but not yet piloting or implementing the system. Fully implementing means that all components of the new system were being used for all teachers districtwide. Small districts are those that enrolled fewer than 2,500 students, medium districts were those that enrolled 2,500 to fewer than 25,000 students, and large districts were those that enrolled 25,000 or more students.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

**Exhibit F.8. Average percentage of teachers in the highest and lowest performance categories, by district implementation status of new teacher evaluation system, for districts able to report these percentages: 2013–14**

Performance rating category	Average percent of teachers in districts			
	All districts	Not piloting or implementing	Piloting or partially implementing	Fully implementing
Highest evaluation rating or category	42	60	29*	32*
Lowest evaluation rating or category	4	5	4	3
<b>Number of districts</b>	<b>280</b>	<b>75</b>	<b>85</b>	<b>120</b>

\* Average is significantly different from average for districts not piloting or implementing a new teacher evaluation system ( $p < .05$ ).

Notes: The category “Not piloting or implementing” includes districts that were planning their new systems but not yet piloting or implementing the system. Fully implementing means that all components of the new system were being used for all teachers districtwide. Exhibit is limited to the 52 percent of districts that were able to report the percentage of teachers rated in the highest performance category.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

**Exhibit F.9. Percentage of evaluated teachers who somewhat/strongly agreed with statements about their understanding of the system used to evaluate their performance this year: 2013–14**

Teacher perceptions	Percent of teachers somewhat/strongly agreeing
Overall, I have a good understanding of the evaluation system	77
It is clear to me what I need to do to get the performance rating I want	74
<b>Number of teachers</b>	<b>1,825,642</b>
<b>Number of teachers (unweighted)</b>	<b>5,048</b>

Note: Exhibit is limited to teachers who were evaluated in the 2013-14.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit F.10. Percentage of principals evaluated using VAM or SGP measures of student achievement growth who agreed with statements about their evaluation, by years of experience as a principal: 2013–14**

Statements about use of student achievement growth in principal evaluations	All principals	Percent of principals	
		Five or fewer years of experience	More than five years of experience
Schoolwide student achievement growth is a fair measure of my performance	76	73	79
In the long run, students will benefit from including measures of student achievement growth in the evaluation of principals	79	81	77
<b>Number of principals</b>	<b>49,204</b>	<b>22,225</b>	<b>26,778</b>
<b>Number of principals (unweighted)</b>	<b>521</b>	<b>244</b>	<b>266</b>

Note: Exhibit is limited to principals who were evaluated in 2012–13 or 2013–14 and whose evaluation included student achievement growth (59 percent of principals).

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit F.11. Percentage of principals evaluated who somewhat/strongly agree that their performance evaluation covered all aspects of their performance, by whether their evaluation included student achievement growth: 2013–14**

Statements about use of student achievement growth in principal evaluations	All principals	Percent of principals whose evaluation	
		Included student achievement growth	Did not include student achievement growth
My overall evaluation covers all important aspects of my performance as a school leader	81	82	78
It is clear to me what I need to do to get the performance I want	76	80	70*
<b>Number of principals</b>	<b>79,625</b>	<b>48,564</b>	<b>30,941</b>
<b>Number of principals (unweighted)</b>	<b>789</b>	<b>512</b>	<b>276</b>

\* Percentage is significantly different from its complementary category ( $p < .05$ ).

Note: Exhibit is limited to principals who were evaluated in 2012–13 or 2013–14.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Principal Survey.

**Exhibit F.12. Average required in-service teacher professional development days during 2013–14 and summer 2013, by district implementation status of new teacher evaluation system**

Unit measured	Average in districts			
	All districts	Not piloting or implementing	Piloting or partially implementing	Fully implementing
Average number of days	6.75	6.74	6.94*	6.62*
<b>Number of districts</b>	<b>15,231</b>	<b>6,237</b>	<b>4,048</b>	<b>4,946</b>
<b>Number of districts (unweighted)</b>	<b>557</b>	<b>180</b>	<b>164</b>	<b>213</b>

\* Average is statistically different from average for districts not piloting or implementing a new teacher evaluation system ( $p < .05$ ).

Note: The category “Not piloting or implementing” includes districts that were planning their new systems but not yet piloting or implementing the system. Fully implementing means that all components of the new system were being used for all teachers districtwide.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit F.13. Teacher reported average hours of professional development on teacher evaluation system during 2013–14 and summer 2013, by district implementation status of new teacher evaluation system**

Unit measured	Average for teachers in districts			
	All teachers	Not piloting or implementing	Piloting or partially implementing	Fully implementing
Average hours	10.55	11.61	10.32	9.84
<b>Number of teachers</b>	<b>2,212,972</b>	<b>663,811</b>	<b>636,651</b>	<b>892,683</b>
<b>Number of teachers responding</b>	<b>6,040</b>	<b>1,775</b>	<b>1,803</b>	<b>2,414</b>

Note: The category “Not piloting or implementing” includes districts that were planning their new systems but not yet piloting or implementing the system. Fully implementing means that all components of the new system were being used for all teachers districtwide.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: Spring 2014 Teacher Survey.

**Exhibit F.14. Number of states requiring districts to use teacher evaluation results for various teacher personnel decisions: 2013–14**

<b>Personnel decision</b>	<b>Number of states</b>
<b>For professional development</b>	
<b>Any professional development decisions</b>	31
Planning professional development for individual teachers	20
Development of performance improvement plans for low-performing teachers	27
Setting goals for student achievement growth for the next school year	9
Identifying low-performing teachers for coaching, mentoring, or peer assistance	11
<b>For professional rewards</b>	
<b>Any professional rewards</b>	19
Recognizing high-performing teachers	6
Determining salary increases or other performance-based compensation	4
Granting tenure or similar job protection <sup>1</sup>	18
Career advancement opportunities, such as teacher leadership roles	4
Determining eligibility to transfer to other schools	3
<b>For low-performing teachers</b>	
<b>Any tenure loss/termination/layoff<sup>1</sup></b>	22
Loss of tenure or similar job protection <sup>1</sup>	16
Sequencing potential layoffs if the district needs to reduce staff	6
Dismissal or terminating employment for cause	15
<b>Number of states</b>	<b>51</b>

<sup>1</sup>Percentages for items related to granting or loss of tenure are limited to those states where tenure is offered.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit F.15. Number of states that examined the distribution of principal quality/effectiveness within the past 12 months and the measures used: 2013–14**

Measures used to define principal quality and/or effectiveness	Number of states
<b>Examined distribution</b>	<b>14</b>
<b>Principal measures used to examine distribution:</b>	
<i>Performance measures of teacher quality:</i>	
Evaluation ratings	7
Effectiveness as measured by VAMs or SGPs	4
Only performance measure (evaluation ratings or effectiveness as measured by VAM or SGP) used to examine distribution	7
<i>Non-performance measure of principal quality:</i>	
Certification	1
Experience	1
Educational attainment	1
Other	0
Only non-performance measure (certification, experience, education, other) used to examine distribution	1
<i>Both performance and non-performance measures used to examine distribution</i>	4
Did not examine distribution	37
<b>Number of states</b>	<b>51</b>

Note: States were asked if they examined information about the distribution of principal quality or effectiveness across schools or districts serving different student populations within the past 12 months. Two states indicated that they used principal evaluation ratings but did not provide complete information on the non-performance measures and could not be classified on the non-performance measures or both types of measures.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit F.16. Number of states that used specific measures to define principal quality/effectiveness, by whether the state found substantial inequities in principal distribution: 2013–14**

Measures used to define principal quality and/or effectiveness	Number of states that		
	All states	Found substantial inequities	Did not find substantial inequities
Performance information only <sup>1</sup>	7	6	1
Non-performance measures only <sup>2</sup>	1	1	0
Both principal performance and non-performance measures	4	4	0
<b>Number of states</b>	<b>14</b>	<b>12</b>	<b>2</b>

<sup>1</sup>Performance includes principal evaluation ratings or effectiveness measured by VAMs or SGPs.

<sup>2</sup>Non-performance measures include principal experience, educational attainment, or certification.

Note: Exhibit does not include states that did not examine this distribution (37 states). States were asked if they examined information about the distribution of principal quality or effectiveness across schools or districts serving different student populations within the past 12 months. Two states indicated that they used principal evaluation ratings but did not provide complete information on the non-performance measures and could not be classified on the non-performance measures or both types of measures.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.

**Exhibit F.17. Number of states that found substantial inequities in the distributions of principal quality/effectiveness and took actions to address inequities: 2013–14**

Actions taken	Number of states
<b>Number of states reporting inequities</b>	<b>12</b>
<b>State actions to address inequities</b>	
Provided resources (e.g., professional development, coaching) to improve the effectiveness of less-qualified or effective principals	6
Provided findings about inequities to school districts and/or the public	5
Established financial incentives to encourage qualified or effective principals who move to or stay in schools with lower levels of principal quality or effectiveness compared to other schools	1
Required school districts to develop a plan for addressing inequities	1
Other	2
Took any of the above actions	8
Took multiple actions	5
Had not taken action to address inequities in access to effective principals	3
<b>Number of states</b>	<b>12</b>

Note: Exhibit is limited to states that examined information about the distribution of principal quality or effectiveness across schools or districts serving different student populations within the past 12 months and found substantial inequities. One state did not provide information on actions taken.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 Survey of State Education Agencies.



**Exhibit F.18. Percentage of districts examining the distribution of principal quality/effectiveness, by district size: 2013–14**

Whether and how examined distribution	All districts	Percent of districts		
		Small districts	Medium districts	Large districts
<b>Examined distribution using</b>				
Information from study by district or district contractor	17	13	29*	33*
Information from state education agency	4	5	2	9†
Did not examine distribution of principal quality/effectiveness	79	83	69*	57*
<b>Number of districts</b>	<b>15,266</b>	<b>11,387</b>	<b>3,501</b>	<b>378</b>
<b>Number of districts (unweighted)</b>	<b>558</b>	<b>234</b>	<b>240</b>	<b>84</b>

† Percentage is significantly different from the percentage for medium districts ( $p < .05$ ).

\* Percentage is significantly different from the percentage for small districts ( $p < .05$ ).

Note: Small districts are those that enrolled fewer than 2,500 students, medium districts were those that enrolled 2,500 to fewer than 25,000 students, and large districts were those that enrolled 25,000 or more students.

Source: U.S. Department of Education, Institute of Education Sciences, Implementation of Title I and Title II-A Program Initiatives: 2013–14 District Survey.

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