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September 2015

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INSTITUTE OF EDUCATION SCIENCES

NATIONAL CENTER FOR EDUCATION EVALUATION AND REGIONAL ASSISTANCE

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# I. INTRODUCTION

The American Recovery and Reinvestment Act of 2009 (ARRA) provided an unprecedented amount of federal funds for education in an effort to lessen the effects of the nation's economic downturn and to make a lasting investment in education. Through $97.4 billion in ARRA funds, the federal government sought to save education jobs, fund a new wave of innovation in education, and support comprehensive efforts to turn around low-performing schools. Race to the Top (RTT), a new competitive state grant program authorized under ARRA, received $4.35 billion to spur states to fund a broad array of policies and practices designed to affect all levels of public school education with the ultimate goal of improving student outcomes. The six primary topic areas described in the RTT application criteria were (1) improving state capacity to support school improvement efforts; (2) adopting standards and assessments that prepare students to succeed in college and the workplace; (3) building state data systems that measure student growth and success and inform school staff about how they can improve instruction; (4) recruiting, developing, rewarding, and retaining effective teachers and principals; (5) turning around low-performing schools; and (6) encouraging conditions in which charter schools can succeed.

To learn about the RTT program, the U.S. Department of Education's (ED's) Institute of Education Sciences commissioned an evaluation of the program. The RTT evaluation is based on a descriptive analysis of state-level education policies and practices, and a descriptive analysis of student outcomes at the state level (the latter of which will be presented in a future report), in states that received RTT grants compared to states that did not.

At the request of ED's Office of English Language Acquisition (OELA), part of the evaluation also focuses on how states have addressed the needs of English language learners (ELLs) as they used the policies and practices promoted by RTT. ELLs are of particular interest to this evaluation because: (1) they are historically lower-achieving than non-ELLs[1], and (2) the RTT program placed particular emphasis on prioritizing the academic achievement of high-needs students, including ELLs (U.S. Department of Education 2010).

The study is being conducted by Mathematica Policy Research, the American Institutes for Research, and Social Policy Research Associates. In this chapter we provide background information about the RTT program, present prior research on RTT, and provide an overview of our evaluation and the contents of this report.

## A. Scope, Purpose, Timing, and Size of RTT Grants

RTT was designed to promote systemic changes to the U.S. educational system, with the ultimate goal of improving student achievement. ED awarded three types of RTT grants between 2010 and 2013: Round 1, 2, and 3 grants funded by ARRA; RTT-Early Learning Challenge grants; and RTT-District grants.[2] This evaluation focuses on the Round 1, 2, and 3 grants to

[1] Since 2002, ELLs' reading test scores have been below those of non-ELLs on the National Assessment of Educational Progress test (National Center for Education Statistics. *The Condition of Education*. Accessed February 17, 2014 at https://nces.ed.gov/programs/coe/indicator_cgf.asp).

[2] RTT-Early Learning Challenge grants totaling $913 million were made to 20 states in 2011, 2012, and 2013, with the goal of improving early learning and development programs so that children entering kindergarten will be ready to succeed. The program focuses on improving early learning and development for young children in two

states that were funded by ARRA. In the remainder of this report, when we refer to RTT, we are referencing the Round 1 to 3 RTT grants and not the other two types.

RTT aims to facilitate policies and practices in six areas (listed above). RTT grants were designed to encourage and reward states that had strong records of using these policies and practices and that presented plans in their RTT applications for furthering policies and practices in these areas (U.S. Department of Education 2010).

The Race to the Top Executive Summary[3] summarizes the program's priorities and theory of action. The general theory of action underlying RTT is that policy changes at the state level represent the first step in the process of changing the education system and that the ultimate goal is improving student outcomes. Changes would be expected to occur at the state level before occurring at lower levels, such as districts, schools, and classrooms.

RTT grants were awarded through a competition open to all states, the District of Columbia, and Puerto Rico. To maximize the program's likelihood of fostering systemic educational policies and practices, ED required states applying for RTT grants to demonstrate substantial commitment to implement their proposed plans at the local level. In their RTT applications, states had to identify the local education agencies (LEAs) committing to implement all or the vast majority of the policies and practices proposed by the state—that is, *participating* LEAs. In contrast, *involved* LEAs were those committing to participate in specific portions of RTT policies and practices that would necessitate statewide or nearly statewide implementation (for example, adopting common standards). ED required RTT states to give no less than half of their grant funds to participating LEAs, apportioned to them according to the LEAs' share of Title I funds.[4] RTT states were allowed substantial flexibility regarding the use of the balance of their grants. They could use the remaining funds to support statewide activities (such as enhancements to data, evaluation, or support systems), as supplementary awards to participating LEAs, as sub-grants to involved LEAs, or for other activities.

Across the three rounds of competition, 46 states and the District of Columbia applied for RTT grants. (The exceptions were Alaska, North Dakota, Texas, and Vermont.) The timing of awards, number of states selected, range of award amounts, and other descriptive information about each round are shown in Table I.1. States' award amounts varied based on their share of the nation's school-age population and the budget they proposed in their application for accomplishing the specific plans they proposed. In this report, we use the term *early RTT states* to refer to the 12 states selected in the first two rounds. We use the term *later RTT states* for the 7

*(continued)*

ways: (1) by supporting states' efforts to increase the number and percentage of disadvantaged children enrolled in high-quality early learning and development programs and (2) by designing and implementing an integrated system of high-quality early learning and development programs and services. RTT-District grants totaling $520 million were made to 21 school districts in December 2012 and 2013 to support locally developed plans with four goals: (1) to personalize and deepen student learning, (2) to directly improve student achievement and educator effectiveness, (3) to close achievement gaps, and (4) to prepare every student to succeed in college and their careers. In 2014, the Obama administration proposed investing $300 million in a new RTT competition promoting educational equity and opportunity.

[3] The Executive Summary is available at http://www2.ed.gov/programs/racetothetop/executive-summary.pdf.

[4] Title I, Part A (Title I) of the Elementary and Secondary Education Act provides financial assistance to LEAs and schools with high numbers or high percentages of children from low-income families. Title I funds are allocated using formulas that are based primarily on census poverty estimates and the cost of education in each state.

states selected in the third round. The early and later states were judged by ED to have articulated comprehensive plans to improve education policies and practices and to have demonstrated the capacity for, and significant past progress in, implementing policies and practices in the program's topic areas. The RTT applicants, their application scores from Rounds 1 and 2, the award amounts, and the percentage of LEAs participating for each grantee are listed

**Table I.1. Information about RTT Competition Rounds 1, 2, and 3**

| | Round 1 | Round 2 | Round 3 |
|---|---|---|---|
| Eligible applicants | Open to all states, the District of Columbia, and Puerto Rico | Open to all states other than Round 1 grantees and to the District of Columbia and Puerto Rico | Open only to the nine finalists from Round 2 that did not receive a grant in Round 2 |
| Policies and Practices | ED asked states to address policies and practices in all six areas listed in the RTT application criteria | ED asked states to address policies and practices in all six areas listed in the RTT application criteria | ED only required states to focus on a portion of the policies and practices in their Round 2 applications[a] |
| Budget | ED provided suggested budget ranges for each state | States required to stay within the Round 1 budget ranges provided | ED provided suggested budget amounts for each state |
| Timing of awards | March 2010 | August 2010 | December 2011 |
| Number of states selected | 2 | 10 | 7 |
| Award amounts | $100 million–$500 million | $75 million–$700 million | $17 million–$43 million |

Source: U.S. Department of Education.

Note: Alaska, North Dakota, Texas, and Vermont did not apply for RTT grants in any round. ED = U.S. Department of Education.

[a] All seven Round 3 states focused on policies and practices in the areas of state capacity and standards and assessments. Six states also focused on policies and practices in the areas of data systems (Colorado was the exception) and teachers and principals (Arizona was the exception). One state (Louisiana) also focused on policies and practices in the area of school turnaround. Two states (New Jersey and Pennsylvania) also focused on policies and practices in the area of charter schools.

in Table I.2.[5] States have four years from the time of the award in which to implement their plans and spend the grant funds, although states may request a no-cost extension if they anticipate needing additional time to complete certain projects (as of November 2014, Delaware, the District of Columbia, Florida, Georgia, Maryland, Massachusetts, New York, North Carolina, Ohio, Rhode Island, and Tennessee had received approval for no-cost extensions). Note that we sometimes refer to *states* when discussing RTT states while recognizing that one early RTT state is the District of Columbia.

[5] Scores given to applications provide important context about ways in which RTT states and non-RTT states may have differed before RTT awards were announced. Additional analysis of the average scores for each group of states is presented in Chapter III. ED did not calculate scores in Round 3.

**Table I.2. Information about RTT Applicants and Grantees**

| State | Round of Award | Round 1 Score | Round 2 Score | Award Amount | Percentage of LEAs Participating |
|---|---|---|---|---|---|
| Delaware | 1 | 455 | --[a] | $100 million | 100 |
| Tennessee | 1 | 444 | --[a] | $500 million | 100 |
| Georgia | 2 | 434 | 446 | $400 million | 14 |
| Florida | 2 | 431 | 452 | $700 million | 96 |
| Rhode Island | 2 | 419 | 451 | $75 million | 96 |
| Ohio | 2 | 419 | 441 | $400 million | 53 |
| North Carolina | 2 | 414 | 442 | $400 million | 100 |
| Massachusetts | 2 | 411 | 471 | $250 million | 70 |
| New York | 2 | 409 | 465 | $700 million | 86 |
| District of Columbia | 2 | 402 | 450 | $75 million | 63 |
| Hawaii | 2 | 365 | 462 | $75 million | 100 |
| Maryland | 2 | --[a] | 450 | $250 million | 92 |
| Illinois | 3 | 424 | 427 | $43 million | --[c] |
| Pennsylvania | 3 | 420 | 418 | $41 million | --[c] |
| Kentucky | 3 | 419 | 412 | $17 million | --[c] |
| Louisiana | 3 | 418 | 434 | $17 million | 72 |
| Colorado | 3 | 410 | 420 | $18 million | 51 |
| New Jersey | 3 | 387 | 438 | $38 million | 28 |
| Arizona | 3 | 240 | 435 | $25 million | --[c] |
| South Carolina | --[b] | 423 | 431 | --[b] | --[b] |
| Arkansas | --[b] | 394 | 389 | --[b] | --[b] |
| Utah | --[b] | 379 | 379 | --[b] | --[b] |
| Minnesota | --[b] | 375 | --[a] | --[b] | --[b] |
| Michigan | --[b] | 366 | 382 | --[b] | --[b] |
| Indiana | --[b] | 356 | --[a] | --[b] | --[b] |
| Iowa | --[b] | 346 | 383 | --[b] | --[b] |
| Connecticut | --[b] | 345 | 379 | --[b] | --[b] |
| Wisconsin | --[b] | 341 | 368 | --[b] | --[b] |
| California | --[b] | 337 | 424 | --[b] | --[b] |
| Idaho | --[b] | 331 | --[a] | --[b] | --[b] |
| Kansas | --[b] | 330 | --[a] | --[b] | --[b] |
| New Mexico | --[b] | 325 | 366 | --[b] | --[b] |
| Virginia | --[b] | 325 | --[a] | --[b] | --[b] |
| Wyoming | --[b] | 319 | --[a] | --[b] | --[b] |
| Missouri | --[b] | 301 | 316 | --[b] | --[b] |
| Oklahoma | --[b] | 295 | 392 | --[b] | --[b] |
| Oregon | --[b] | 293 | --[a] | --[b] | --[b] |
| West Virginia | --[b] | 292 | --[a] | --[b] | --[b] |
| Alabama | --[b] | 291 | 212 | --[b] | --[b] |
| New Hampshire | --[b] | 271 | 335 | --[b] | --[b] |
| Nebraska | --[b] | 247 | 296 | --[b] | --[b] |

Table 1.2 *(continued)*

| State | Round of Award | Round 1 Score | Round 2 Score | Award Amount | Percentage of LEAs Participating |
|---|---|---|---|---|---|
| South Dakota | --[b] | 136 | --[a] | --[b] | --[b] |
| Maine | --[b] | --[a] | 283 | --[b] | --[b] |
| Mississippi | --[b] | --[a] | 263 | --[b] | --[b] |
| Montana | --[b] | --[a] | 238 | --[b] | --[b] |
| Nevada | --[b] | --[a] | 381 | --[b] | --[b] |
| Washington | --[b] | --[a] | 291 | --[b] | --[b] |

Source: U.S. Department of Education.

Note: States are listed within rounds by their Round 1 score. Alaska, North Dakota, Texas, and Vermont did not apply for RTT grants in any round. The U.S. Department of Education did not calculate scores in Round 3.

[a] Delaware and Tennessee do not have Round 2 scores because they received grants in Round 1. Maryland, Maine, Mississippi, Montana, Nevada, and Washington do not have Round 1 scores because they did not apply for an RTT grant in Round 1. Minnesota, Indiana, Idaho, Kansas, Virginia, Wyoming, Oregon, West Virginia, and South Dakota do not have a Round 2 score because they did not apply for an RTT grant in Round 2.

[b] These states did not receive a grant in any round.

[c] These states did not report the percentage of LEAs participating or provide a list of participating LEAs in their RTT Round 3 applications.

LEA = local education agency.

## B. Prior Research on RTT

Given that it is a relatively new program, prior research on RTT implementation is limited. Several studies have examined RTT implementation progress in RTT states. These studies found that RTT states made progress in implementing RTT policies and practices, though many states encountered challenges that caused delays (Boser 2012; Government Accountability Office 2011; Government Accountability Office 2015; Miller and Hanna 2014; http://www2.ed.gov/programs/racetothetop/performance.html).[6] One study that evaluated early RTT states' first-year efforts to meet the goals outlined in their applications rated 10 out of the 12 early RTT states as "meeting expectations" (Boser 2012). A follow-up study found that all RTT states adopted college- and career-ready standards, nearly all RTT states developed data systems to track students from preschool into postsecondary education, and four RTT states were at or near full implementation of new educator evaluation systems aligned with RTT requirements (Miller and Hanna 2014). ED determined that most states were making satisfactory progress in their first and second years of implementation and placed the few exceptions on high-risk status, a designation that can result in loss of grant funding. Although these studies examined RTT implementation progress, they did not examine as many RTT-promoted policies and practices as we examine in this report, they did not examine the extent to which non-RTT states might have adopted these policies or practices, nor did they synthesize them into the six areas described in the RTT application criteria.

[6] U.S. Department of Education "RTT Annual Performance Report" (http://www2.ed.gov/programs/racetothetop/performance.html) provides RTT annual performance reports for each state.

RTT promotes a broad set of policies and practices, and several studies have shown that RTT states have faced more difficulties implementing some types of policies and practices than others. In particular, many states are experiencing difficulties implementing teacher and principalevaluation systems and developing data systems (Boser 2012; Weiss 2013; http://www2.ed.gov/programs/racetothetop/performance.html). Common challenges that states have encountered during RTT implementation include procurement delays, staff turnover, and legal challenges and contract disputes over the teacher and principal evaluation systems.

Most research on the implementation of policies and practices promoted by RTT focuses only on RTT states, but a few studies (Government Accountability Office 2011; Howell 2015; National Council on Teacher Quality 2011) that include non-RTT states suggest that RTT states were more likely to adopt these types of policies and practices than other states. Officials from states that applied for and received RTT grants reported that the RTT funds would accelerate their adoption of policies and practices; officials from states that applied for but did not receive RTT grants reported that they still planned to implement *some* of the proposed policies and practices, though more slowly than if they had received an RTT grant (Government Accountability Office 2011). One study of states' teacher evaluation policies after the first year of RTT implementation found that early RTT states were more likely to have adopted legislation or regulations that gave student achievement a significant and meaningful role in teacher evaluations than later RTT states or non-RTT states (National Council on Teacher Quality 2011). Finally, a recent study found that while both RTT and non-RTT states enacted a subset of RTT-promoted policies at a higher rate after the onset of RTT than previously, policy adoption rates increased more for RTT states than non-RTT states (Howell 2015).

A large literature examines the process of state policy adoption more broadly. Because the goal of this report is to provide descriptive information about the extent to which states used the policies and practices promoted by RTT, rather than to explain why some states used these policies and practices and other states did not, it is beyond the scope of this report to summarize this literature in detail. It includes studies that use statistical modeling to predict whether certain states will adopt policies or not, based on state characteristics and the history of policy adoption. To name two examples, Berry and Berry (1990) examined state adoption of lotteries and Mintrom (2000) examined state adoption of school choice policies.

This report focuses on the usage of RTT-promoted policies and practices, and sets the table for a future report that will examine whether receipt of an RTT grant is related to improvement in student outcomes. Because this report does not examine the effectiveness of RTT, it is beyond the scope of this report to discuss the literature on RTT effectiveness in detail; however, we provide a brief summary of it in the next paragraph to set the stage for the future report.

To our knowledge, no studies to date have examined the impact of RTT on student outcomes or other measures of educational improvement. A vast literature does examine the effectiveness of the types of policies and practices promoted by RTT. Overall, this literature provides no conclusive evidence on whether RTT-promoted policies and practices improve student outcomes. In two of the six areas described in the RTT application criteria (standards and assessments, school turnaround), to our knowledge, no experimental studies examined the relationship between RTT-promoted policies and practices and student outcomes, and non-experimental studies found mixed results (some studies found that RTT-promoted policies and

practices were associated with improved student outcomes, while other studies found no relationship between these policies and practices and student outcomes).[7,8] In three areas (data systems, teacher and principal certification and evaluation, charter schools), the evidence from both experimental and non-experimental studies was mixed.[9] In the area of state capacity, to our knowledge, no studies examined the relationship between the types of policies and practices promoted by RTT and student outcomes.

## C. Evaluation Focus

As noted in section B above, there is no conclusive evidence on whether the types of policies and practices promoted by RTT improve student outcomes, and no studies have examined the relationship between the RTT program and student outcomes. In addition, few studies on the implementation of RTT-promoted policies and practices examine a comprehensive set of these policies and practices spanning all the areas described in the RTT application, and few examine whether the policies and practices used by RTT states differ from those used by non-RTT states. This evaluation seeks to address these gaps in the existing literature. It is designed to examine the relationship between receipt of an RTT grant and student achievement (a topic that will be addressed in a future report), whether RTT grant recipients report using the policies and practices promoted by the program, and if they are doing so to a different extent than states that have not received such grants. This volume of the report focuses on the following research questions:

- Are RTT states using the educational policies and practices promoted by RTT, and how does that compare to the usage of those policies and practices by non-RTT states?
- Does usage of these policies and practices include a focus on ELLs, and does that focus on ELLs vary between RTT and non-RTT states?
- Does usage of these ELL-focused educational policies and practices vary by the percentage of students who are ELLs or the ELL/non-ELL student achievement gap?

To address these research questions, we conducted interviews with state-level administrative staff in 49 states and the District of Columbia.

[7] Experimental studies are those that examine treatment and comparison groups from a randomized controlled trial. The results from experimental studies (if such studies are conducted appropriately) can be used to make causal statements about the effect of a practice, policy, program, or intervention on an outcome of interest. The results from non-experimental studies cannot be used to make such causal statements because these studies cannot rule out the possibility that other differences between the groups—besides the intervention itself—caused any observed differences in outcomes.

[8] To cite a few examples of these non-experimental studies: Ballou and Springer 2008; Bandeira de Mello 2011; Bifulco et al. 2003; Borman et al. 2003; Booker et al. 2009; Dee 2012; Dee and Jacob 2011; de la Torre and Gwynne 2009; Figlio et al. 2009; Fryer 2014; Fuller et al. 2007; Hanushek and Raymond 2005; Lee 2006; Player and Katz 2013; and Strunk et al. 2012.

[9] To cite a few examples: Abdulkadiroglu et al. 2011; Allen et al. 2011; Carlson et al. 2011; Clark et al. 2013; Constantine et al. 2009; Decker et al. 2004; Dobbie and Fryer 2011; Fryer et al. 2012; Garet et al. 2008; Garet et al. 2010; Glazerman et al. 2006; Glazerman et al. 2013; Gleason et al. 2010; Henderson et al. 2007; Henderson et al. 2008; Hoxby et al. 2009; Hoxby and Rockoff 2005; May and Robinson 2007; Quint et al. 2008; Slavin et al. 2011; Tuttle et al. 2013; Zimmer and Buddin 2006; and Zimmer et al. 2012.

## D. Looking Ahead

In Chapter II, we describe the study sample, design, and data collected to address these research questions. In Chapter III, we provide baseline information on the RTT sample. In Chapter IV, we present findings on the extent to which RTT states reported using the policies and practices promoted by RTT in spring 2012 and how that compares to the usage of those policies and practices by non-RTT states. In Chapter V, we present findings on the extent to which RTT and non-RTT states reported focusing on ELLs in their usage of the policies and practices promoted by RTT, and how that varies by the percentage of students who are ELLs and the ELL/non-ELL achievement gap. In Chapter VI, we discuss the findings from this volume. In Appendices A, B, C, and D, we provide additional results, including responses to individual interview questions.

# II. STUDY SAMPLE, DATA COLLECTION, AND ANALYSIS

In this chapter, we describe the study sample, the data collected, and the method of analyzing the data for the evaluation of RTT.

## A. Study Sample and Data Collection

The sample for the evaluation of RTT includes 49 states and the District of Columbia. The data examined in this volume come from structured telephone interviews with representatives from the state education agencies in 49 states and the District of Columbia, conducted in spring 2012, for a response rate of 98 percent (Texas did not participate in the interviews). The interviews took place roughly 25 months after Round 1 grants were received, 20 months after Round 2 grants were received, and 4 months after Round 3 grants were received. These interviews collected information about educational policies, practices, and supports related to the six primary RTT topic areas. The RTT objectives in each area and the policies and practices within each area for which we had state interview data are detailed in Table II.1.[10,11] The state interview included questions addressing twelve ELL-focused policies and practices aligned with RTT objectives (Table II.2). Interviews were organized into modules (one for each of the six areas), and we typically interviewed different respondents from each state for each module. Respondents were the state administrators most knowledgeable about each area. Each question received only one response per state. To facilitate comparisons between RTT states and non-RTT states, we asked all states the same set of questions. To limit the length of the interview, we sought input from IES and the RTT program office on which questions were of greatest interest to them. We conducted pilot tests of the instrument and provided training to the data collection team to ensure the uniformity and consistency of the data collected.

To provide baseline and other contextual information for the sample used in this report, we drew on two other publicly available data sources: National Assessment of Educational Progress (NAEP) scores and the Common Core of Data. From NAEP, a nationally representative assessment of U.S. students, we obtained state-level average scores in math and reading for 4th and 8th grades from 2007. From the Common Core of Data, which includes annual data about each public school, LEA, and state in the country, we obtained 2007–2008 state-level characteristics such as the percentage of students in each race or ethnicity category, the percentage of students eligible for free or reduced-price lunch (an indicator of economic need), the percentage of schools eligible for Title I (a program that provides financial assistance to LEAs and schools with high numbers or high percentages of children from low-income families), the percentage of schools at each level (elementary, middle, high), and the average number of full-time staff.

[10] The state interview protocol is available at http://www.mathematica-mpr.com/publications/PDFs/Spring_2012_State_Interview_Protocol.pdf.

[11] The interview questions specified particular time periods of interest. For example, some questions asked, "Currently, are you…?" and others asked "In the 2007–2008 school year, did you…?" Therefore, the results in this report represent a point-in-time measure of the policies and practices used by states. Throughout the report, we use phrases such as "*In spring 2012*, states reported *using* policies and practices" to reflect that these are point-in-time measures. Because the usage of policies and practices is a dynamic process, it is possible that some policies and practices used by states at the time of the interview were no longer in use after the interview. For example, some states that had adopted Common Core standards at the time of the interview may have repealed them afterwards.

**Table II.1. RTT Objectives and Policies and Practices Addressed by State Interview Questions, by Topic Area**

| Topic Area | RTT Objectives | Policies and Practices Addressed by State Interview Questions |
|---|---|---|
| Improving state capacity to support school improvement efforts | Articulating the state's education reform agenda and local education agencies' participation in it[a] | • Have reform plan in place<br>• Prioritize college and career-ready standards or assessments<br>• Prioritize development of state longitudinal data system (SLDS) or data use<br>• Prioritize teacher and principal evaluation and effectiveness<br>• Prioritize school turnaround |
| | Building strong statewide capacity to implement, scale up, and sustain the proposed plans | • Support implementation of reform plan<br>• Work with districts to replicate best practices statewide<br>• Provide effective and efficient grant oversight<br>• Involve teachers, unions, or administrators to define priorities<br>• Involve other stakeholders to define priorities |
| | Demonstrating significant progress in raising achievement and closing gaps | No items in state interview aligned with this objective[b] |
| Adopting standards and assessments that prepare students to succeed in college and the workplace | Developing and adopting common standards | • Adopt Common Core State Standards (CCSS) |
| | Developing and implementing common, high-quality assessments | • Participate in CCSS Consortium<br>• Fully implement assessments developed by consortium |
| | Supporting the transition to enhanced standards and high-quality assessments | • Provide funds for new staff or new technology to implement CCSS<br>• Provide new technology for CCSS assessments<br>• Require new curricula or provide materials to implement CCSS<br>• Require or support development or implementation of interim assessments<br>• Change high school exit exam, credit, or college entrance requirements<br>• Provide support or professional development to teachers or principals to implement CCSS<br>• Support CCSS implementation for English language learners (ELLs) |
| Building state data systems that measure student growth and inform instruction | Fully implementing a statewide longitudinal data system | • Have SLDS<br>• SLDS has program participation data<br>• SLDS linked to early childhood data system<br>• SLDS linked to higher education data system |
| | Accessing state data and using it to inform key stakeholders | • Allow SLDS to be accessed by stakeholders<br>• Use SLDS to support decision makers |
| | Using data to improve instruction | • Require districts to implement data system<br>• Provide supports to districts for using data |
| Recruiting, developing, rewarding, and retaining effective teachers and principals | Providing high-quality pathways to certification for aspiring teachers and principals | • Authorize qualified alternative-route program operators[c]<br>• Increase alternative-route program selectivity<br>• Increase time in school-based learning experiences<br>• Allow alternative-route programs to award same certification as traditional-route programs[d]<br>• Have alternative-route programs currently operating<br>• Have process to identify teacher and principal shortage areas<br>• Take steps to address teacher and principal shortage areas |
| | Improving teacher and principal effectiveness based on performance | • Require student achievement growth<br>• Require multiple evaluation measures<br>• Specify required minimum number of rating levels<br>• Conduct annual teacher evaluations[e]<br>• Require that evaluation results be used for professional development<br>• Require that evaluation results be used for compensation decisions<br>• Require that evaluation results be used for career advancement decisions<br>• Require that evaluation results be used for dismissal decisions |

Table II.1 *(continued)*

| Topic Area | RTT Objectives | Policies and Practices Addressed by State Interview Questions |
|---|---|---|
| | Ensuring equitable distribution of effective teachers and principals | • Require use of strategies for more equitable distribution of effective teachers and principals<br>• Conduct analyses of shifts in distribution of effective teachers and principals |
| | Improving the effectiveness of teacher and principal preparation programs | • Use effectiveness ratings to assess certification programs<br>• Publicly report certification program effectiveness<br>• Support effective certification programs |
| | Providing effective support to teachers and principals | No items in state interview aligned with this objective[b] |
| Turning around low-performing schools | Authority to intervene in the lowest-achieving schools and local education agencies | • Have authority to take over failing schools |
| | Turning around the lowest-achieving schools | • Provide training in analyzing data to improve instruction<br>• Help align curricula to state standards<br>• Provide training on school improvement plans, effective curricula, instructional strategies, or intervention models<br>• Provide training on strategies for ELLs<br>• Provide technical assistance on improving professional development<br>• Provide operational flexibility for staffing and budgeting<br>• Provide technical assistance on recruiting and retaining teachers or financial incentives<br>• Have teacher tenure rules that address placement in or removal from lowest-achieving schools<br>• Have administrative structures for supporting turnaround efforts, monitoring, or providing support |
| Encouraging conditions in which charter schools can succeed | Eliminating restrictions on charter school creation and enrollment | • Have no restrictions on new charter schools or charter enrollment |
| | Refining authorization and monitoring processes | • Prioritize schools that address needs of ELLs<br>• Monitor academic performance of charter schools<br>• Monitor nonacademic performance of charter schools |

Source: RTT application; interviews with state administrators in spring 2012.

[a] Regular school districts are the most common type of local education agency.

[b] The number of questions included in the state interview was purposefully limited to reduce the time it took to complete the interview. We initially developed the interview questions based on an examination of the RTT application criteria. To ensure that the interview was of a reasonable length, we then pared down the initial list of questions through a deliberative process with the Institute of Education Sciences and the RTT Program Office, to assess their priorities for the types of questions to include. The interview did not include any questions about this objective.

[c] Alternative-route programs are those that offer an alternative route to certification.

[d] Traditional-route programs are those that offer a traditional route to certification.

[e] The state interview did not ask about this policy or practice for principals.

**Table II.2. RTT Objectives and the ELL-Focused Policies and Practices Aligned with Those Objectives That Were Addressed by State Interview Questions, by Topic Area**

| Topic Area | RTT Objectives | ELL-Focused Policies and Practices Addressed by State Interview Questions |
|---|---|---|
| Improving state capacity to support school improvement efforts | Articulating the state's education reform agenda and local education agencies' participation in it[a] | • Prioritize support to ELLs |
| | Building strong statewide capacity to implement, scale up, and sustain the proposed plans | • Provide targeted support to ELLs<br>• Implement organizational or administrative changes to improve capacity to support ELLs |

Table II.2 *(continued)*

| Topic Area | RTT Objectives | ELL-Focused Policies and Practices Addressed by State Interview Questions |
|---|---|---|
| | Demonstrating significant progress in raising achievement and closing gaps | No items in state interview aligned with this objective for ELLs[b] |
| Adopting standards and assessments that prepare students to succeed in college and the workplace | Developing and adopting common standards | No items in state interview aligned with this objective for ELLs[b] |
| | Developing and implementing common, high-quality assessments | No items in state interview aligned with this objective for ELLs[b] |
| | Supporting the transition to enhanced standards and high-quality assessments | • Support Common Core State Standards implementation for ELLs |
| Building state data systems that measure student growth and inform instruction | Fully implementing a statewide longitudinal data system | • State longitudinal data system has program participation data about ELLs |
| | Accessing state data and using it to inform key stakeholders | • Use state longitudinal data system to support decision makers in improvement efforts for ELLs |
| | Using data to improve instruction | • Provide supports to districts for using ELL-related data |
| Recruiting, developing, rewarding, and retaining effective teachers and principals | Providing high-quality pathways to certification for aspiring teachers and principals | No items in state interview aligned with this objective for ELLs[b] |
| | Improving teacher and principal effectiveness based on performance | No items in state interview aligned with this objective for ELLs[b] |
| | Ensuring equitable distribution of effective teachers and principals | No items in state interview aligned with this objective for ELLs[b] |
| | Improving the effectiveness of teacher and principal preparation programs | No items in state interview aligned with this objective for ELLs[b] |
| | Providing effective support to teachers and principals | No items in state interview aligned with this objective for ELLs[b] |
| Turning around low-performing schools | Authority to intervene in the lowest-achieving schools and local education agencies | No items in state interview aligned with this objective for ELLs[b] |
| | Turning around the lowest-achieving schools | • Offer financial incentives for teachers with ELL expertise<br>• Provide training on strategies for ELLs<br>• Have state-level staff to support turnaround schools and districts in working with ELLs |
| Encouraging conditions in which charter schools can succeed | Eliminating restrictions on charter school creation and enrollment | No items in state interview aligned with this objective for ELLs[b] |
| | Refining authorization and monitoring processes | • Prioritize schools that address needs of ELLs<br>• Monitor charter school performance based on the student populations (such as ELLs) served |

Source: RTT application; interviews with state administrators in spring 2012.

ELL = English language learner.

[a] Regular school districts are the most common type of local education agency.

[b] The number of questions included in the state interview was purposefully limited to reduce the time it took to complete the interview. We initially developed the interview questions based on an examination of the RTT application criteria. To ensure that the interview was of a reasonable length, we then pared down the initial list of questions through a deliberative process with the Institute of Education Sciences and the RTT Program Office, to assess their priorities for the types of questions to include. The interview did not include any questions about this objective.

## B. Analysis Methods

In this section, we describe the methods we used to compare the policies and practices reported by RTT states and non-RTT states. The purpose of these comparisons is not to determine whether receipt of an RTT grant *caused* states receiving those funds to use particular policies and practices, but simply to determine whether states receiving an RTT grant used the policies and practices promoted by RTT, and how that compares to the usage of those policies and practices by states that did not receive an RTT grant. In interpreting the results, please note the following caveats: (1) the findings are based on self-reported usage of policies and practices, (2) our study instruments did not address every policy and practice listed in the RTT application, (3) the application wording left it up to the states to decide many of the details about how to implement particular policies and practices, and (4) we did not collect information about the quality or fidelity with which the policies and practices were implemented.[12] While the study team took several steps to try to ensure the quality and accuracy of the data[13], the data provided by states were self-reported and not independently verified by the study team. Thus, readers should use caution when interpreting the results.

We first describe how we formed the groups that are the basis for the comparisons presented in this volume of the report. We then describe how we summarized the large number of findings and how we analyzed the extent to which states focused on ELLs in their usage of policies and practices promoted by RTT.

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[12] Here we provide several potential explanations for how these limitations might affect the data. Our data do not allow us to determine whether any of these possible explanations are correct, but we offer them here as starting points for thinking about how the results might be affected by the limitations. Self-reported levels of policy and practice usage might be overestimated (relative to actual usage) if states provided socially desirable responses. This would likely lead to overestimated levels for all states. The study team took several steps to ensure that states provided accurate responses, including telling states that the interview was not an audit and that we would report aggregated responses across states, rather than singling out any individual state. The fact that self-reported levels of policy and practice usage (as presented in Chapter IV) are not all 100 percent, and in many cases are much lower than 100 percent, suggests that the issue of providing socially desirable responses is not a rampant problem in our data. However, it is possible that RTT states might be more likely than non-RTT states to provide socially desirable responses, given that they received RTT grants to implement the policies and practices we examined. Therefore, the results for RTT states might be more inflated than the results for non-RTT states, so readers should use caution when interpreting the results. Regarding the fact that our study instruments did not address every policy and practice listed in the RTT application criteria, this is unlikely to have a large effect on the overall results because there were very few policies and practices not addressed by our interview questions (Table II.1 shows that only 2 out of 18 RTT objectives were not addressed by interview questions). Regarding the quality or fidelity with which the policies and practices were implemented, and the fact that the application wording left it up to the states to decide many of the details about how to implement particular policies and practices, our data might overestimate usage levels if states tended to report that they used a policy or practice if they had at least begun to use it, but hadn't necessarily implemented it fully. This would lead to overestimated levels for all states, rather than affecting the differences between RTT and non-RTT states. In addition, as noted above, the fact that many of the self-reported levels of policy and practice usage (as presented in Chapter IV) are well below 100 percent suggests that these levels might not be overestimated by a substantial amount.

[13] The study team conducted pilot tests of the interview instrument and provided training to the data collection team to ensure the uniformity and consistency of the data collected. The interview consisted of mostly closed-ended questions—that is, questions with yes or no responses or with a set of specific response categories from which to choose. The study team carefully reviewed all responses for completeness and consistency, and followed up with respondents about missing and inconsistent responses to ensure their accuracy.

## 1. RTT Comparisons

We conducted two sets of RTT comparisons: (1) Round 1 and 2 RTT states with non-RTT states and (2) Round 3 RTT states with non-RTT states.[14] We distinguish between Rounds 1 or 2 and Round 3 to account for differences in the grants' timing, funding levels, and scope for these groups of states (described in Chapter I). We combined Round 1 and 2 RTT states for several reasons: the funding amounts and scope of the grants in those rounds were similar, only two states received Round 1 RTT grants, and the first two rounds of grants were awarded within roughly five months of each other.

The rationale for comparing Round 3 RTT states with non-RTT states is to provide descriptive information about the extent to which these states were using RTT-promoted policies and practices in spring 2012. The purpose of including these comparisons in this report is not to evaluate the impact of RTT grant receipt on usage of RTT-promoted policies and practices, but rather, to provide an early look at the extent to which later RTT states were using RTT-promoted policies and practices, and how that compared to usage of those policies and practices by non-RTT states. The results provide important context for interpreting future outcomes for these two groups of states.

When the data for this report were collected in spring 2012, Round 1 and 2 states had been implementing their grants substantially longer than Round 3 states (approximately 20 to 25 months for Round 1 and 2 states versus approximately 4 months for Round 3 states). In addition, less funding was available for Round 3 states, so they were asked to focus on a subset of areas. In particular, all seven Round 3 states focused on the areas of state capacity and standards and assessments, six focused on data systems and teacher and principal certification and evaluation, two focused on charter schools, and one focused on school turnaround. For these reasons, one might expect different progress from Round 3 states than from Round 1 and 2 states.

## 2. Summarizing Findings from the State Interviews

Given the large number of questions in the interviews, it is difficult to discern broad patterns or form overall conclusions by only separately examining responses to individual questions. Therefore, we analyzed data from the interviews using methods designed to provide information about broad patterns observed in the data. Readers interested in the responses to specific interview questions can refer to Appendix B. The process of summarizing findings involved several steps:

1. **Selecting subtopics.** For each of the six broad topic areas in the RTT application criteria (listed in Chapter I and Table II.1 above), we selected subtopics of interest using the RTT application criteria as a guide. For example, the standards and assessments section of the application criteria included subsections on (1) developing and adopting common standards; (2) developing and implementing common, high-quality assessments; and (3) supporting the transition to enhanced standards and high-quality assessments. We used each of those three subsections as subtopics in our analysis.

[14] We did not compare Round 1 and Round 2 states to Round 3 states because this report is focused on comparing states that received RTT grants to those that did not.

2. **Selecting questions aligned with the RTT application criteria.** For each subtopic, we then used a systematic approach to select interview questions that aligned with the policies and practices that RTT sought to affect in that area. First, a Mathematica researcher selected questions corresponding to each policy or practice based on whether he or she determined them to be aligned with the RTT application materials. Another Mathematica researcher then reviewed those decisions to ensure that he or she agreed with each one (the agreement rate was 97 percent).[15] A third Mathematica researcher resolved any differences of opinion between the first two researchers. We determined the topic area and subtopic into which each interview question fell based on the section of the RTT application criteria with which it aligned. By design, the modules in the state interviews directly map to sections of the application criteria. We did not use an interview question for more than one subtopic because that would have resulted in the question being overweighted in the overall topic area. When a question could potentially be used for more than one subtopic, we assigned it to the subtopic (and corresponding section of the application criteria) with which it was best aligned. The interview questions addressed all 6 topic areas and all but 2 of 22 subtopics from the application criteria.
3. **Constructing policy and practice variables from interview questions.** For each policy or practice in the RTT application criteria for which we identified one or more relevant questions, we constructed a variable ranging from zero to one using those questions. A value of one indicates that the state responded "yes" to all the questions aligned with that policy or practice in the application criteria, a value of zero indicates that the state responded "yes" to none of the questions aligned with that policy or practice, and a value between those two limits indicates that the state responded "yes" to some of the questions aligned with that policy or practice.[16] This process resulted

[15] It was important to have a second researcher review these decisions to ensure that the interview questions selected for each subtopic were aligned with the RTT application criteria. Measurement of the extent to which the first and second researchers agreed on which questions were aligned with the RTT application criteria is called "inter-rater reliability" in statistics. Inter-rater reliability is traditionally measured using the percent agreement rate, calculated as the number of questions for which the first and second researchers agreed on whether or not the question was aligned with the RTT application criteria, divided by the total number of interview questions (Gwet 2014).

[16] Many questions were originally structured with two response options, with a response of "yes" (recoded to a value of one) indicating that the state reported having the policy or practice in place and a response of "no" (recoded to a value of zero) indicating that the state did not report having the policy or practice in place. In some cases, however, it was necessary to combine multiple questions to determine whether or not a state reported fully using a particular policy or practice. For example, one criterion in the application is that teachers be evaluated annually, but the interview asked separate questions about the frequency of evaluation for several different types of teachers. In this case, we required that a state respond "yes" to all these questions to receive a value of one for the variable corresponding to this policy or practice. In other cases, any one of several questions could be counted as partial evidence of a state's usage of a policy or practice aligned with the RTT application criteria. For example, the application criteria specified that the state use support from a broad group of stakeholders to implement its education policy plans. The interview included eight separate questions about whether each of eight different types of stakeholders (such as local school boards and community organizations) were involved in defining the state's education policy plans. In these cases, a state received a fraction of a point (in this example, a value of one-eighth) for each "yes" response. This approach helped to ensure that we did not overweight some interview questions relative to how they were represented in the application criteria.

in the following numbers of policies and practices for each topic area: 10 policies and practices for state capacity, 10 policies and practices for standards and assessments, 8 policies and practices for data systems, 39 policies and practices for teacher and principal certification and evaluation, 10 policies and practices for school turnaround, and 4 policies and practices for charter schools. The emphasis (that is, the number of policies and practices) given to each area and the specificity of the policies and practices within each area directly relates to how much emphasis and specificity was provided in the RTT application criteria for these areas.[17]

4. **Summing the policies and practices for each state.** To determine each state's progress in using policies and practices aligned with RTT, we summed the variables created in step 3. This sum was calculated separately for each subtopic. We then summed across subtopics to create a sum for each topic area.[18] If a particular state was missing values for a particular policy or practice, we took the mean of the non-missing policies and practices and multiplied it by the total number of policies and practices for the overall area. For example, for the state capacity area, which has 10 policies and practices, if a state had data available for 5 policies and practices, and reported using 2 of them, the number of the state's reported used policies and practices would be equal to (2/5)*10. Across all states and all subtopics, the average percentage of policies and practices that were missing was 1.7 percent.[19]
5. **Averaging the number of policies and practices across states.** For each group of states (early RTT, later RTT, non-RTT), we averaged the numbers calculated in step 4. We calculated this average number of policies and practices reported for the three groups of states separately for each topic area and subtopic.

[17] For example, the teacher and principal certification and evaluation area was more heavily emphasized in the RTT application criteria than any other area. This is demonstrated by the number of pages devoted to this area in the RTT application (11.5 pages, versus 8, 3.5, 3, 2.5, and 2 pages for state capacity, standards and assessments, data systems, school turnaround, and charter schools), the percentage of points received by this section of the application (28 percent, versus 15, 14, 9, 10, and 8 percent for the other areas), and the number of criteria in this section of the application (9 criteria, versus 7, 4, 3, 3, and 1 for the other areas). Correspondingly, our state interview was purposefully designed to contain more questions aligned with the teacher and principal certification and evaluation section of the application than with the other sections.

[18] Thus, one or more interview *questions* were used to create a variable for each *policy or practice*, one or more policies or practices formed a *subtopic*, and one or more subtopics formed a *topic area* (or *area*, for short).

[19] To assess how much the way we coded missing data might have affected our results, we conducted a bounding exercise in which we re-calculated the results twice: once setting all missing responses to "no" (that is, assuming all missing responses indicated that the policy or practice was not used) and once setting all missing responses to "yes" (that is, assuming all missing responses indicated that the policy or practice was used). The results were largely unchanged. The magnitude of differences between RTT and non-RTT states with respect to the number of RTT-promoted policies and practices used were very similar to the magnitudes reported in Chapter IV. In addition, across the 24 statistical significance tests conducted as part of this bounding exercise (two for each of the six topic areas when comparing early RTT to non-RTT states, and two for each of the six topic areas when comparing later RTT to non-RTT states), only two results differed from what is shown in Chapter IV: (1) when setting all missing responses to "yes," the difference between early RTT and non-RTT states with respect to the number of RTT-promoted policies and practices used in the area of charter schools was no longer statistically significant; and (2) when setting all missing responses to "yes," the difference between later RTT and non-RTT states with respect to the number of RTT-promoted policies and practices used in the area of teacher and principal certification and evaluation was no longer statistically significant.

6. **Testing differences between groups of states.** We conducted statistical tests to assess whether the average number of policies and practices reported differed between the early RTT and non-RTT states.[20] We also tested whether the average number differed between the later RTT and non-RTT states. Because the goal of this analysis was to provide descriptive information about the actual levels of policies and practices used by RTT and non-RTT states in spring 2012, the results are reported as raw (that is, unadjusted) means; they are not regression-adjusted to account for any pre-existing differences between RTT and non-RTT states. Throughout this report, we focused on the statistical significance of differences between RTT and non-RTT states (rather than the magnitude of differences) to ensure that consistent, objective, and transparent criteria were used for reporting findings. One caveat with this approach is that some statistically significant differences might not be substantively important; we indicated places in the report where this might be the case.

This method of summarizing findings is one way to analyze broad patterns observed in the data, and compare levels of usage of policies and practices across different groups of states. If variables had been constructed differently (for example, if multiple questions that addressed the same policy or practice had not been combined into a single variable, but had each been included in the analysis as separate variables), the results might change. Therefore, it is important to keep these methods in mind when interpreting the results, along with the caveats mentioned above about the interview instrument and the wording of the RTT application criteria.

In addition to examining the differences in policies and practices for all six areas in spring 2012, for three areas (teacher and principal certification and evaluation, school turnaround, charter schools) we examined whether states differed with regard to the policies and practices that they reported having in place during the 2007–2008 school year. This was possible because the interviews collected data not only on policies and practices in place during the 2011–2012 school year but also baseline data about selected policies and practices in these areas in place during the year before the announcement and implementation of RTT (2007–2008).[21] For the

[20] Although we have the entire population of states in our analysis (as opposed to a sample of states), hypothesis testing is still a useful way to account for the possibility that differences in outcomes between the two groups are due to randomness rather than due to a "true," systematic difference. Although there is no source of randomness inherent in our study design (such as random sampling or random assignment), there may be other reasons for differences in outcomes between the two groups that are functionally random (that is, orthogonal to RTT status and other observable covariates). For this analysis, we used a permutation test, which is the non-parametric counterpart to a t-test. The statistical power of this test differed by topic area and subtopic because it depended on several factors, including the number of interview questions aligned with the RTT application criteria, the number of variables constructed from those questions, and the degree to which the variables were correlated with each other.

[21] Interview responses to questions pertaining to earlier school years (such as 2007–2008) might suffer from recall error. That is, responses about earlier school years might differ from those about the current year simply because of the respondent's inability to recall accurately the earlier time period rather than because of actual changes from year to year. This error could be systematic, resulting in bias, or random, resulting in less precise estimates. To address this concern, we sent our interview protocols to each respondent prior to the interview. In addition to drawing attention to items that required respondents to look up information prior to the interview, we directed their attention to questions that covered the 2007–2008 school year to make sure that they were prepared to answer those questions during the interview. For example, they may have needed to obtain the information about that period from a colleague or ask that a colleague with more knowledge of that time period also participate in the interview. We pilot tested this process to assess the extent to which respondents were able to report information on the 2007–2008

other three areas, it was not possible to examine baseline data because the interview did not include any questions about the 2007–2008 school year that were aligned with the RTT application criteria for those areas.[22] We focused the baseline data collection on the 2007–2008 school year because after the American Recovery and Reinvestment Act was announced in February 2009, states may have started taking steps to increase the competitiveness of their RTT applications in the focus areas described in the law. While the study team took several steps to try to improve recall accuracy (described above), data provided by states were self-reported and not independently verified by the study team. Thus, readers should exercise caution when interpreting data from 2007–2008.

The policies and practices for which we could measure usage during the 2007–2008 school year are a subset of those for which we could measure usage in the 2011–2012 school year. In Chapter IV, we list the policies and practices for which we could measure usage in 2011–2012 and indicate those for which we could also measure usage in 2007–2008. It is important to keep this in mind when interpreting the baseline results. For example, finding no statistically significant difference at baseline between early RTT and non-RTT states for a particular area means that baseline differences did not exist for *some* of the policies and practices in that area, but we do not know whether that was the case for *all* of the policies and practices in that area because we did not measure usage of all policies and practices at baseline.

Finally, for those three areas for which we had baseline data, we examined whether usage of policies and practices aligned with the RTT application criteria changed over time. In Chapter IV, we present figures showing the change over time in the average number of policies and practices in place for each group of states (early RTT, later RTT, non-RTT) in these three areas. This analysis includes only the subset of policies and practices for which we measured usage in *both* 2007–2008 and 2011–2012. Specifically, we averaged the number of those policies and practices across each group of states (early RTT, later RTT, non-RTT), separately for each school year. We then subtracted the mean number of policies and practices for 2007–2008 from the mean number for 2011–2012, and tested whether the resulting number differed between the early RTT and non-RTT states, and between the later RTT and non-RTT states. In other words, this analysis tested whether there were differences between RTT and non-RTT states with respect to changes between 2007–2008 and 2011–2012 in the number of policies and practices used. The results do not provide information on whether there was a change over time for the policies and practices for which we did *not* measure usage in 2007–2008.

### 3. ELL-Focused Analyses

We examined the extent to which states focused on ELLs in their usage of RTT-promoted policies and practices using the same processes that we describe above to analyze data from the

*(continued)*

school year, specifically asking if respondents found it difficult or had any problems recalling that period. All respondents reported that they were able to accurately answer questions about that time period. Further, interviewers reported that respondents who were not in their current position during the earlier time period tended to ask colleagues who were knowledgeable about policies or practices at the earlier time to join the interview or to provide responses prior to the interview.

[22] When developing the interview protocol, we included baseline questions for particular policies and practices based on U.S. Department of Education guidance about those in which it had interest in assessing change.

state interviews, except that the summary measures included only policies and practices that explicitly focused on ELLs. We used a systematic approach to select ELL-focused interview questions that aligned with the policies and practices in the RTT application criteria, in which two Mathematica researchers selected questions independently and a third resolved any differences of opinion between them (the agreement rate was 95 percent).

To examine whether usage of these ELL-focused policies and practices differed by the size of the ELL population and the ELL/non-ELL achievement gap, we categorized each state according to whether it had an above-median or below-median ELL population and an above- or below-median ELL/non-ELL achievement gap, where ELL population is defined as the percentage of students who are ELLs. We then examined the usage of ELL-focused policies and practices for those groups (above-median ELL population, below-median ELL population, above-median gap, below-median gap). Throughout this report, we use "states with higher ELL populations" to refer to states with above-median ELL populations, "states with higher ELL/non-ELL achievement gaps" to refer to states with above-median ELL/non-ELL achievement gaps, "states with lower ELL populations" to refer to states with below-median ELL populations, and "states with lower ELL/non-ELL achievement gaps" to refer to states with below-median ELL/non-ELL achievement gaps.

We classified states as having higher (above-median) or lower (below-median) ELL populations using CCD data on the percentage of public school students participating in programs for ELLs in 2007–2008. This data element was available for all 50 states and the District of Columbia. We classified states as having higher or lower ELL/non-ELL achievement gaps based on their gaps on the spring 2007 NAEP 4th grade math exam.[23] Specifically, we calculated the ELL/non-ELL achievement gap as average achievement for non-ELLs minus average achievement for ELLs. We used CCD data from 2007–2008 and NAEP data from spring 2007 because in later years, the American Recovery and Reinvestment Act had been announced, and it may have motivated states to start taking steps to increase the competitiveness of their RTT applications, possibly affecting their ELL population or ELL/non-ELL achievement gap.

We ran statistical tests to determine whether there were differences in the number of ELL-focused policies and practices used *between* each of the RTT groups and the non-RTT group of states. For example, we compared early RTT states with lower ELL populations and ELL/non-ELL achievement gaps to non-RTT states that also had lower populations and gaps. We also ran statistical tests to determine whether there were differences in the number of ELL-focused policies and practices *within* each group of states. For example, we compared early RTT states with lower populations and gaps to early RTT states with higher populations and gaps.

[23] We focused on the NAEP 4th grade math exam because compared with NAEP exams for other grades and subjects, the 4th grade math exam had the fewest states with a missing value for this achievement gap in 2007. The ELL/non-ELL achievement gaps on these exams were all highly correlated (the correlations ranged from 0.7 to 0.9), so the choice of subject and grade was unlikely to make a large difference in the composition of the lower and higher groups.

# III. UNDERSTANDING THE CONTEXT FOR USAGE OF POLICIES AND PRACTICES PROMOTED BY RACE TO THE TOP

As described in Chapter I, RTT sought to promote and facilitate systemic changes at all levels of the U.S. educational system by supporting policies in six broad areas: (1) state capacity for reform; (2) rigorous standards and aligned assessments; (3) comprehensive data systems; (4) effective teachers and principals; (5) turnaround of low-performing schools; and (6) charter schools. The RTT grant competition, which was open to all states, the District of Columbia, and Puerto Rico, was designed to encourage and reward states that demonstrated past improvements in student achievement and presented comprehensive plans in their applications for implementing reforms in the areas outlined in the application. Only four states (Alaska, North Dakota, Texas, Vermont) did not compete for RTT in any round, and it is well documented that after RTT was announced, many states took steps to become eligible for the grants and to make their applications more competitive.[24] Therefore, when examining RTT implementation, it is essential to understand the education policies and practices that existed in RTT states and non-RTT states *before the RTT program was announced*.[25] This is important to ensure that we do not draw misleading conclusions from our study's findings. For example, any differences found between RTT and non-RTT states in spring 2012 could be due to the effect of RTT, but they also could reflect preexisting differences between these groups of states.

In this chapter, we compare RTT states and non-RTT states to examine the extent to which the groups were similar or different prior to RTT. Baseline characteristics of the three groups of states—(1) early RTT states, (2) later RTT states, and (3) non-RTT states—are shown in Table III.1. As discussed in Chapter II, the RTT analyses in this report are based on comparisons between groups (1) and (3) and between groups (2) and (3). Therefore, in the text that follows, we focus on contrasts between these groups of states.

[24] For instance, Illinois lifted caps on the number of charter schools it would allow, and Massachusetts made it easier for students in low-performing schools to switch to charters (National Alliance for Charter Schools, 2009); West Virginia proposed a merit pay system that included student achievement in compensation calculations (Council of State Governments, October 2011; March 2010). To be eligible to apply for RTT, states could not have laws prohibiting the linking of student achievement and teacher administrative records, and some states (for example, California and Maine) changed their laws to be eligible (GAO 2011). Most states also adopted the Common Core State Standards.

[25] RTT was first announced in July 2009, with the first round of state grant applications due to ED in January 2010. Therefore, for most of the state characteristics examined, we focus on information from the 2007–2008 school year. One exception to this rule is that we examine whether states had received any State Longitudinal Data Systems (SLDS) Grants between 2005 and 2009, and the cumulative amount of funding received during this period. Because states would have had to apply for these grants prior to July 2009, this grant funding would have reflected state efforts to improve their longitudinal data systems before RTT was first announced.

**Table III.1. Baseline Characteristics of Early RTT States, Later RTT States, and Non-RTT States**

| | Early RTT States | Later RTT States | Non-RTT States |
|---|---|---|---|
| **RTT Round 1 Application Scores, Among States That Applied in Round 1[a]** | | | |
| Average RTT Round 1 application scores | 419* | 388* | 323 |
| Average RTT Round 1 application scores on the state reform conditions criteria | 218* | 205* | 173 |
| Average RTT Round 1 application scores on reform plan criteria | 200* | 184* | 149 |
| **National Assessment of Educational Progress (NAEP) Scores, 2007** | | | |
| Average scores: math, 4th grade | 238 | 238 | 240 |
| Average scores: math, 8th grade | 278 | 281 | 282 |
| Average scores: reading, 4th grade | 220 | 220 | 221 |
| Average scores: reading, 8th grade | 260 | 262 | 263 |
| **State Longitudinal Data System (SLDS) Grant Information** | | | |
| Percentage of states that received SLDS grants in 2005, 2007, or 2009 | 91.7 | 85.7 | 77.4 |
| Average number of SLDS grants received from 2005 to 2009 among states that did and did not receive these grants[b] | 1.2 | 1.1 | 1.0 |
| Average total SLDS funding received from 2005 to 2009 among states that did and did not receive these grants | $5.4 million | $6.0 million | $4.7 million |
| **State Fiscal Stabilization Fund (SFSF) Grant Information** | | | |
| Percentage of states that received SFSF grants in 2009 | 100 | 100 | 100 |
| Average 2009 SFSF grant amount | $1.16 billion | $1.20 billion | $0.69 billion |
| **State-Reported Usage of Policies and Practices, from Interview Responses (2007–2008)[c]** | | | |
| Average number of policies and practices aligned with the RTT application criteria in the area of teacher and principal certification and evaluation (out of 12) | 4.6* | 4.5* | 2.7 |
| Average number of policies and practices aligned with the RTT application criteria in the area of school turnaround (out of 5) | 1.3 | 1.6* | 0.8 |
| Average number of policies and practices aligned with the RTT application criteria in the area of charter schools (out of 3) | 2.0 | 2.1 | 1.3 |
| **State Education Characteristics, from the Common Core of Data (2007–2008)** | | | |
| Student's race/ethnicity (average percentage) | | | |
| White, non-Hispanic | 50.9* | 60.6 | 70.3 |
| Black, non-Hispanic | 26.6* | 16.9 | 11.0 |
| Hispanic | 11.6 | 17.3 | 11.2 |
| Asian | 9.2 | 3.4 | 3.1 |
| Other | 1.7 | 1.9 | 4.4 |
| Average percentage of students eligible for free or reduced-price lunch | 40.6 | 40.4 | 39.7 |

Table III.1 *(continued)*

| | Early RTT States | Later RTT States | Non-RTT States |
|---|---|---|---|
| Average percentage of schools eligible for Title I | 68.8 | 70.4 | 63.1 |
| State's region (percentage) | | | |
| Northeast | 25.0 | 28.6 | 12.9 |
| Midwest | 8.3 | 14.3 | 32.3 |
| South | 58.3* | 28.6 | 22.6 |
| West | 8.3 | 28.6 | 32.3 |
| School level (average percentage) | | | |
| Elementary | 61.0 | 61.2 | 57.8 |
| Middle | 18.8 | 18.0 | 17.8 |
| High | 15.9* | 17.4 | 19.7 |
| Other | 4.4 | 3.5 | 4.6 |
| Average number of full-time staff[d] | 153,000 | 153,000 | 87,000 |
| **Number of States** | **11–12** | **7** | **23–31** |

Sources: U.S. Department of Education; NAEP scores; interviews with state administrators in spring 2012; Common Core of Data.

Note: The characteristics reported in this table are unweighted state averages. Texas did not participate in the spring 2012 interviews and is excluded from this table. A range is provided for the sample sizes because nonresponse varied across items.

[a] Alaska, North Dakota, Texas, and Vermont did not apply for RTT grants in any round and are excluded from this section of the table because they have no application scores.

[b] States were able to receive more than one SLDS grant across the three rounds of SLDS awards in 2005, 2007, and 2009.

[c] We identified the spring 2012 state interview questions that asked about policies and practices in place during 2007–2008 that were aligned with the requirements laid out in the RTT application criteria. A higher number indicates that more policies and practices promoted by RTT were reported by the state as being in place in school year 2007–2008. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

[d] More specifically, this is the average number of full-time equivalent staff, which means that staff who work part time are counted as a proportion of a staff member, rather than as a whole staff member. For example, two half-time employees are counted as one full-time equivalent staff member. The average numbers of full-time equivalent staff were rounded to the nearest thousand.

*Significantly different from non-RTT states at the .05 level, two-tailed test.

The groups of states differed by a statistically significant margin at baseline on the following characteristics:

- **RTT Round 1 application scores.** As one might expect, the average total scores received from grant application reviewers for the Round 1 applications of both early and later RTT states (419 and 388) were statistically significantly higher than the average scores for non-RTT states that applied for but did not win RTT grants

(323).[26] A maximum score of 500 points was possible.[27] More than half of the points that a state's application could receive (260) were based on demonstrated accomplishments *prior* to applying—for example, increasing student achievement, enlisting statewide support for proposed plans, or creating legal conditions conducive to policy changes. Compared to non-RTT states that applied for RTT, both early and later RTT states had statistically significantly higher scores on these accomplishments prior to applying (referred to as "state reform conditions" in the application criteria). The higher scores suggest potentially important preexisting differences between these groups of states. The balance of points that a state's application could receive was awarded based on the state's proposed policy plans. Both early and later RTT states had statistically significantly higher scores than non-RTT states that applied for RTT on these plans (referred to as "state reform plans" in the application criteria).

- **Policies and practices for teacher and principal certification and evaluation and for school turnaround.** Both early and later RTT states reported having statistically significantly more policies and practices aligned with RTT in the 2007–2008 baseline year in the area of teacher and principal certification and evaluation (4.6 for early RTT states, 4.5 for later RTT states, 2.7 for non-RTT states). Later RTT states reported having statistically significantly more policies and practices aligned with RTT in the 2007–2008 baseline year in the school turnaround area (1.6 for later RTT states, 0.8 for non-RTT states). As noted in Chapter II, 2007–2008 findings should be interpreted with caution because data from 2007–2008 were collected retrospectively in spring 2012.
- **State education characteristics.** Compared to non-RTT states at baseline, according to the Common Core of Data for 2007–2008, early RTT states had a higher percentage of students who were black (26.6 vs. 11.0 percent), a lower percentage of students who were white (50.9 vs. 70.3 percent), were more likely to be located in the south (58.3 vs. 22.6 percent), and had a smaller percentage of high schools (15.9 vs. 19.7 percent). Differences in all these characteristics were statistically significant.

The groups of states did not differ to a statistically significant degree on the following baseline characteristics:

- **Average 2007 NAEP scores for students in 4th grade and 8th grade in both reading and mathematics.**
- **Percentage of states that received at least one SLDS grant between 2005 and 2009, average number of SLDS grants received over that time period, and average amount of total SLDS grant funding received over that time period.[28]**

[26] We focus on Round 1 scores in order to use scores from the greatest number of applicants. We would be missing 11 states if we used Round 2 scores (i.e., the 2 Round 1 states and 9 states that applied in Round 1 only), whereas using Round 1 scores eliminates 6 states that only applied in Round 2.

[27] See http://www2.ed.gov/programs/racetothetop/scoringrubric.pdf.

[28] States were able to receive more than one SLDS grant across the three rounds of SLDS awards in 2005, 2007, and 2009.

- **Percentage of states that received an SFSF grant and average amount of SFSF grant funding received.**[29]
- **Average number of policies and practices aligned with the RTT application criteria in the 2007–2008 baseline year in the area of charter schools.** Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.
- **State education characteristics.** Later RTT states and non-RTT states did not differ by a statistically significant margin on any of the variables examined from the Common Core of Data for 2007–2008. Early RTT states and non-RTT states did not differ by a statistically significant margin in terms of the percentage of students who were Hispanic, Asian, or other race; the percentage of students eligible for free or reduced-price lunch; the percentage of schools eligible for Title I; the percentage of states from the Northeast, Midwest, and West; the percentage of elementary, middle, and other schools; or the number of full-time staff.

These results suggest that some important baseline differences existed between the groups of states before RTT efforts got underway. When interpreting this study's RTT findings, it will be important to keep these differences in mind. Any statistically significant differences in policies and practices observed in spring 2012 may not necessarily be attributable to the RTT program and instead might reflect preexisting differences between the groups.

[29] It is important to understand whether RTT and non-RTT states differed in their receipt of SFSF grants and the amount of SFSF grant funding received because the SFSF grants were large grants (the average 2009 SFSF grant amount for early RTT states was $1.16 billion) awarded to governors in exchange for a commitment to advance many of the same types of education reforms that were promoted by RTT, such as college- and career-ready standards and high-quality, valid, and reliable assessments for all students; development and use of pre-K through post-secondary and career data systems; increasing teacher effectiveness and ensuring an equitable distribution of qualified teachers; and turning around the lowest-performing schools.

# IV. STATES' USAGE OF POLICIES AND PRACTICES PROMOTED BY RACE TO THE TOP

To understand the ultimate effectiveness of a grant program like RTT in improving student achievement, it is important first to understand the extent to which the policies and practices it promotes are being used by RTT states. If none (or very few) of the RTT states used these policies and practices, it is unlikely that any changes in outcomes—positive or negative—could be attributed to the program. In this chapter, we assess the extent to which RTT states and non-RTT states reported using policies and practices promoted by RTT.

As noted previously, RTT promoted specific policies in six topic areas. In this chapter, we summarize the extent to which state administrators reported in spring 2012 using policies and practices aligned with each of these topic areas and their subtopics. Appendix A presents more detailed findings for the subtopics.

## A. State Capacity

A premise of RTT is that state education agencies can play a direct role in advancing statewide education policies. Thus, RTT aims to improve state capacity to support education policy. Section A of the RTT application, state success factors, focused on three subtopics: (1) articulating the state's education reform agenda and LEAs' participation in it, (2) building strong statewide capacity to implement, scale up, and sustain the proposed plans; and (3) demonstrating significant progress in raising achievement and closing gaps.[30] We identified 10 policies and practices from the spring 2012 state interview aligned with RTT objectives on state capacity (Table IV.1).

**In spring 2012, early RTT states reported using statistically significantly more of the policies and practices aligned with the state capacity criteria in the RTT application than did non-RTT states.** Early RTT states reported using an average of 7.5 out of 10 policies and practices in this area, compared to 6.2 for non-RTT states (Figure IV.1). As baseline data about policies and practices aligned with RTT objectives on state capacity were not collected, we could not determine whether this difference existed before the awarding of RTT grants.

[30] Because no state interview items aligned to subtopic 3, it is excluded from the analysis.

**Table IV.1. Policies and Practices Aligned with RTT Objectives on State Capacity, by Subtopic**

| |
|---|
| **Articulating the state's education reform agenda and LEAs' participation in it** |
| Having a comprehensive education reform plan in place |
| Prioritizing the adoption and implementation of college and career ready standards or assessments |
| Prioritizing the development of comprehensive, student-level, longitudinal data systems or using data to improve instruction |
| Prioritizing the recruiting, developing, rewarding, and retaining of effective teachers and principals, especially where they are needed most (including developing and implementing evaluation systems) |
| Prioritizing the turnaround of its lowest-achieving schools |
| **Building strong statewide capacity to implement, scale up, and sustain the proposed plans** |
| Providing leadership or teams to support the implementation of reform plans |
| Working with districts that have the highest achievement levels and seeking to replicate their practices statewide to implement the education reform plan |
| Providing effective and efficient operations and processes for grant oversight and performance measure tracking and reporting |
| Involving teachers, teachers unions or associations, or school administrators in defining its education reform initiatives or priorities |
| Involving other stakeholders in defining its education reform initiatives or priorities |

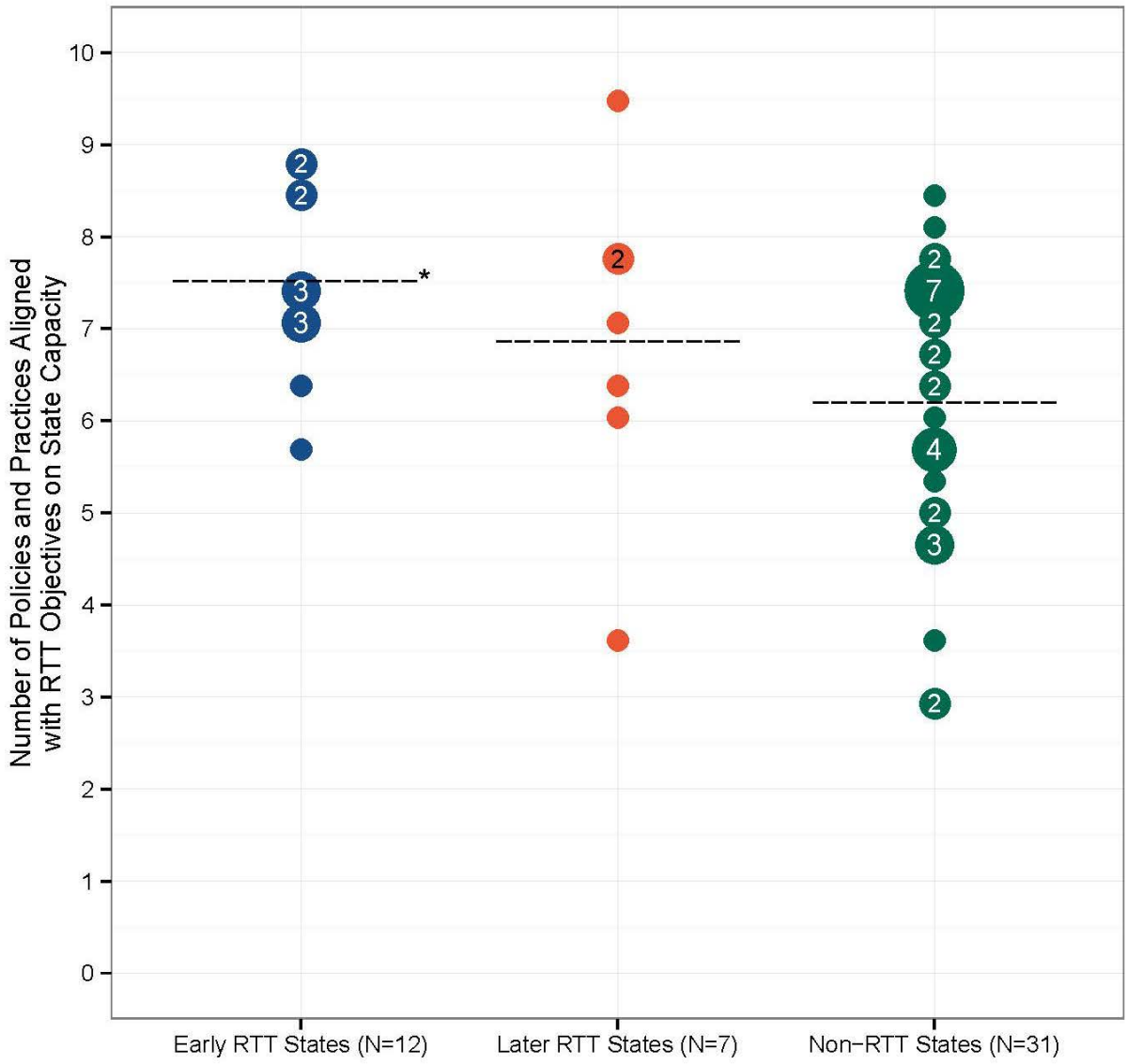
Source: Section A of the RTT application (http://www2.ed.gov/programs/racetothetop/phase2-application.doc); interviews with state administrators in spring 2012.

Note: The spring 2012 state interview asked only whether these policies and practices were in place during the current school year (2011–2012). See Appendix C for a list of the specific interview questions that were aligned with the RTT policies and practices in this table. See the RTT application for a detailed description of each subtopic.

**In spring 2012, early RTT states reported using statistically significantly more of the policies and practices aligned with the RTT application criteria than did non-RTT states for both state capacity subtopics:**

- **Articulating the state's education reform agenda and LEAs' participation in it.** Early RTT states reported using an average of 4.2 out of 5 policies and practices in this area, compared to 3.6 for non-RTT states (Appendix A Figure A.1).
- **Building strong statewide capacity to implement, scale up, and sustain the proposed plans.** Early RTT states reported using an average of 3.2 out of 5 policies and practices in this area, compared to 2.6 for non-RTT states (Appendix A Figure A.2).

**Figure IV.1. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on State Capacity, Spring 2012**




Source: Interviews with state administrators in spring 2012.

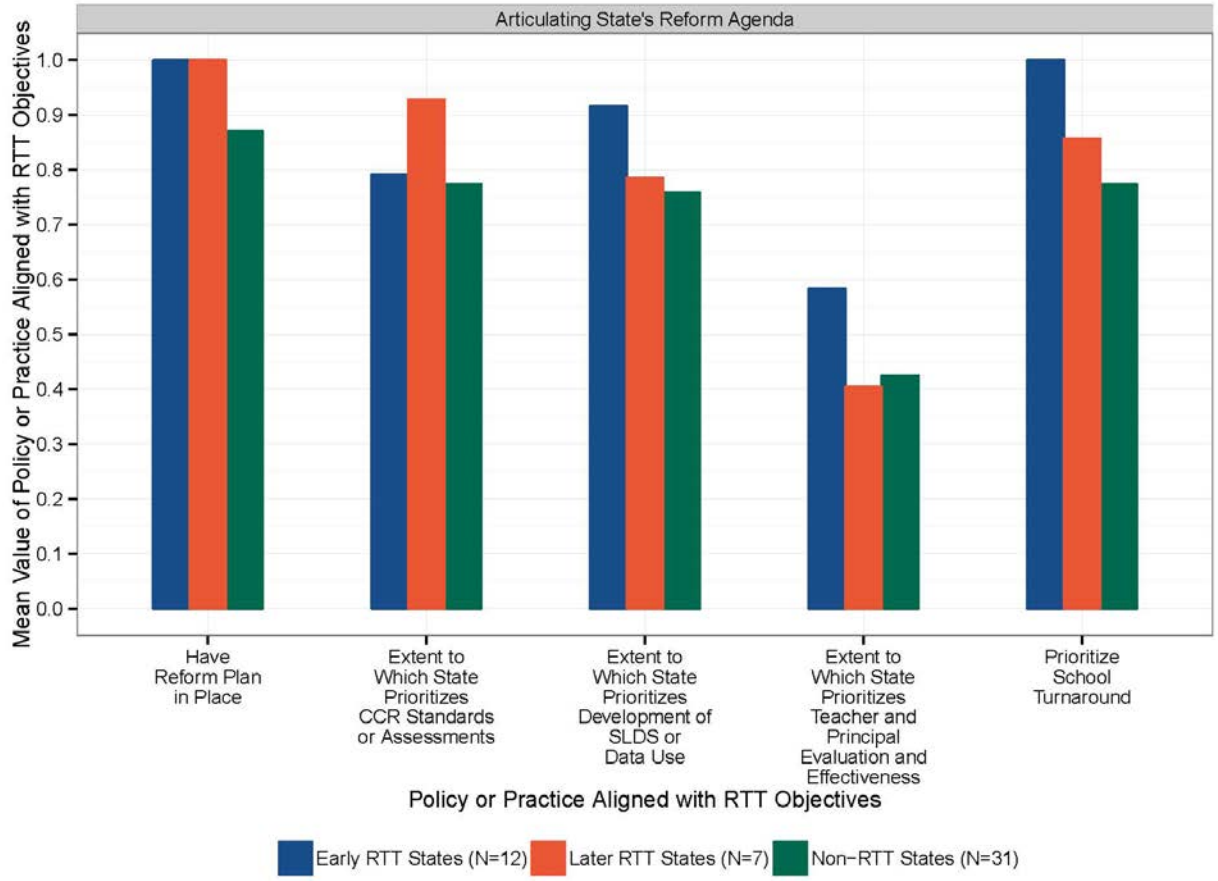
Note: The policies and practices summarized in this figure are presented in Table IV.1. Each dot in this figure represents the number of states that reported using a particular number of policies and practices (out of 10 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, three non-RTT states reported using 5 of the 10 state capacity policies and practices aligned with the RTT application criteria. For 3 of the policies and practices, a "yes" response received one point. In the other 7 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**The individual policy or practice with the highest level of usage in the state capacity area was having a comprehensive education reform plan in place.** Across all states, the

average value for this practice was 0.92.[31] Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.2.

**Figure IV.2. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on State Capacity, Articulating State's Reform Agenda Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

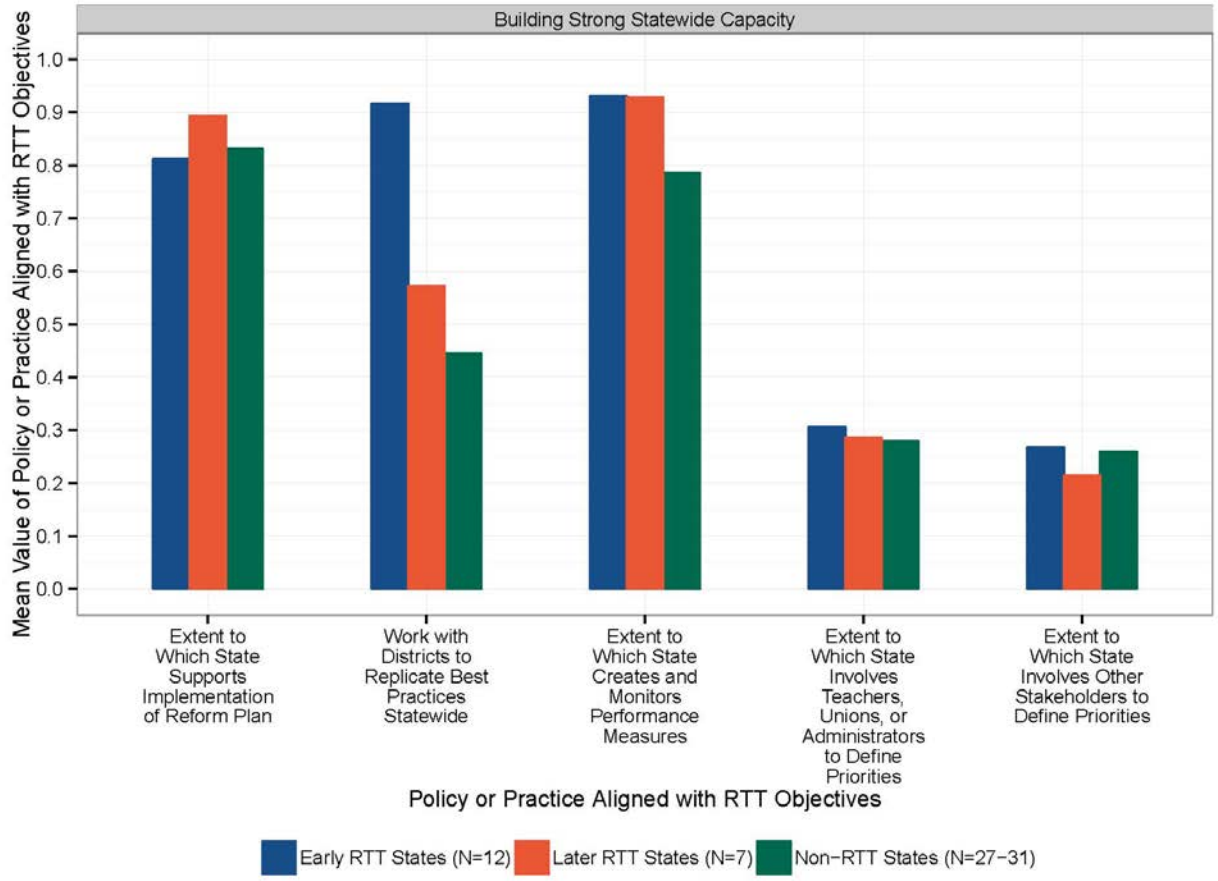
Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used).

CCR = college and career ready; SLDS = state longitudinal data system.

[31] As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more relevant interview questions, we constructed a variable ranging from zero to one using those questions. To calculate the average value of a policy or practice, we averaged that variable across all states. For example, if half the states used a particular practice (meaning they had a value of 1) and the other half of states did not use that practice (meaning they had a value of 0), the average value for that practice would be 0.5.

**The individual policies and practices with the lowest levels of usage in the state capacity area were (1) involving teachers, teachers unions or associations, or school administrators in defining education reform initiatives or priorities; and (2) involving other stakeholders in defining education reform initiatives or priorities.** Across all states, the average values for these policies and practices were 0.29 and 0.25. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.3.

**Figure IV.3. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on State Capacity, Building Strong Statewide Capacity Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

## B. Standards and Assessments

One goal of RTT is for states to adopt standards and assessments that prepare students to succeed in college and the workplace, and to compete in the global economy. Section B of the RTT application, standards and assessments, focused on three subtopics: (1) developing and adopting common standards; (2) developing and implementing common, high-quality

assessments; and (3) supporting the transition to enhanced standards and high-quality assessments. We identified 10 policies and practices from the spring 2012 state interview aligned with RTT objectives on standards and assessments (Table IV.2).

**Table IV.2. Policies and Practices Aligned with RTT Objectives on Standards and Assessments, by Subtopic**

| |
|---|
| **Developing and Adopting Common Standards** |
| Adopting the Common Core State Standards (CCSS) in both English/language arts and math |
| **Developing and Implementing Common, High Quality Assessments** |
| Participating in a consortium of states to develop assessments aligned to CCSS |
| Has specified the school year by which state plans to fully implement summative assessments being developed by the consortium |
| **Supporting the Transition to Enhanced Standards and High-Quality Assessments** |
| Supporting the implementation of CCSS by providing funds for additional staff or making new technology investments |
| Supporting the implementation of the assessments associated with the CCSS by making new technology investments |
| Requiring or supporting the use of new instructional materials for implementing the CCSS |
| Developing, supporting, or requiring new interim assessments associated with the CCSS |
| Changing high school exit requirements or college entrance requirements |
| Changing policies about or providing funds for professional development, training, and technical assistance for teachers or school principals to support implementation of CCSS |
| Supporting districts or schools in implementing the CCSS with English language learners |

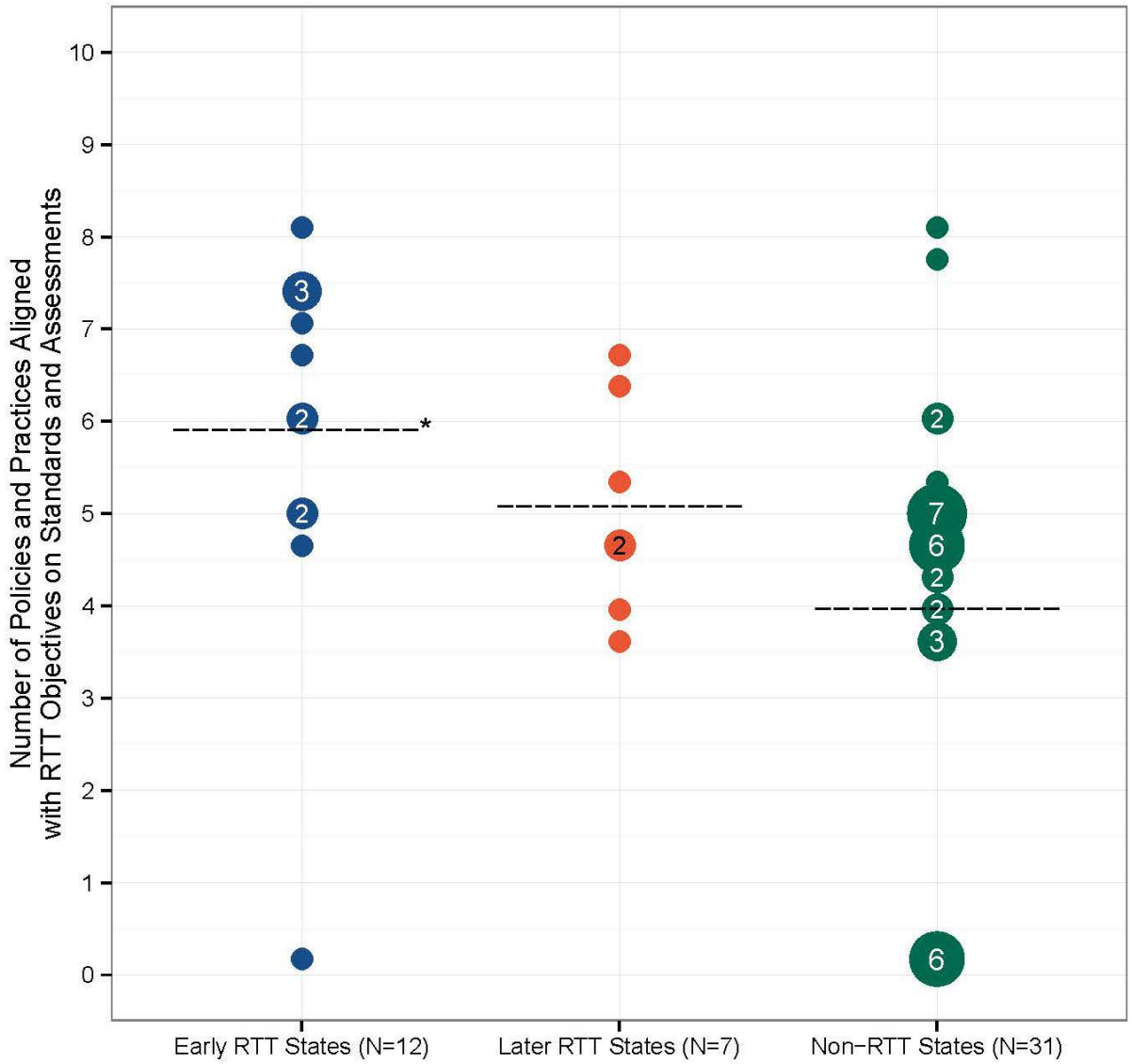
Source: Section B of the RTT application (http://www2.ed.gov/programs/racetothetop/phase2-application.doc); interviews with state administrators in spring 2012.

Note: The spring 2012 state interview asked only whether these policies and practices were in place during the current school year (2011–2012). See Appendix C for a list of the specific interview questions that were aligned with the RTT policies and practices in this table. See the RTT application for a detailed description of each subtopic.

**In spring 2012, early RTT states reported using statistically significantly more of the policies and practices aligned with the standards and assessments criteria in the RTT application than did non-RTT states.** Early RTT states reported using an average of 5.9 out of 10 policies and practices in this area, compared to 4.0 for non-RTT states (Figure IV.4). As baseline data about policies and practices aligned with RTT objectives on standards and assessment were not collected, we could not determine whether this difference existed before the awarding of RTT grants.

**In spring 2012, early RTT states reported using statistically significantly more of the policies and practices aligned with the RTT application criteria than did non-RTT states for one of the three standards and assessment subtopics.** Early RTT states reported using an average of 3.1 out of 7 policies and practices in the subtopic focused on supporting the transition to enhanced standards and high-quality assessments, compared to 1.6 for non-RTT states (Appendix A Figure A.5).

**Figure IV.4. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Standards and Assessments, Spring 2012**



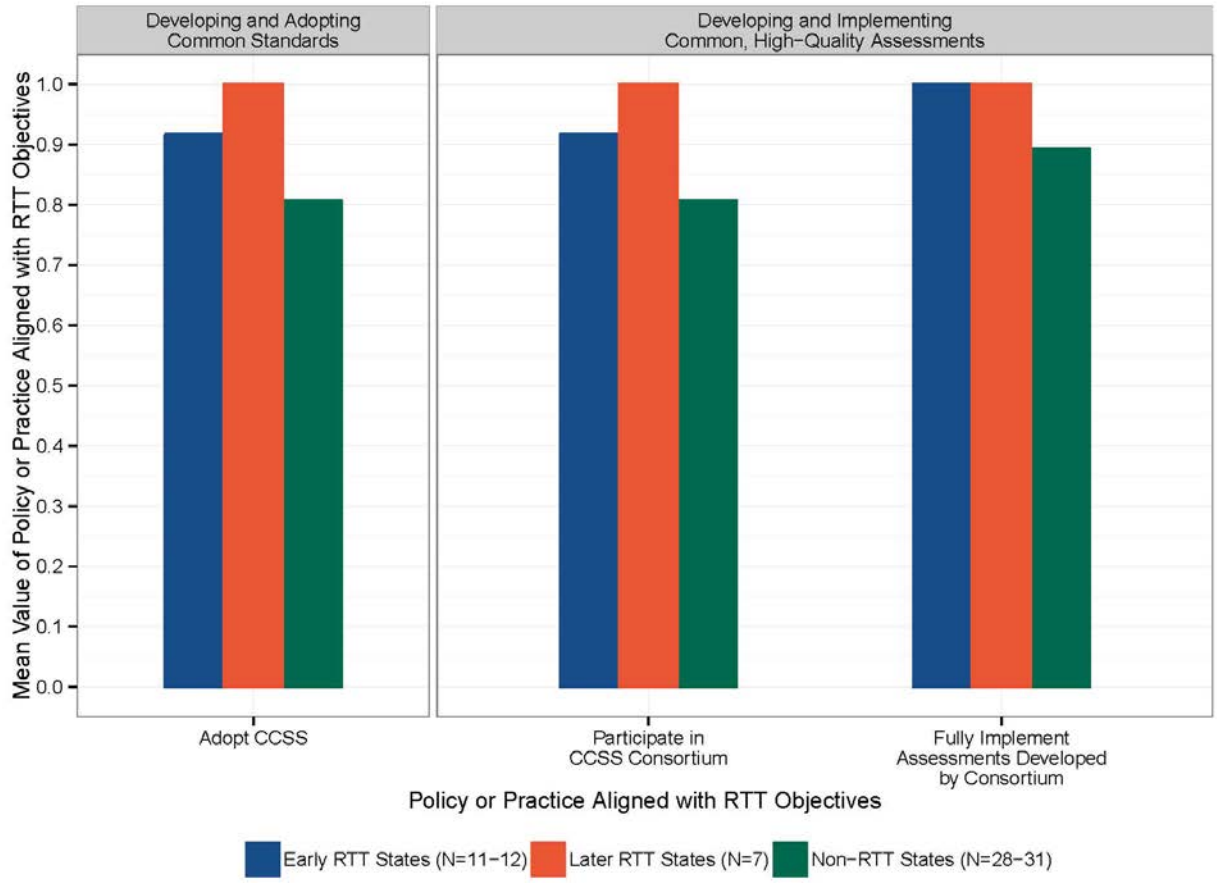

Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.2. Each dot in this figure represents the number of states that reported using a particular number of policies and practices (out of 10 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, two early RTT states reported using 5 of the 10 standards and assessment policies and practices aligned with the RTT application criteria. For 5 of the policies and practices, a "yes" response received one point. In the other 5 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**The individual policy or practice with the highest level of usage in the standards and assessments area was specifying the school year by which the state plans to fully implement summative assessments being developed by the consortium.** Across all states, the average value for this practice was 0.94. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.5.

**Figure IV.5. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on Standards and Assessments, Developing and Adopting Common Standards Subtopic and Developing and Implementing Common, High-Quality Assessments Subtopic, Spring 2012**



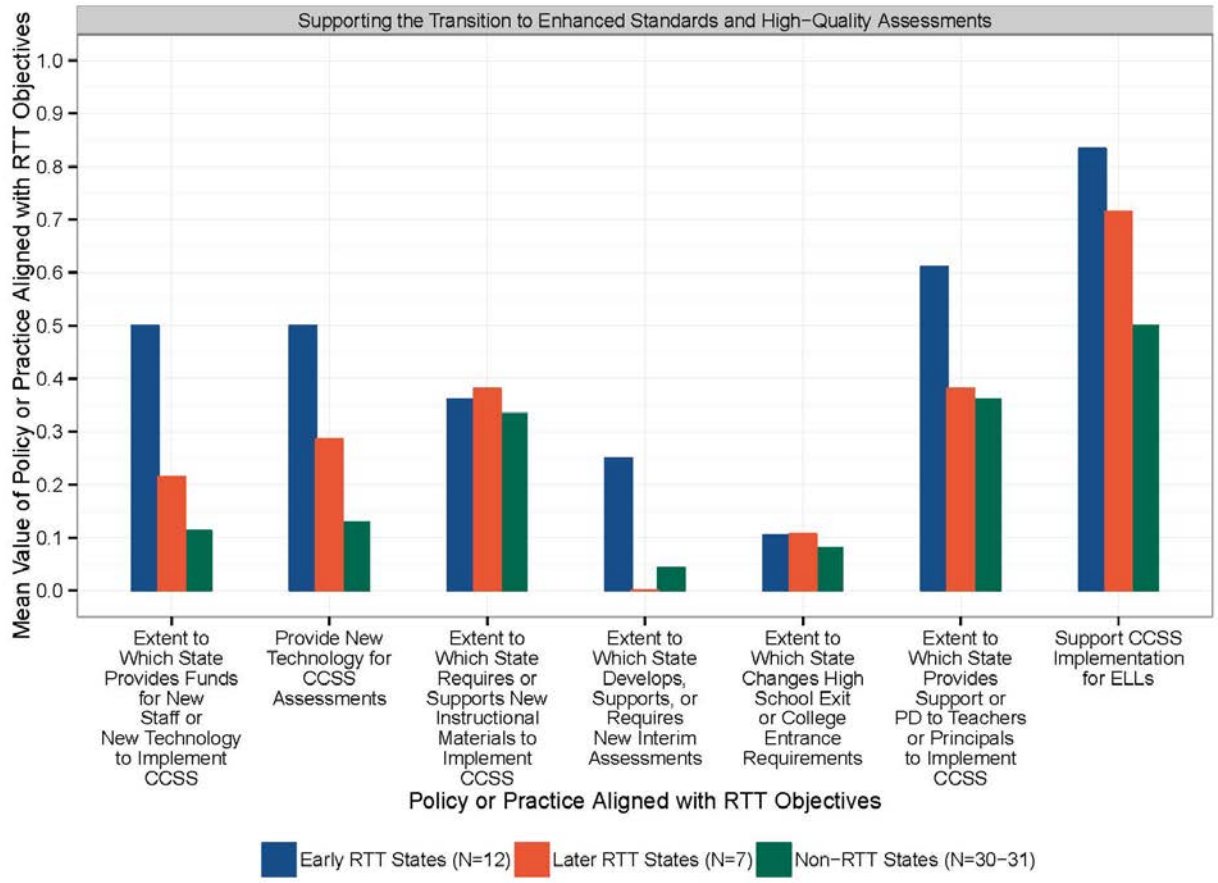

Source: Interviews with state administrators in spring 2012.

Note: This figure has a separate panel for each subtopic. As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. A range is provided for the sample sizes because nonresponse varied across items.

CCSS = Common Core State Standards.

**The individual policies and practices with the lowest levels of usage in the standards and assessments area were (1) developing, supporting, or requiring new interim assessments associated with the CCSS; and (2) changing high school exit requirements or college entrance requirements.** Across all states, the average value for both of these policies and practices was 0.09. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.6.

**Figure IV.6. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on Standards and Assessments, Supporting the Transition to Enhanced Standards and High-Quality Assessments Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

CCSS = Common Core State Standards; ELLs = English language learners; PD = professional development.

## C. Data Systems

One goal of RTT is for states to develop data systems that measure student achievement growth and success, and to use those systems to inform teachers' and principals' efforts to improve instruction. Section C of the RTT application, data systems to improve instruction, focused on three subtopics: (1) fully implementing an SLDS, (2) accessing state data and using it to inform key stakeholders, and (3) using data to improve instruction. We identified eight policies and practices from the spring 2012 state interview aligned with RTT objectives on data systems (Table IV.3).

**Table IV.3. Policies and Practices Aligned with RTT Objectives on Data Systems, by Subtopic**

| |
|---|
| **Fully Implementing an SLDS** |
| Having an SLDS |
| SLDS contains program participation information[a] |
| SLDS is linked to an early childhood data system |
| SLDS is linked to a higher education data system |
| **Accessing State Data and Using It to Inform Key Stakeholders** |
| SLDS can be accessed by stakeholders |
| SLDS is used to inform and engage stakeholders and support decision makers in continuous improvement efforts |
| **Using Data to Improve Instruction** |
| Requiring districts to implement district data systems[b] |
| Providing funding, materials, training, technical assistance, or other supports to districts to encourage the use of data to improve instruction |

Source: Section C of the RTT application (http://www2.ed.gov/programs/racetothetop/phase2-application.doc); interviews with state administrators in spring 2012.

Note: The spring 2012 state interview asked only whether these policies and practices were in place during the current school year (2011–2012). See Appendix C for a list of the specific interview questions that were aligned with the RTT policies and practices in this table. See the RTT application for a detailed description of each subtopic.

[a] The interview questions comprising this policy or practice focused primarily on ELLs. See Appendix C for the interview questions that comprised each policy or practice.

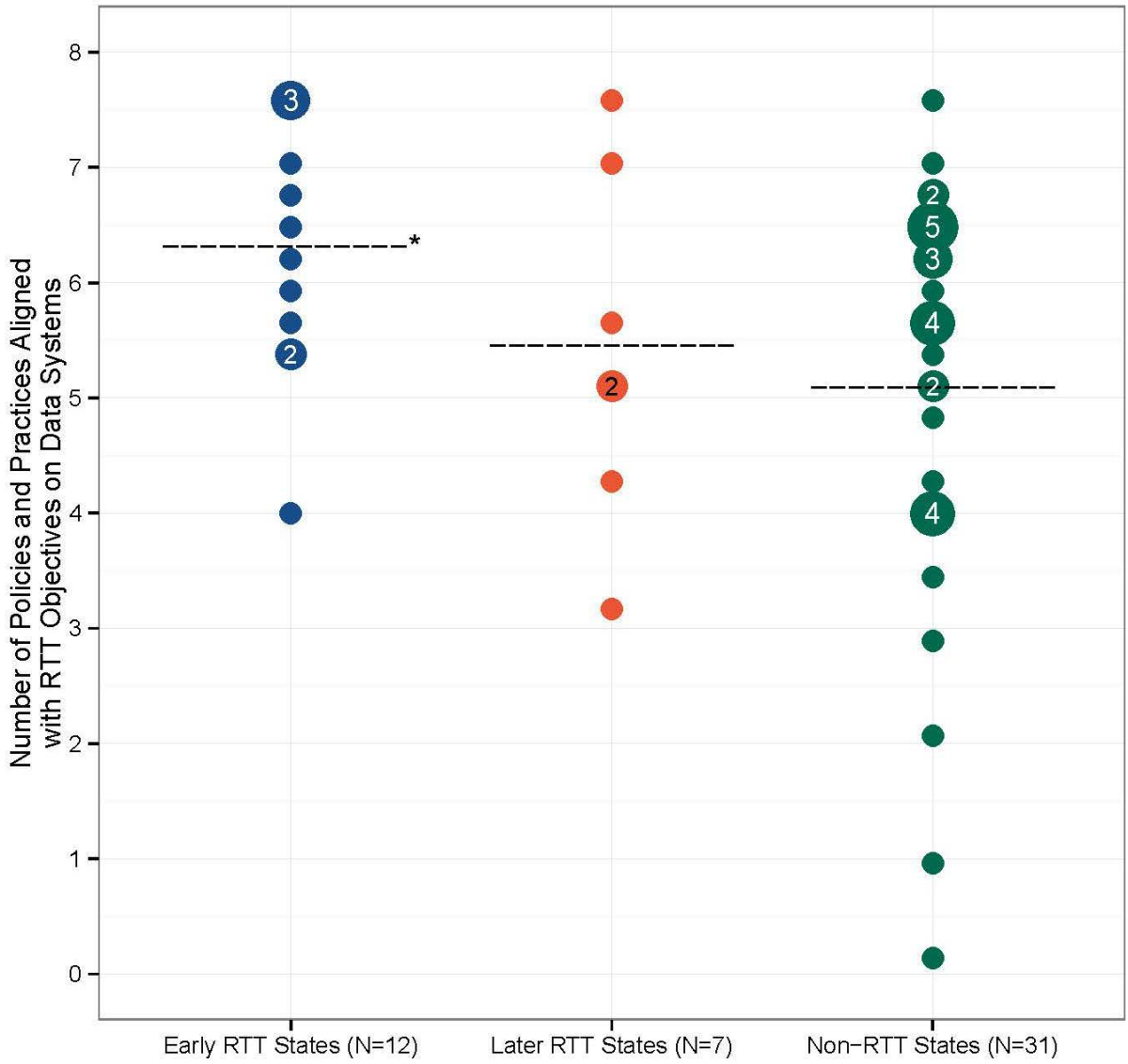
[b] District data systems, which are also called local instructional improvement systems, are defined by the U.S. Department of Education in the RTT application materials as technologically based tools or strategies that provide educators with data to manage continuous instructional improvement efforts.

**In spring 2012, early RTT states reported using statistically significantly more of the policies and practices aligned with the data systems criteria in the RTT application than did non-RTT states.** Early RTT states reported using an average of 6.3 out of 8 policies and practices in this area, compared to 5.1 for non-RTT states (Figure IV.7). As baseline data about policies and practices aligned with RTT objectives on data systems were not collected, we could not determine whether this difference existed before the awarding of RTT grants.

**The individual policy or practice with the highest level of usage in the data systems area was having an SLDS.** Across all states, the average value for this practice was 0.94. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.8.

**The individual policy or practice with the lowest level of usage in the data systems area was requiring districts to implement district data systems.** Across all states, the average value for this policy was 0.30. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.8.

**Figure IV.7. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Data Systems, Spring 2012**

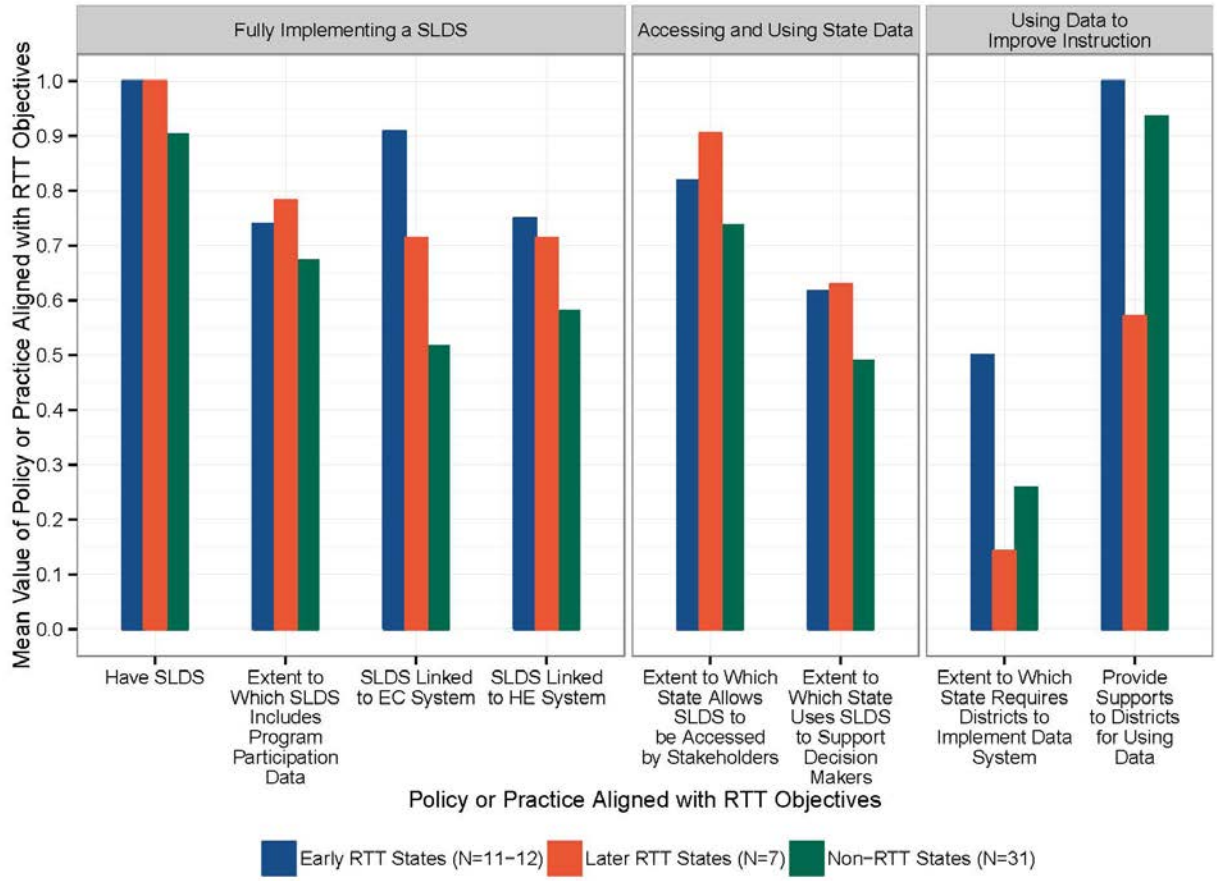



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.3. Each dot in this figure represents the number of states that reported using a particular number of policies and practices (out of eight examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, one non-RTT state reported using three of the eight data systems policies and practices aligned with the RTT application criteria. For five of the policies and practices, a "yes" response received one point. In the other three cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**Figure IV.8. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on Data Systems, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: This figure has a separate panel for each subtopic. As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

EC = early childhood; HE = higher education; SLDS = statewide longitudinal data system.

## D. Teacher and Principal Certification and Evaluation

One goal of RTT is to recruit, develop, reward, and retain effective teachers and principals, especially in the high-poverty schools and districts where they are needed most. Section D of the RTT application focused on teacher and principal certification and evaluation, with specific emphasis on five subtopics: (1) providing high-quality pathways to certification for aspiring teachers and principals, (2) improving teacher and principal effectiveness based on performance, (3) ensuring equitable distribution of effective teachers and principals, (4) improving the

effectiveness of teacher and principal preparation programs, and (5) providing effective support to teachers and principals.[32] We identified 39 policies and practices from the spring 2012 state interview aligned with RTT objectives on teacher and principal certification and evaluation (Table IV.4).

**Table IV.4. Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, by Subtopic**

| |
|---|
| **Providing High-Quality Pathways to Certification for Aspiring Teachers and Principals** |
| Authorizing or expanding institutions qualified to operate alternative-route programs for teachers or principals[a] |
| Adopting policies to increase the selectivity of alternative-route programs for teachers or principals |
| Adopting policies to increase the amount of mentoring for participants in certification programs or the time such participants spend in school-based learning experiences for teachers or principals |
| Adopting policies allowing alternative-route programs to award the same type of certification as traditional preparation programs for teachers or principals |
| Groups are currently operating alternative-route programs for teachers or principals[a] |
| Having a process to identify areas of shortages for teachers or principals |
| Taking steps to address areas of shortage for teachers or principals |
| **Improving Teacher and Principal Effectiveness Based on Performance** |
| Requiring districts to use student growth in evaluations and specifying the extent to which student achievement growth must factor into evaluations of teachers or principals[a] |
| Requiring multiple performance measures for evaluations of teachers or principals[a] |
| Specifying a required minimum number of rating categories to be used when evaluating teachers or principals[a] |
| Conducting annual evaluations of teachers[a,b] |
| Requiring evaluations to inform decisions about professional development and support for teachers or principals |
| Requiring evaluations to inform decisions about compensation for teachers or principals |
| Requiring evaluations to inform decisions about career advancement for teachers or principals |
| Requiring evaluations to inform decisions about dismissal of teachers or principals |
| **Ensuring Equitable Distribution of Effective Teachers and Principals** |
| Requiring districts or schools to use strategies to promote a more equitable distribution of effective teachers or principals |
| Conducting analyses of effectiveness based on student achievement growth to determine whether there has been a shift in the distribution of effective teachers or principals |
| **Improving the Effectiveness of Teacher and Principal Preparation Programs** |
| Using effectiveness ratings (based in part on student achievement growth) to assess the effectiveness of certification programs for teachers or principals[a] |
| Publicly reporting results from its evaluations of certification program effectiveness for teachers or principals |
| Using results from its evaluations of certification programs to provide additional funds for, expand, or promote certification programs that were shown to be effective for teachers or principals |

Source: Section D of the RTT application (http://www2.ed.gov/programs/racetothetop/phase2-application.doc); interviews with state administrators in spring 2012.

Note: The phrase "teachers or principals" indicates that we analyzed two separate practices: one focused on teachers and one focused on principals. Unless otherwise noted, the spring 2012 state interview asked only whether these policies and practices were in place during the current school year (2011–2012). See Appendix C for a list of the specific interview questions that were aligned with the RTT policies and practices in this table. See the RTT application for a detailed description of each subtopic. Most of the rows in this table describe two separate practices (one for teachers, one for principals).

[32] Because no state interview items aligned to subtopic 5, it is excluded from the analysis.

Table IV.4 *(continued)*

[a] The spring 2012 state interview asked not only whether this policy or practice was in place during the current school year (2011–2012) but also whether it was in place during the 2007–2008 school year.

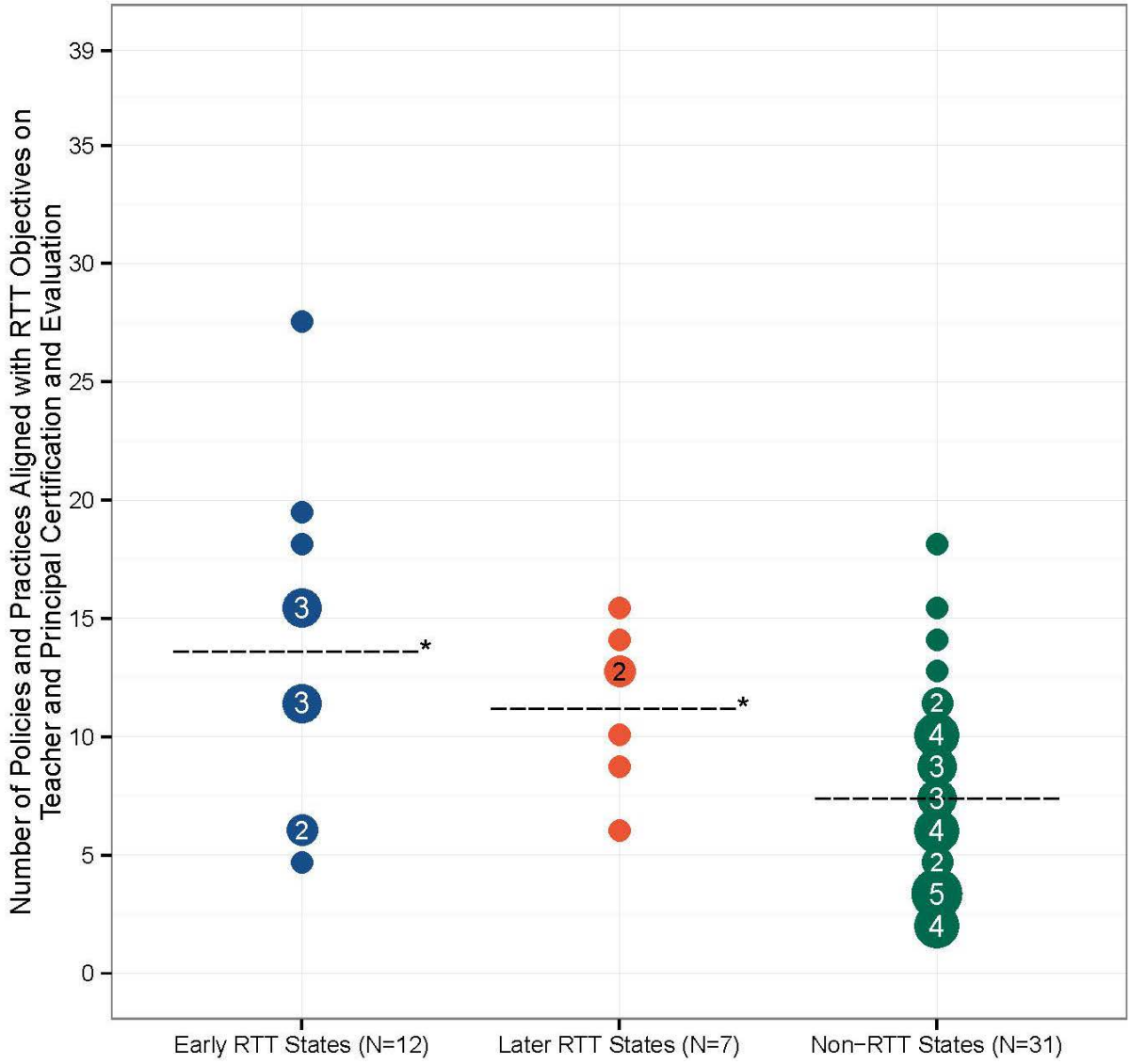
[b] The state interview did not ask about this policy or practice for principals.

**In spring 2012, both early and later RTT states reported using statistically significantly more of the policies and practices aligned with the teacher and principal certification and evaluation criteria in the RTT application than did non-RTT states.** Early and later RTT states reported using averages of 13.6 and 11.2 of the 39 policies and practices in this area, compared to 7.4 for non-RTT states (Figure IV.9). However, for both early and later RTT states, baseline data on 12 of these 39 policies and practices show that a statistically significant difference between the RTT and non-RTT states existed prior to the awarding of RTT grants. In particular, in 2007–2008, RTT states reported, on average, having 4.6 and 4.5 of these 12 policies and practices in place, compared to 2.7 for non-RTT states. (Baseline data were not collected for the other 27 policies and practices examined, so we could not determine if there were baseline differences for the topic area as a whole.)

**In spring 2012, early RTT states reported using statistically significantly more of the policies and practices aligned with the RTT application criteria than did non-RTT states for three of the four teacher and principal certification and evaluation subtopics**:

- **Providing high-quality pathways to certification for aspiring teachers and principals.** Early RTT states reported using an average of 6.4 out of 14 policies and practices in this area, compared to 3.7 for non-RTT states (Appendix A Figure A.9).
- **Improving teacher and principal effectiveness based on performance.** Early RTT states reported using an average of 6.1 out of 15 policies and practices in this area, compared to 3.4 for non-RTT states (Appendix A Figure A.10).
- **Ensuring equitable distribution of effective teachers and principals.** Early RTT states reported using an average of 0.6 out of 4 policies and practices in this area, compared to 0.2 for non-RTT states (Appendix A Figure A.11).

**Figure IV.9. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Spring 2012**



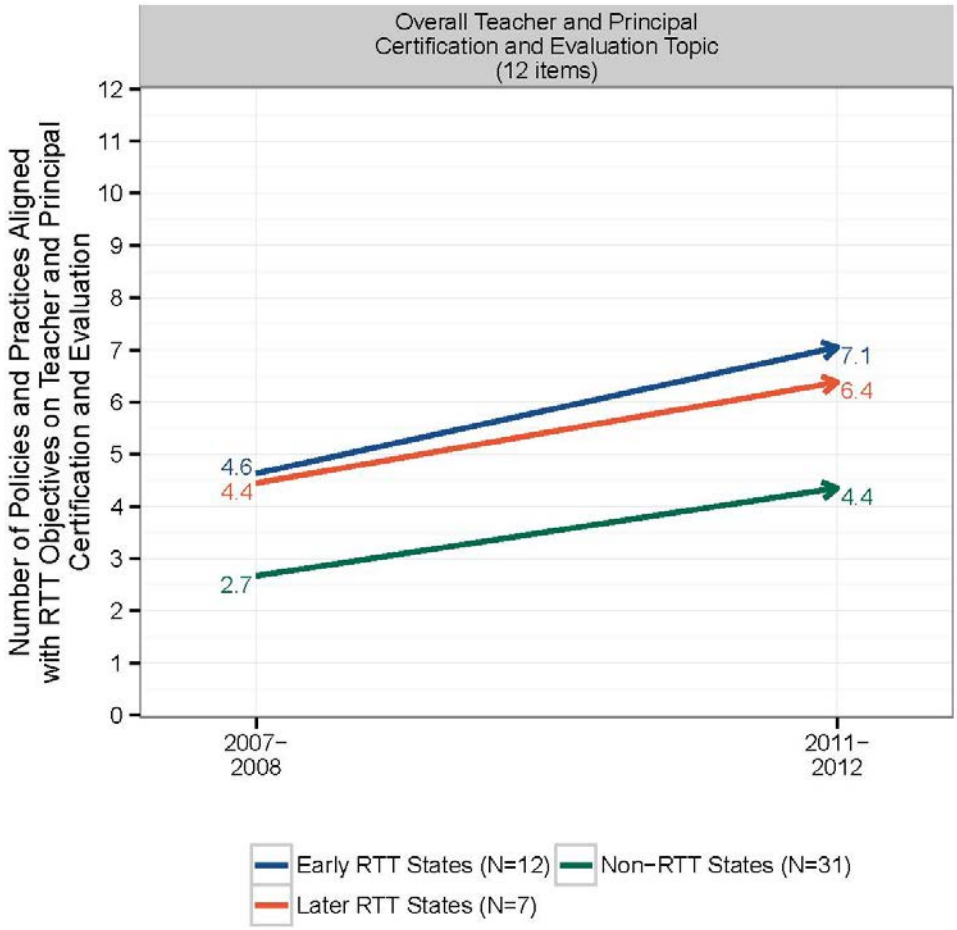

Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.4. Each dot in this figure represents the number of states that reported using a particular number of policies and practices (out of 39 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, four non-RTT states reported using 10 of the 39 teacher and principal certification and evaluation policies and practices aligned with the RTT application criteria. For 25 of the policies and practices, a "yes" response received one point. In the other 14 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**The increases over time in the usage of teacher evaluation policies and practices aligned with the RTT application criteria were not statistically significantly different between RTT and non-RTT states.** We examined the 12 teacher and principal certification and evaluation policies and practices aligned with the RTT application criteria for which we had state reports for both the 2007–2008 and 2011–2012 school years. Statistically significant differences between eventual RTT states and non-RTT states were already evident in 2007–2008, and the usage of these policies and practices increased within each group between 2007–2008 and 2011–2012 (Figure IV.10). However, the increases over time in usage of these 12 policies and practices for early and later RTT states did not differ significantly from the increase over time for non-RTT states. As noted in Chapter II, these findings about changes between 2007–2008 and 2011–2012 should be interpreted with caution because data from 2007–2008 were collected retrospectively in spring 2012.

**Figure IV.10. Change in Reported Usage of Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation**




Source: Interviews with state administrators in spring 2012.

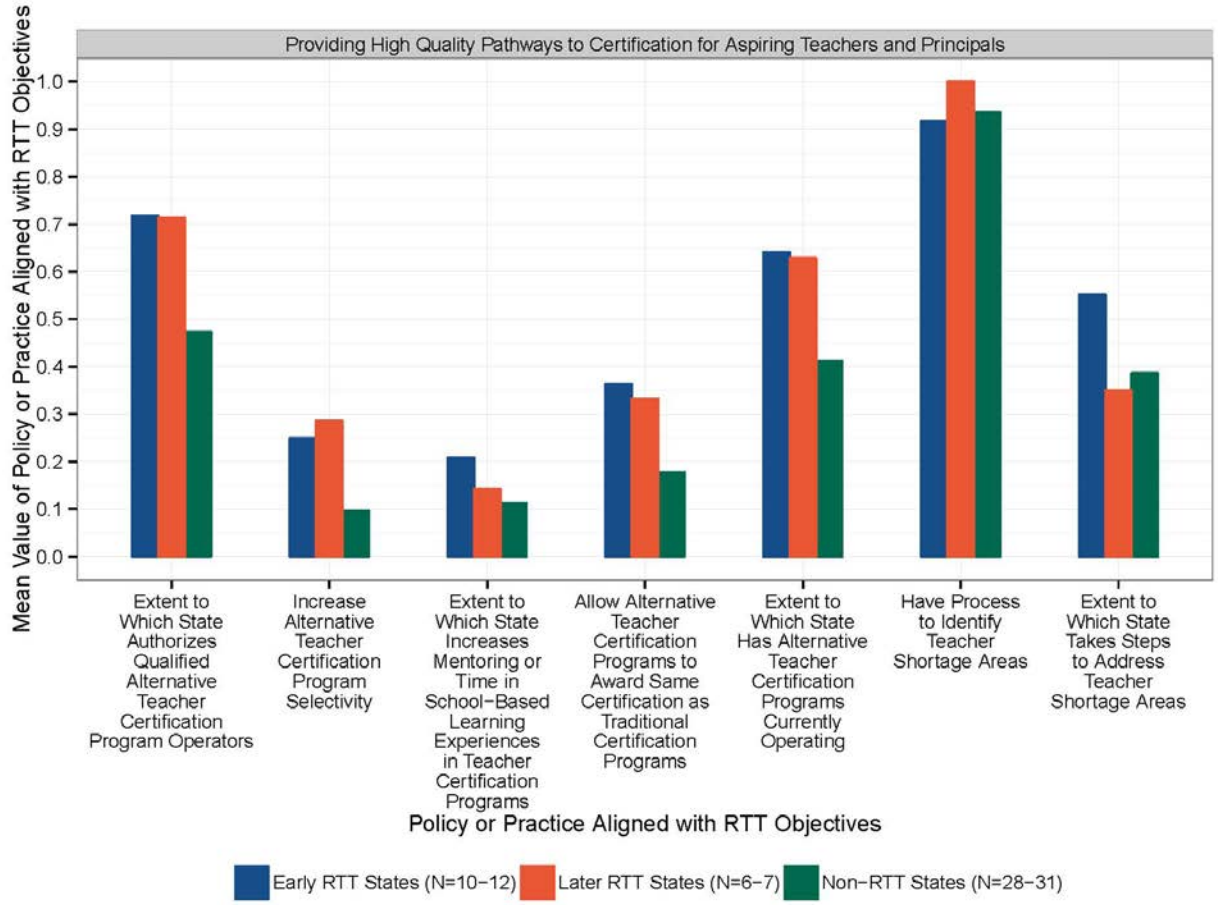
Note: This figure shows change over time for each group of states in the usage of policies and practices aligned with the teacher and principal certification and evaluation section of the RTT application criteria. The arrow for each group of states starts at the average number of reported policies and practices aligned with the RTT application criteria in 2007–2008 and ends at the average number of reported policies and practices aligned with the RTT application criteria in spring 2012. For example, on average, non-RTT states reported that they had used 2.7 of the 12 policies and practices aligned with the overall teacher and principal evaluation and certification topic area in 2007–2008. This group of states, on average, reported using 4.4 of these 12 policies and practices in spring 2012. The average usage levels for spring 2012 differ from those reported earlier in the chapter because this figure focuses on just the

Figure IV.10 *(continued)*

subset of policies and practices (12 out of 39) for which we measured usage in both 2007–2008 and 2011–2012. There were no statistically significant differences between RTT and non-RTT states with respect to changes between 2007–2008 and 2011–2012 in the number of policies and practices used, at the 0.05 level using a two-tailed test. Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

**The individual policy or practice with the highest level of usage in the teacher and principal certification and evaluation area was having a process to identify teacher shortage areas.** Across all states, the average value for this practice was 0.94. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.11.

**Figure IV.11. States' Reported Usage of the First Seven Individual Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Providing High-Quality Pathways to Certification for Aspiring Teachers and Principals Subtopic, Spring 2012**

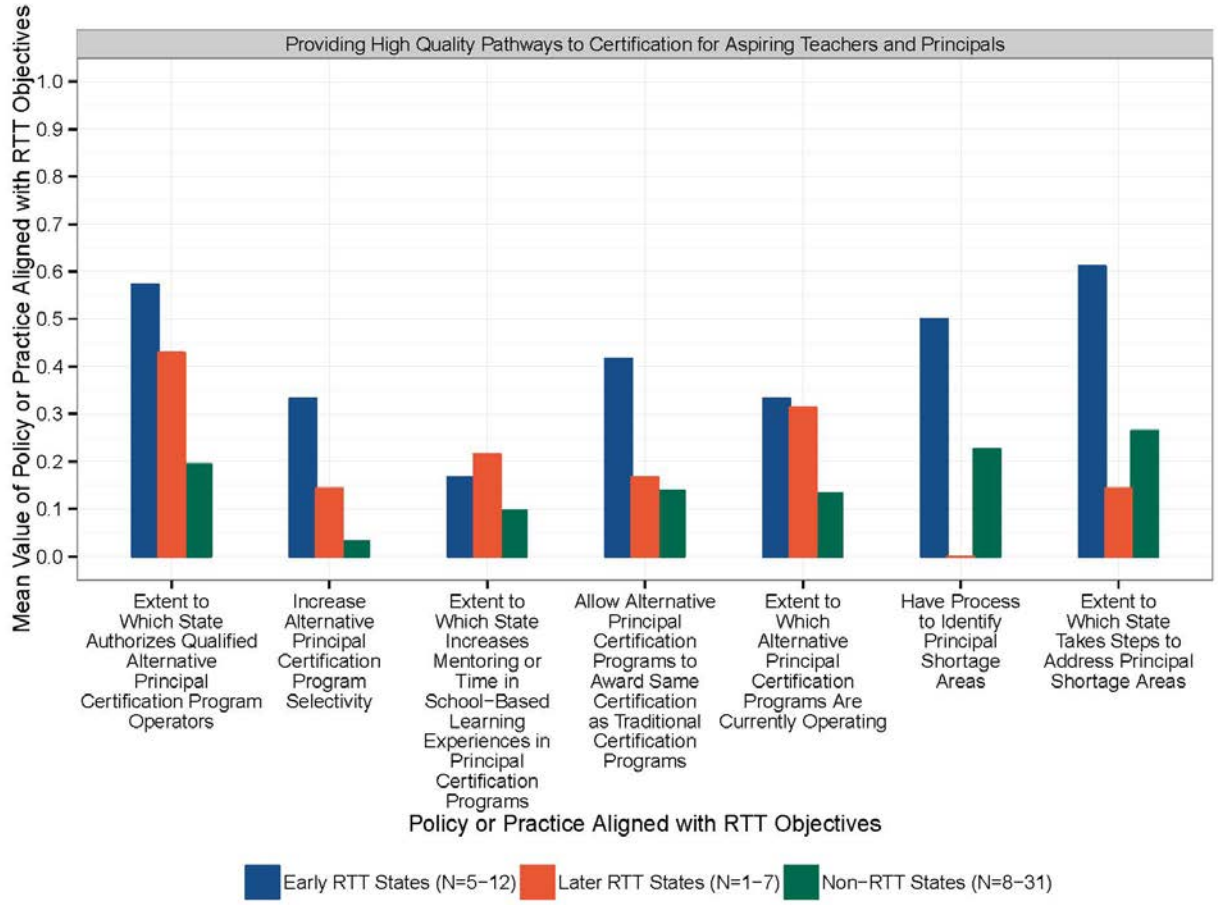



Source: Interviews with state administrators in spring 2012.

Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

**The individual policies and practices with the lowest levels of usage in the teacher and principal certification and evaluation area were (1) requiring evaluations to inform decisions about career advancement for teachers; (2) requiring evaluations to inform decisions about career advancement for principals; (3) conducting analyses of effectiveness based on student achievement growth to determine whether there has been a shift in the distribution of effective principals; (4) using results from its evaluations of certification programs to provide additional funds for, expand, or promote certification programs that were shown to be effective for teachers; (5) publicly reporting results from its evaluations of certification program effectiveness for principals; and (6) using results from its evaluations of certification programs to provide additional funds for, expand, or promote certification programs that were shown to be effective for principals.** Across all states, the average value for each of these policies and practices was 0.02. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figures IV.13, IV.14, IV.15, and IV.16. (Figure IV.12 shows similar information for other policies and practices.)

**Figure IV.12. States' Reported Usage of the Last Seven Individual Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Providing High-Quality Pathways to Certification for Aspiring Teachers and Principals Subtopic, Spring 2012**



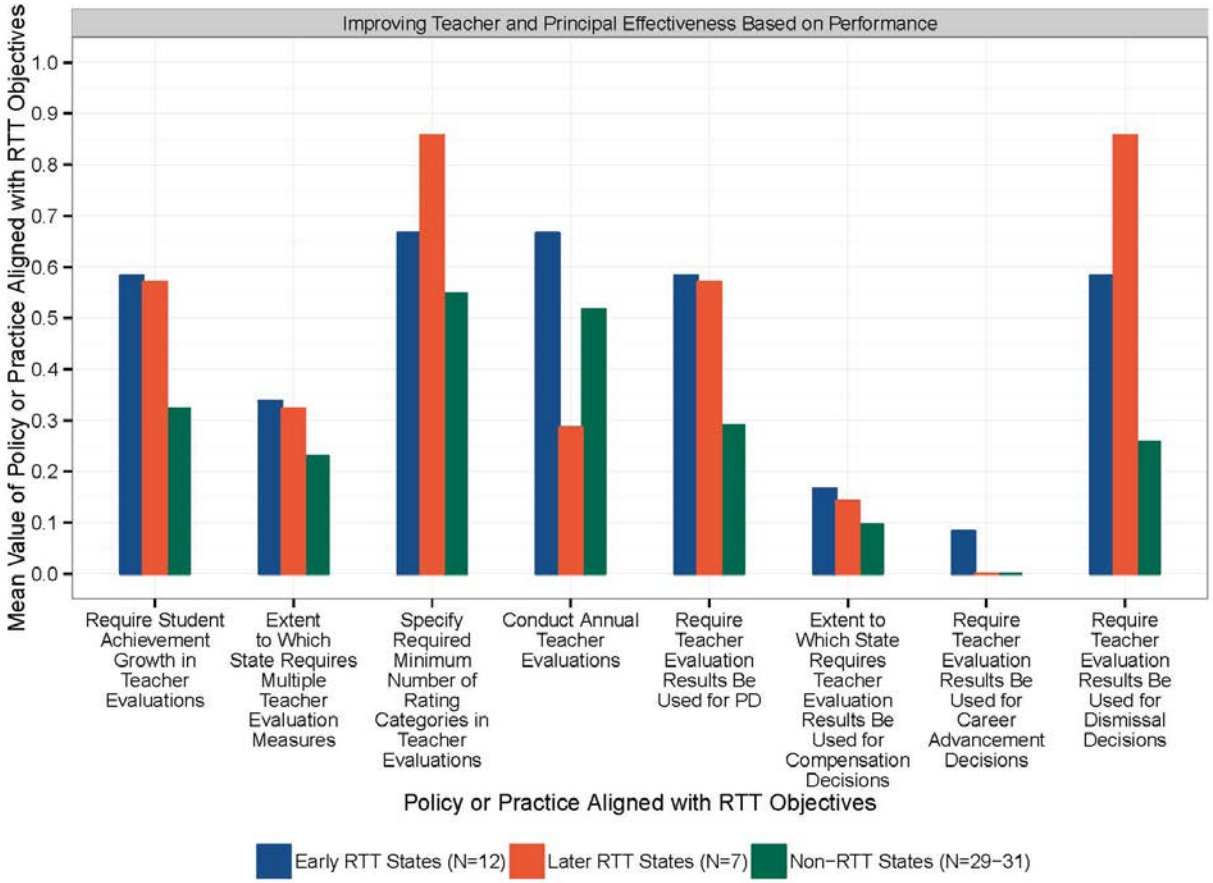

Source: Interviews with state administrators in spring 2012.

Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview

Figure IV.12 *(continued)*

questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

**Figure IV.13. States' Reported Usage of the First Eight Individual Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Improving Teacher and Principal Effectiveness Based on Performance Subtopic, Spring 2012**

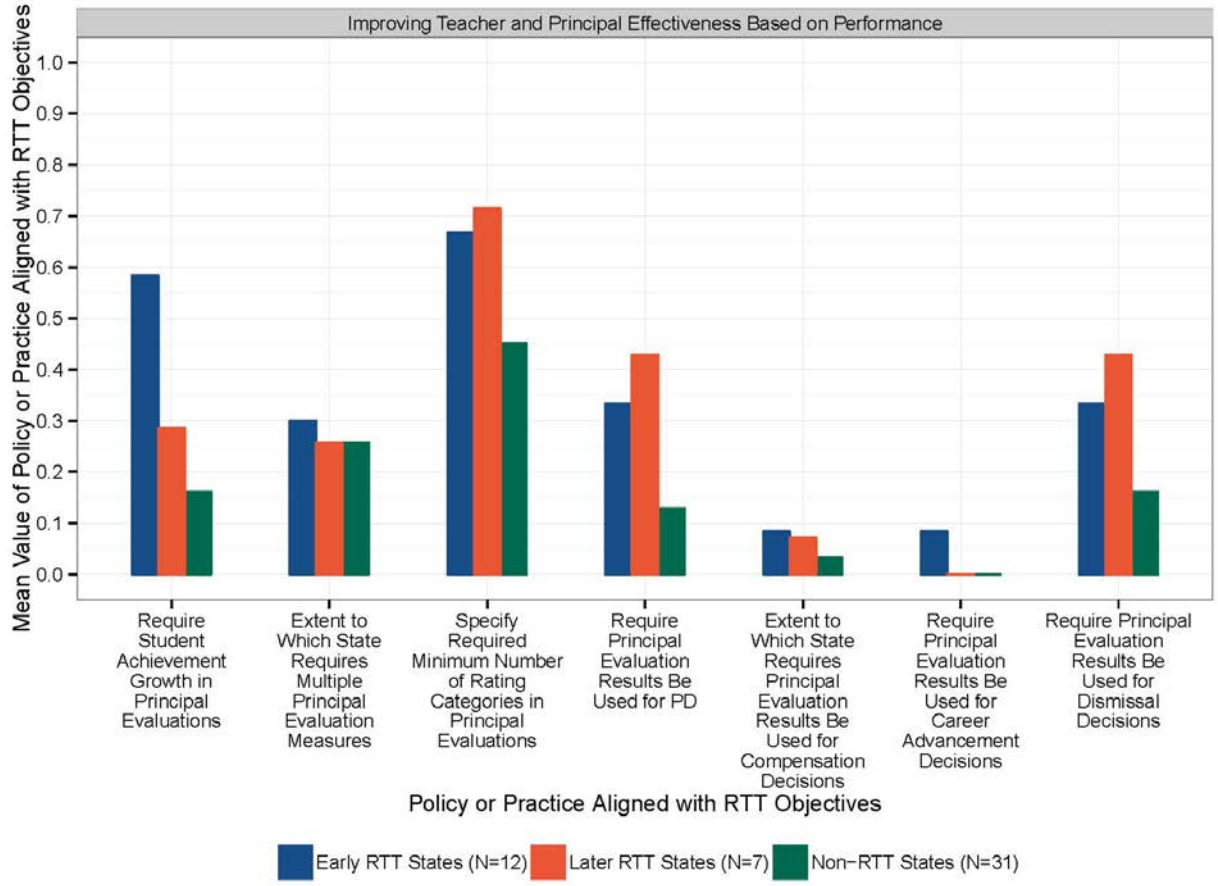



Source: Interviews with state administrators in spring 2012.

Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

PD = professional development.

**Figure IV.14. States' Reported Usage of the Last Seven Individual Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Improving Teacher and Principal Effectiveness Based on Performance Subtopic, Spring 2012**

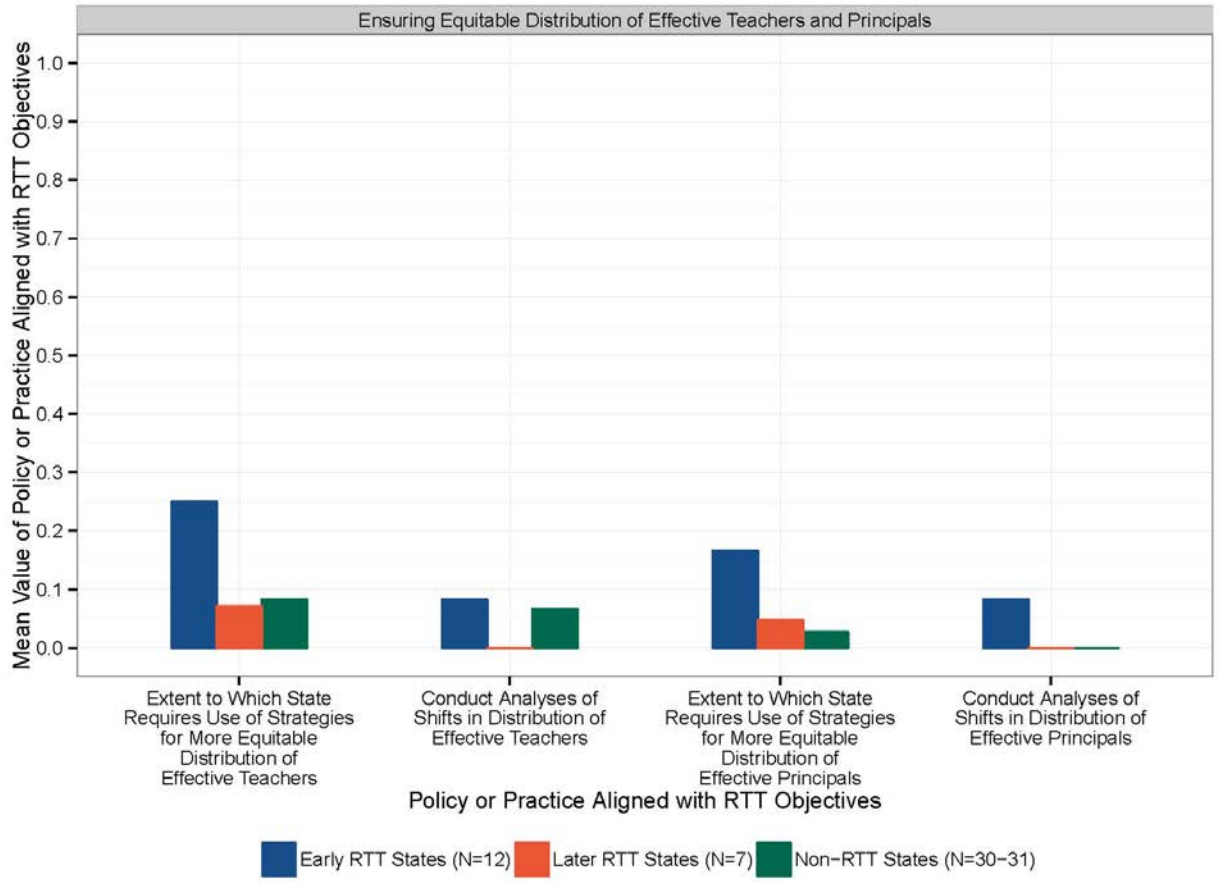



Source: Interviews with state administrators in spring 2012.

Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used).

PD = professional development.

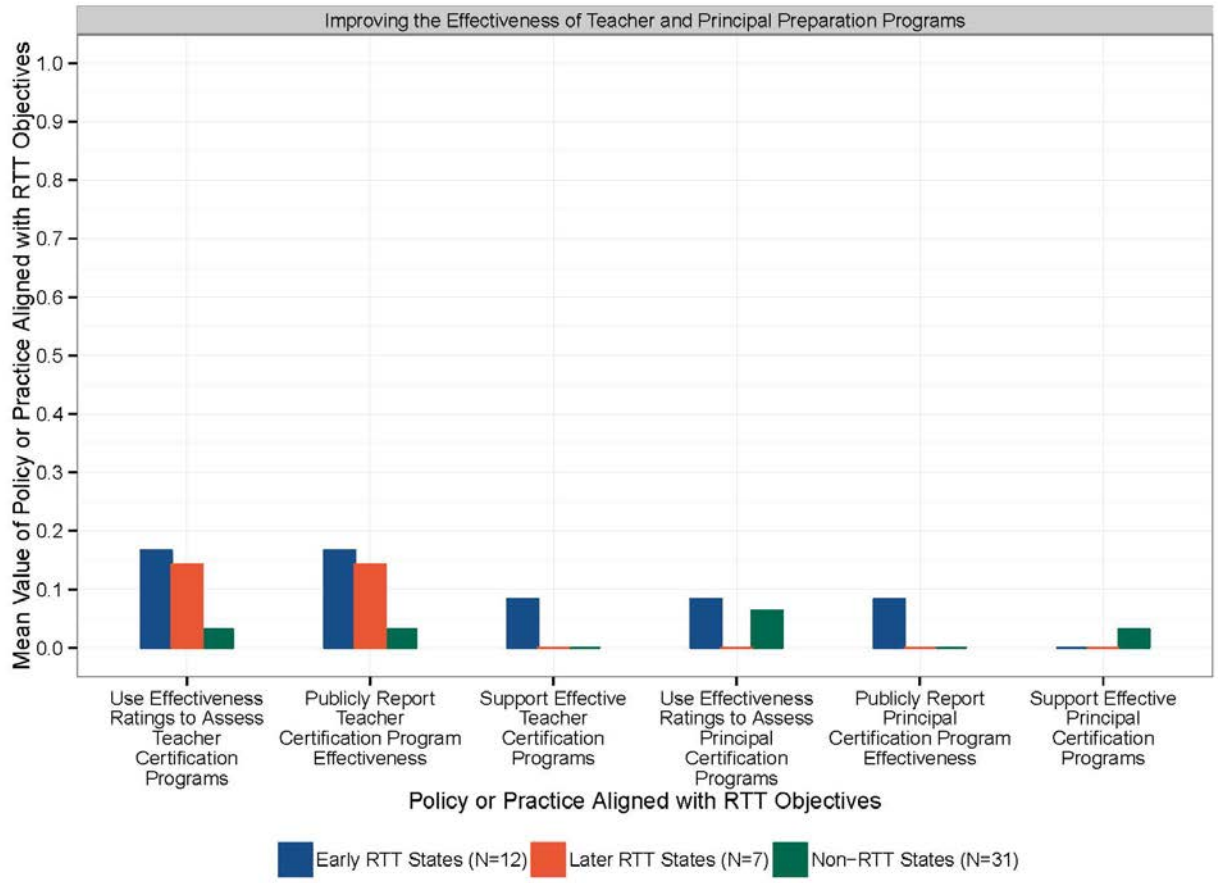
**Figure IV.15. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Ensuring Equitable Distribution of Effective Teachers and Principals Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

**Figure IV.16. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Improving the Effectiveness of Teacher and Principal Preparation Programs Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used).

## E. School Turnaround

Turning around the nation's persistently lowest-achieving schools is another goal of RTT. Section E of the RTT application, turning around the lowest-achieving schools, focused on two subtopics: (1) authority to intervene in the lowest-achieving schools and LEAs, and (2) turning around the lowest-achieving schools. We identified 10 school turnaround policies and practices from the spring 2012 state interview aligned with RTT objectives on school turnaround (Table IV.5).

**Table IV.5. Policies and Practices Aligned with RTT Objectives on School Turnaround, by Subtopic**

| |
|---|
| **Authority to Intervene in the Lowest-Achieving Schools and LEAs** |
| Having the authority to take over failing schools[a] |
| **Turning Around the Lowest-Achieving Schools** |
| Providing training to the lowest-achieving schools or LEAs on analyzing student assessment data to improve instruction |
| Helping the lowest-achieving schools or LEAs align curricula to state standards |
| Providing training to the lowest-achieving schools or LEAs on identifying and implementing effective curricula, instructional strategies, or school intervention models, or developing and implementing a school improvement plan |
| Providing training to the lowest-achieving schools or LEAs on identifying and implementing strategies to address the needs of ELLs |
| Providing technical assistance to the lowest-achieving schools or LEAs on improving the quality of professional development |
| Providing operational flexibility and support to lowest-achieving schools or LEAs with regard to staffing and budgeting[a] |
| Implementing or providing technical assistance on strategies to recruit and retain effective teachers (such as financial incentives) |
| Having teacher tenure rules that affect placement in or removal from the lowest-achieving schools[a] |
| Having state-level administrative structures intended to support school turnaround efforts[a] |

Source: Section E of the RTT application (http://www2.ed.gov/programs/racetothetop/phase2-application.doc); interviews with state administrators in spring 2012.

Note: Unless otherwise noted, the spring 2012 state interview asked only whether these policies and practices were in place during the current school year (2011–2012). See Appendix C for a list of the specific interview questions that were aligned with the RTT policies and practices in this table. See the RTT application for a detailed description of each subtopic.

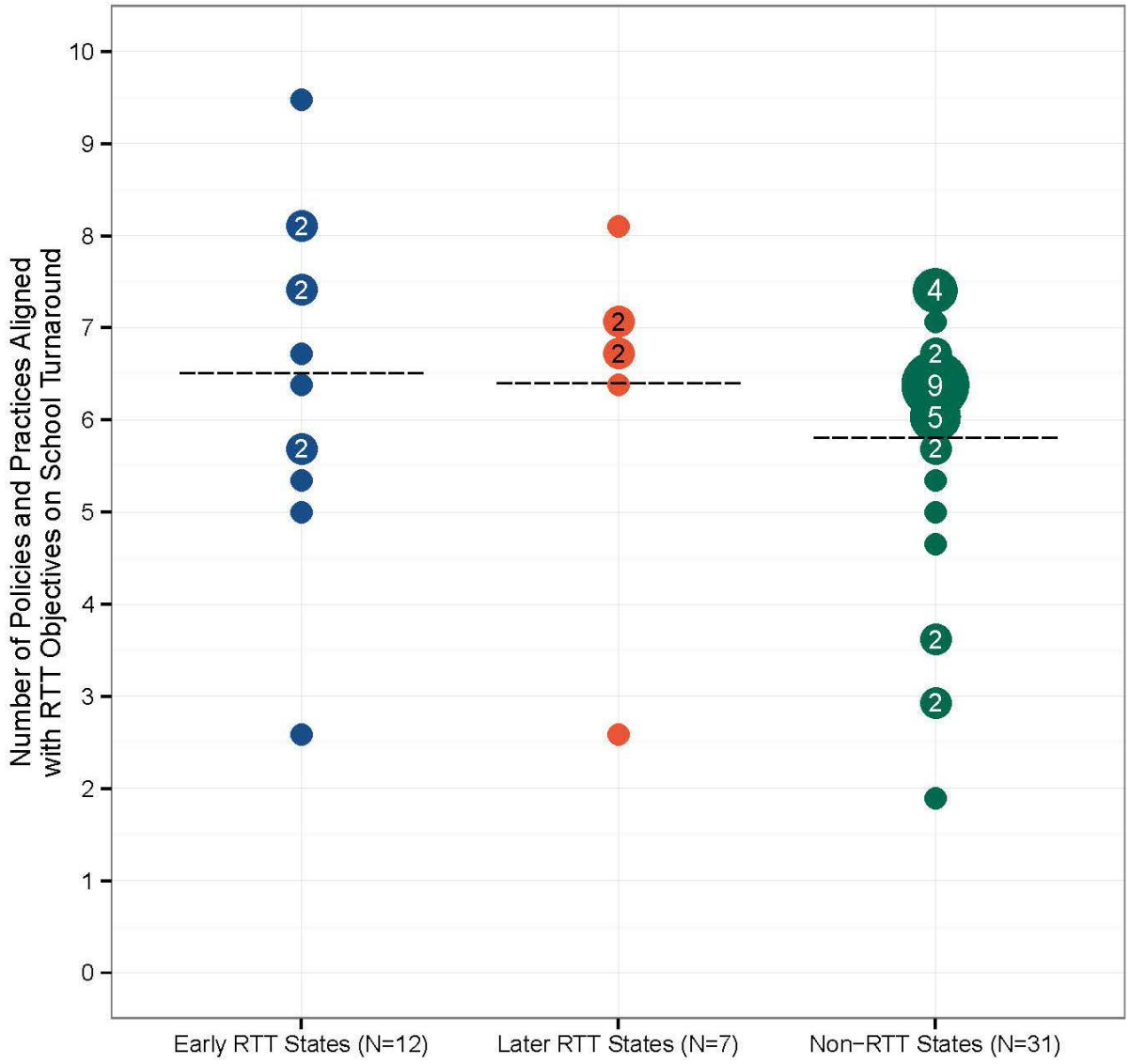
[a] The spring 2012 state interview asked not only whether this policy or practice was in place during the current school year (2011–2012) but also whether it was in place during the 2007–2008 school year.

ELL = English language learner; LEA = local education agency.

**In spring 2012, there were no statistically significant differences between RTT and non-RTT states in the school turnaround area.** Early RTT states, later RTT states, and non-RTT states reported using averages of 6.5, 6.4, and 5.8 of the 10 policies and practices aligned with the school turnaround section of the RTT application (Figure IV.17).

**The increases over time in the usage of school turnaround policies and practices aligned with the RTT application criteria were not statistically significantly different between RTT and non-RTT states.** We examined the five school turnaround policies and practices aligned with the RTT application criteria for which we had state reports for both the 2007–2008 and 2011–2012 school years (Figure IV.18). The increases over time in these five policies and practices did not differ significantly by RTT status. As noted in Chapter II, these findings about changes between 2007–2008 and 2011–2012 should be interpreted with caution because data from 2007–2008 were collected retrospectively in spring 2012.

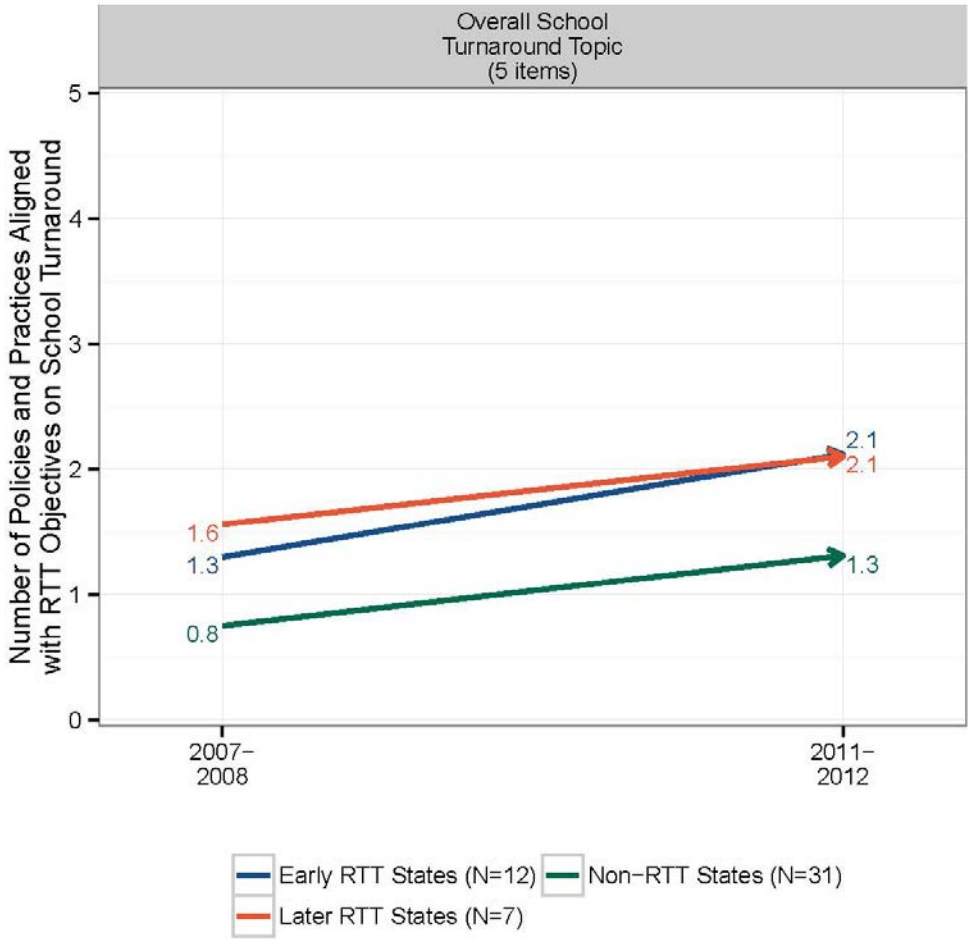
**Figure IV.17. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on School Turnaround, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.5. Each dot in this figure represents the number of states that reported using a particular number of policies and practices (out of 10 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, three non-RTT states reported using 5 of the 10 school turnaround policies and practices aligned with the RTT application criteria. For 6 of the policies and practices, a "yes" response received one point. In the other 4 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

**Figure IV.18. Change in Reported Usage of Policies and Practices Aligned with RTT Objectives on School Turnaround**



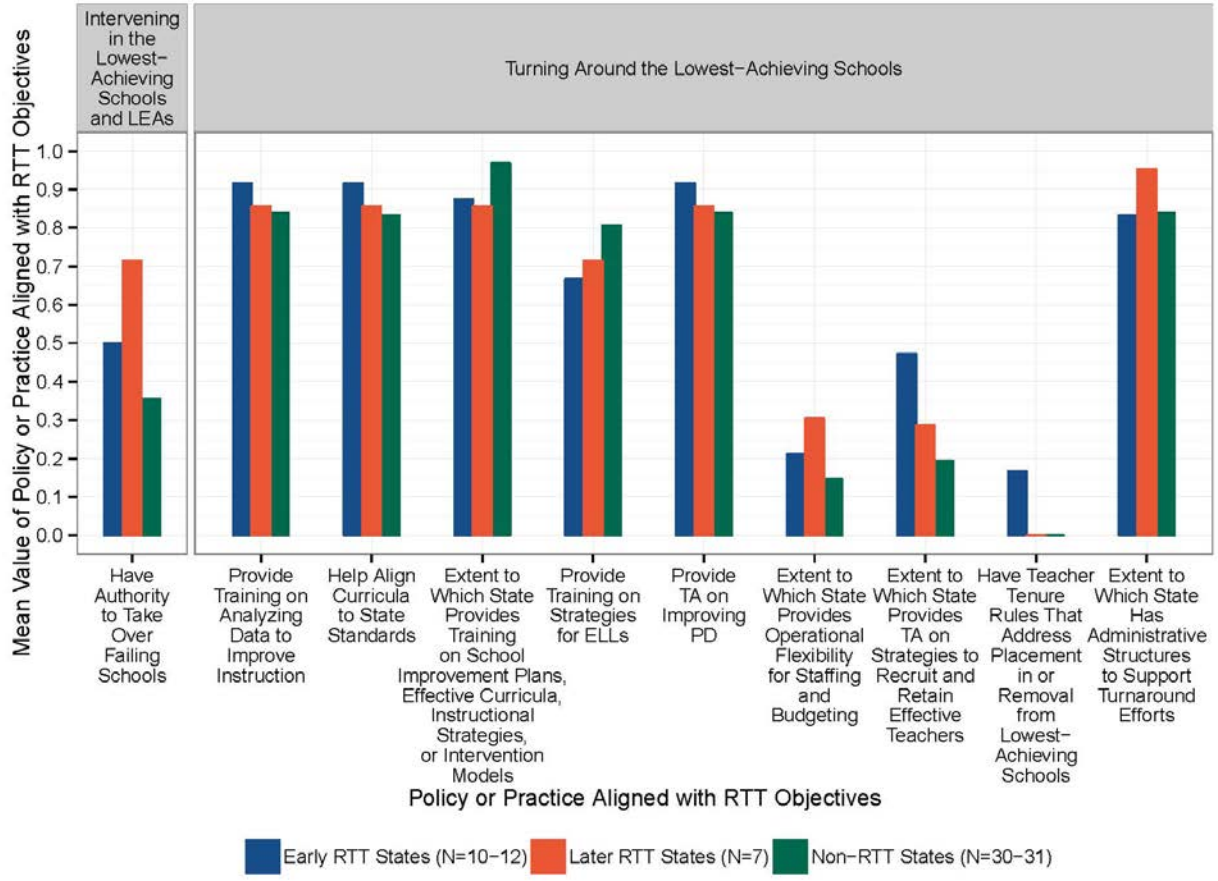

Source: Interviews with state administrators in spring 2012.

Note: This figure shows change over time for each group of states in the usage of policies and practices aligned with the school turnaround section of the RTT application. The arrow for each group of states starts at the average number of reported policies and practices aligned with the RTT application criteria in 2007–2008 and ends at the average number of reported policies and practices aligned with the RTT application criteria in spring 2012. For example, on average, non-RTT states reported that they had used 0.8 of the 5 policies and practices aligned with the overall school turnaround topic area in 2007–2008. This group of states, on average, reported using 1.3 of these 5 policies and practices in spring 2012. The average usage levels for spring 2012 differ from those reported earlier in the chapter because this figure focuses on just the subset of policies and practices (5 out of 10) for which we measured usage in both 2007–2008 and 2011–2012. There were no statistically significant differences between RTT and non-RTT states with respect to changes between 2007–2008 and 2011–2012 in the number of policies and practices used, at the 0.05 level using a two-tailed test. Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

**The individual policy or practice with the highest level of usage in the school turnaround area was providing training to the lowest-achieving schools or LEAs on identifying and implementing effective curricula, instructional strategies, or school intervention models, or developing and implementing a school improvement plan.** Across all states, the average value for this practice was 0.93. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.19.

**The individual policy or practice with the lowest level of usage in the school turnaround area was having teacher tenure rules that affect placement in or removal from the lowest-achieving schools.** Across all states, the average value for this practice was 0.04. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.19.

**Figure IV.19. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on School Turnaround, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: This figure has a separate panel for each subtopic. As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

ELLs = English language learners; LEA = local education agency; PD = professional development; TA = technical assistance.

## F. Charter Schools

Fostering an environment in which charter and other innovative schools can grow and thrive is one aim of RTT. One part of Section F of the RTT application, state reform conditions,

focused on ensuring successful conditions for high-performing charter schools and other innovative schools.[33] The application focused on two subtopics related to charter schools: (1) eliminating restrictions on charter school creation and enrollment, and (2) refining charter school authorization and monitoring processes. We identified four charter school policies and practices from the spring 2012 state interview aligned with RTT objectives on charter schools (Table IV.6).

**Table IV.6. Policies and Practices Aligned with RTT Objectives on Charter Schools, by Subtopic**

| |
|---|
| **Eliminating Restrictions on Charter School Creation and Enrollment** |
| Having no restrictions on the creation of new charter schools or charter enrollment[a] |
| **Refining Charter School Authorization and Monitoring Processes** |
| In considering applications for new charter schools, giving priority to schools that propose to address the needs of ELLs or that target ELLs |
| Monitoring the academic performance of charter schools[a] |
| Monitoring the non-academic performance of charter schools[a] |

Source: Section F of the RTT application (http://www2.ed.gov/programs/racetothetop/phase2-application.doc); interviews with state administrators in spring 2012.

Note: Unless otherwise noted, the spring 2012 state interview asked only whether these policies and practices were in place during the current school year (2011–2012). See Appendix C for a list of the specific interview questions that were aligned with the RTT policies and practices in this table. See the RTT application for a detailed description of each subtopic.

[a] The spring 2012 state interview asked not only whether this policy or practice was in place during the current school year (2011–2012) but also whether it was in place during the 2007–2008 school year.

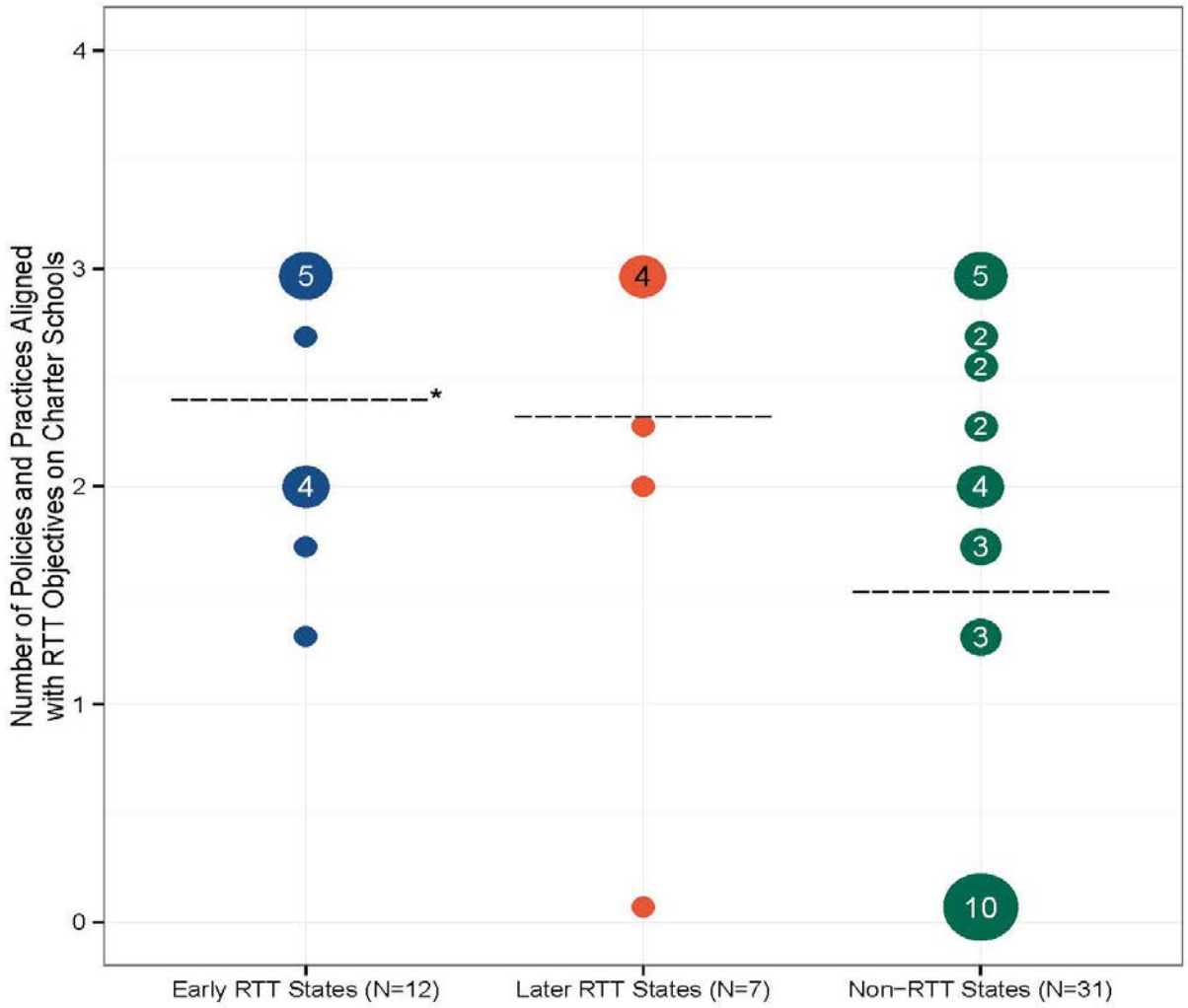
ELL = English language learner.

**In spring 2012, early RTT states reported using statistically significantly more of the policies and practices aligned with the charter school criteria in the RTT application than did non-RTT states.** Early RTT states reported using an average of 2.4 out of 4 policies and practices in this area, compared to 1.5 for non-RTT states (Figure IV.20). For three of these four charter school policies and practices aligned with the RTT application criteria, no difference between the groups existed before the awarding of RTT grants. (Baseline data were not collected for the fourth policy or practice in this area, so we could not determine if there were baseline differences for the area as a whole.)

**In spring 2012, early RTT states reported using statistically significantly more of the policies and practices aligned with the RTT application criteria than did non-RTT states for one charter school subtopic.** Early RTT states reported using an average of 1.9 out of 3 policies and practices in the subtopic focused on refining authorization and monitoring processes, compared to 1.2 for non-RTT states (Appendix A Figure A.16).

[33] The other reform areas mentioned in Section F of the RTT application (making education funding a priority and demonstrating other significant reform conditions) did not focus on charter schools and are excluded from this analysis.

**Figure IV.20. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Charter Schools, Spring 2012**



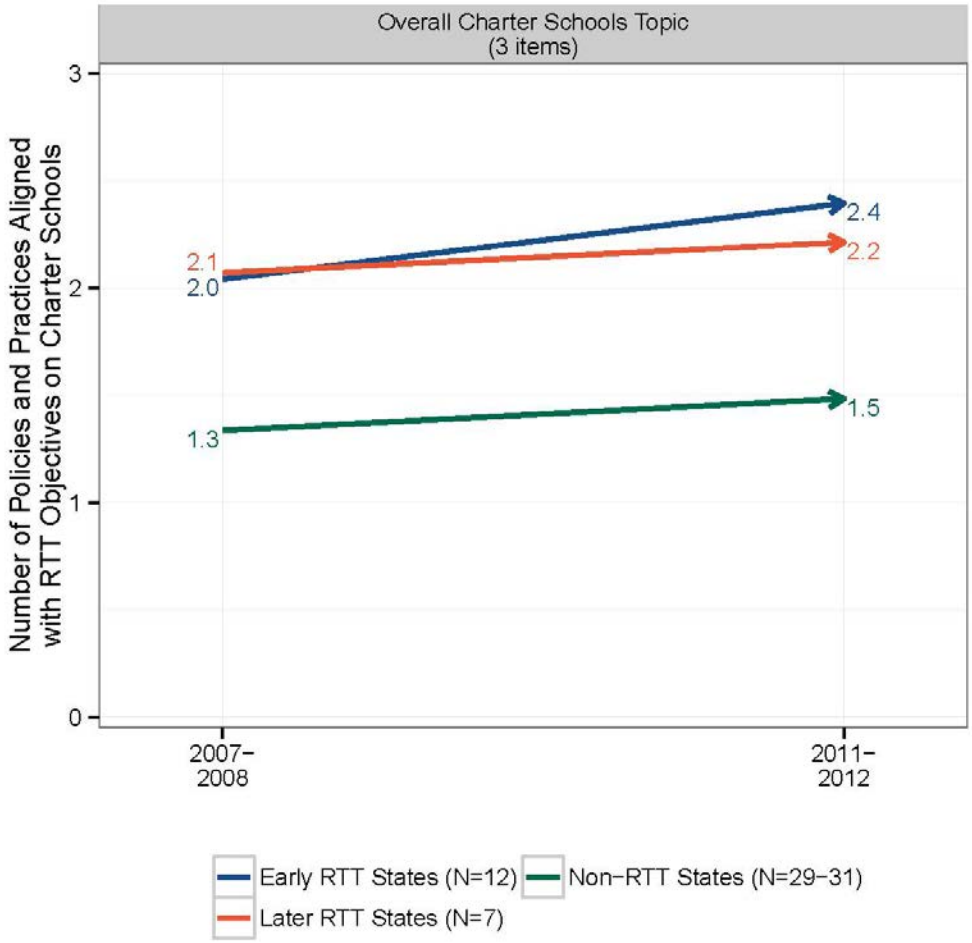

Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.6. Each dot in this figure represents the number of states that reported using a particular number of policies and practices (out of four examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, four non-RTT states reported using two of the four charter school policies and practices aligned with the RTT application criteria. For three of the policies and practices, a "yes" response received one point. In the fourth case, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**The increases over time in the usage of charter school policies and practices aligned with the RTT application criteria were not statistically significantly different between RTT and non-RTT states.** We examined the three charter school policies and practices aligned with the RTT application criteria for which we had state reports for both the 2007–2008 and 2011–2012 school years (Figure IV.21). The increases over time in these three policies and practices for early and later RTT states did not differ significantly from the increase over time for non-RTT states. As noted in Chapter II, these findings about changes between 2007–2008 and 2011–2012 should be interpreted with caution because data from 2007–2008 were collected retrospectively in spring 2012.

**Figure IV.21. Change in Reported Usage of Policies and Practices Aligned with RTT Objectives on Charter Schools**




Source: Interviews with state administrators in spring 2012.

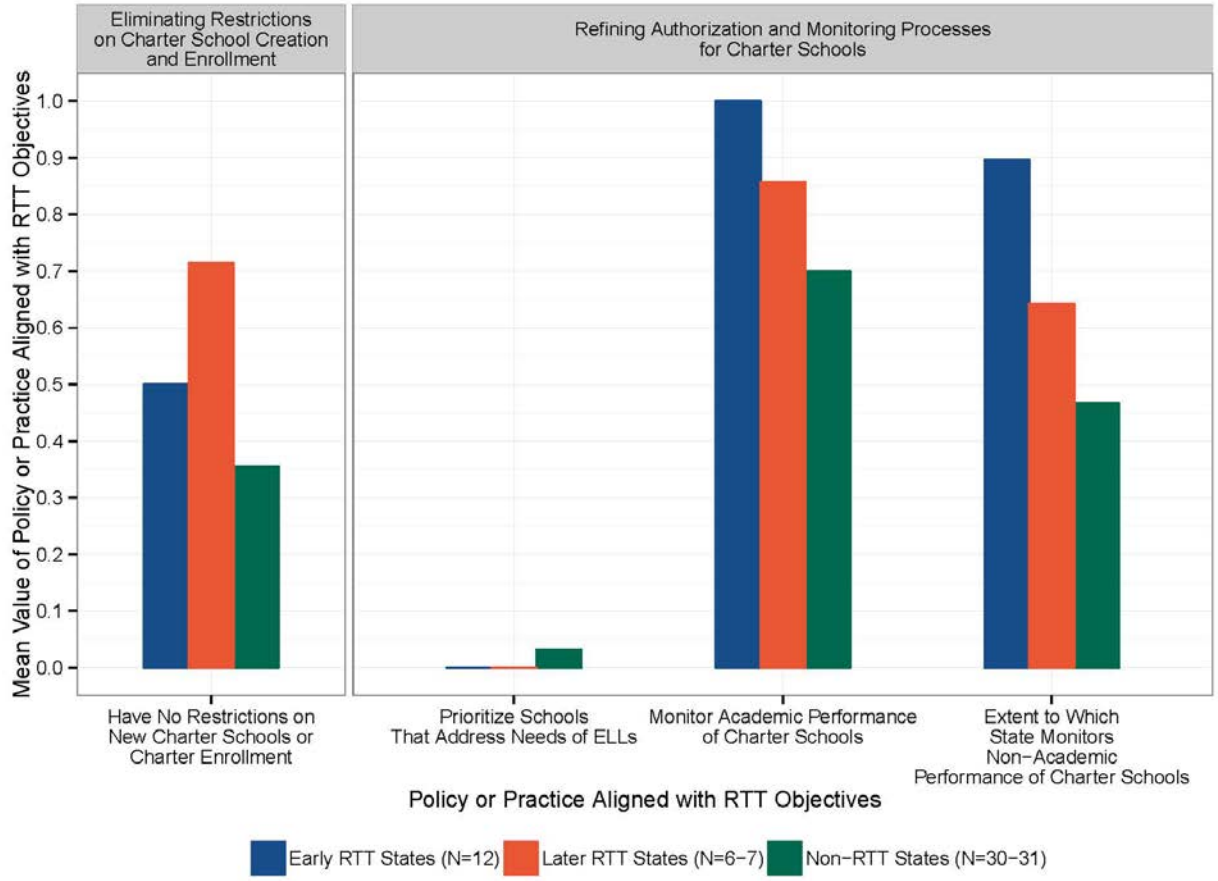
Note: This figure shows change over time for each group of states in the usage of policies and practices aligned with the charter school section of the RTT application. The arrow for each group of states starts at the average number of reported policies and practices aligned with the RTT application criteria in 2007–2008 and ends at the average number of reported policies and practices aligned with the RTT application criteria in spring 2012. For example, on average, non-RTT states reported that they had used 1.3 of the 3 policies and practices aligned with the overall charter school topic area in 2007–2008. This group of states, on average, reported using 1.5 of these 3 policies and practices in spring 2012. The average usage levels for spring 2012 differ from those reported earlier in the chapter because this figure focuses on just the subset of policies and practices (3 out of 4) for which we measured usage in both 2007–2008 and 2011–2012. A range is provided for the sample sizes because nonresponse varied across items. There were no statistically significant differences between RTT and non-RTT states with respect to changes between 2007–2008 and 2011–2012 in the number of policies and practices used, at the 0.05 level using a two-tailed test. Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

**The individual policy or practice with the highest level of usage in the charter schools area was monitoring the academic performance of charter schools.** Across all states, the average value for this practice was 0.80. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.22.

**The individual policy or practice with the lowest level of usage in the charter schools area was giving priority to schools that propose to address the needs of ELLs or that target ELLs when considering applications for new charter schools.** Across all states, the average

value for this practice was 0.02. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure IV.22.

**Figure IV.22. States' Reported Usage of Individual Policies and Practices Aligned with RTT Objectives on Charter Schools, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: This figure has a separate panel for each subtopic. As described in Chapter II, for each policy or practice in the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used). A range is provided for the sample sizes because nonresponse varied across items.

ELLs = English language learners.

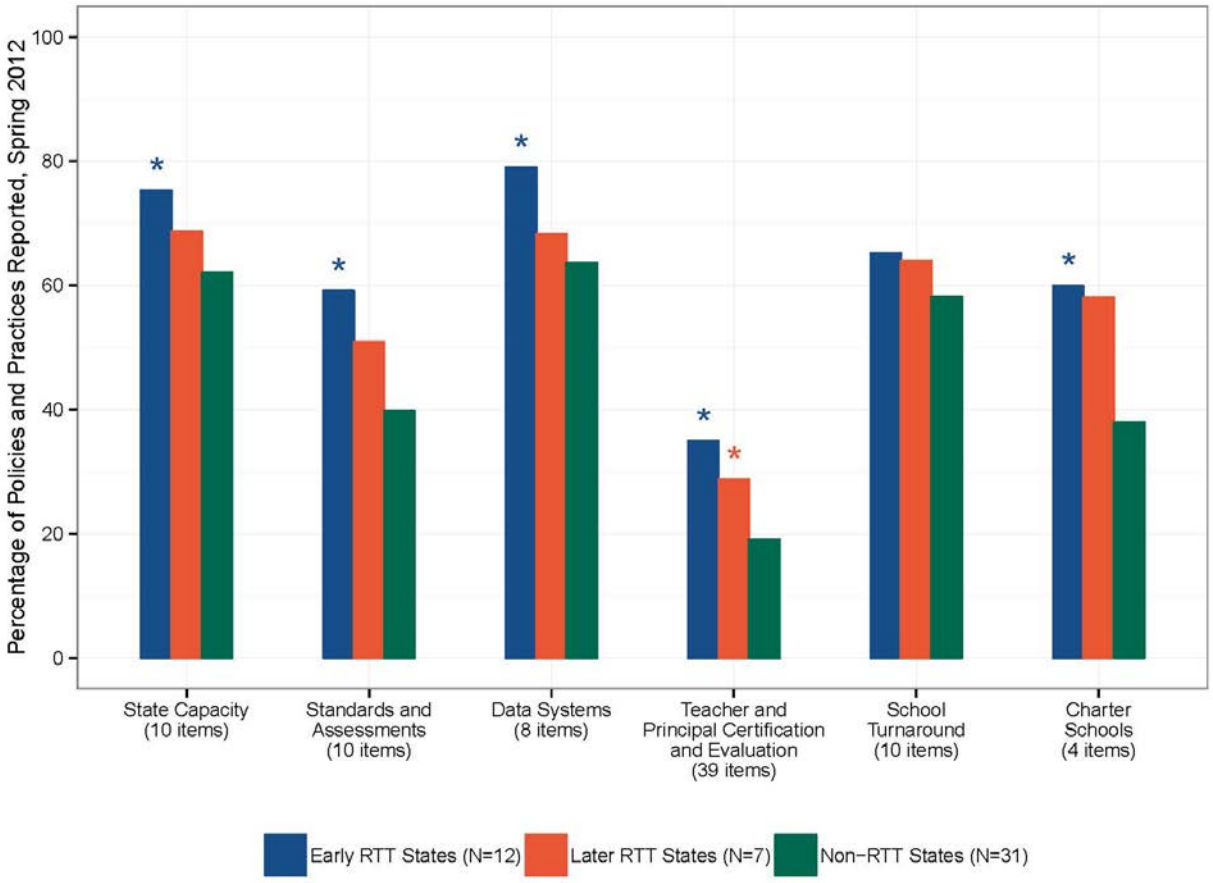
## G. Summary

This chapter examined the extent to which RTT and non-RTT states reported using RTT-promoted policies and practices in spring 2012 in six areas.

On average, early RTT states reported using statistically significantly more RTT-promoted policies and practices than non-RTT states in five of six areas (the area of school turnaround was the exception), with differences ranging from 0.9 to 6.2 policies and practices per area (Figure IV.23). On average, later RTT states also reported using statistically significantly more RTT-

promoted policies and practices than non-RTT in one of six areas (the area of teacher and principal certification and evaluation), with a difference of 3.8 policies and practices (Figure IV.23). These differences in usage of policies and practices in spring 2012 were not necessarily *caused* by RTT. In fact, among the three areas on which we collected baseline data on a subset of the policies and practices, we found that, for one area, a statistically significant difference between early RTT and non-RTT states existed prior to the RTT program in 2007–2008 (Figure IV.10), and for two areas, a statistically significant difference between later RTT and non-RTT states existed prior to the RTT program (Figures IV.10, IV.18). As noted in Chapter II, the 2007–2008 findings should be interpreted with caution because data from 2007–2008 were collected retrospectively in spring 2012.

**Figure IV.23. States' Reported Usage of Policies and Practices Promoted by RTT, by Topic Area**




Source: Interviews with state administrators in spring 2012.

Note: The total number of policies and practices differs by topic area. This figure reads as follows (using the first bar on the left as an example): early RTT states reported using 75 percent of the policies and practices in the state capacity area, or 7.5 out of 10 policies and practices examined in that area.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

Although the findings in this chapter focus on averages for the three groups of states (early RTT, later RTT, non-RTT), it is important to keep in mind that there was substantial variation in the reported usage of RTT-promoted policies and practices *within* each group. As a result, there was considerable overlap across groups in all six areas. In other words, some non-RTT states used *more* RTT-promoted policies and practices than the average number used by RTT states

(Figures IV.1, IV.4, IV.7, IV.9, IV.17, IV.20); in the figures, these states are the ones in the third column of (green) dots that are *above* the dashed average lines that are shown for the first and second columns of (red and blue) dots. In addition, some RTT states used *fewer* RTT-promoted policies and practices than the average number used by non-RTT states (Figures IV.1, IV.4, IV.7, IV.9, IV.17, IV.20); in the figures, these states are the ones in the first and second columns of (red and blue) dots that are *below* the dashed average line that is shown for the third column of (green) dots.

Across all states, usage of RTT-promoted policies and practices was highest in the state capacity and data systems areas and lowest in the teacher and principal certification and evaluation area. States reported using, on average, 66 and 68 percent of RTT-promoted policies and practices in the state capacity and data systems areas, and 24 percent of RTT-promoted policies and practices in the teacher and principal certification and evaluation area (not shown).

Across all states, the two individual policies and practices with the highest levels of usage were (1) having an SLDS, and (2) having a process to identify teacher shortage areas, with average values of 0.94 (not shown). Six of the seven individual policies and practices with the lowest levels of usage were concentrated in the area of teacher and principal certification and evaluation, and the seventh was giving priority to schools that address the needs of ELLs when considering applications for new charter schools; each had an average value of 0.02 (not shown).

# V. EXTENT TO WHICH STATES FOCUS ON ENGLISH LANGUAGE LEARNERS IN THEIR USAGE OF POLICIES AND PRACTICES PROMOTED BY RACE TO THE TOP

English language learners (ELLs) are of particular interest to this evaluation because: (1) they are historically lower-achieving than non-ELLs, and (2) the RTT program placed particular emphasis on prioritizing the academic achievement of high-needs students, including ELLs. Since 2002, ELLs' reading test scores have been below those of non-ELLs on the National Assessment of Educational Progress (NAEP).[34] The RTT initiative offered the opportunity to address this achievement gap. In particular, the RTT application criteria asked states to (1) make data on ELLs available to use to evaluate the effectiveness of instructional materials, strategies, and approaches for ELLs, and (2) provide supports and professional development to teachers and principals to ensure that ELLs acquire language skills to master academic content (U.S. Department of Education 2010). For these reasons, ED's Office of English Language Acquisition (OELA) requested that part of this evaluation focus on how schools have addressed the needs of ELLs as they adopted the policies and practices promoted by RTT.

In this chapter, we assess the extent to which RTT and non-RTT states reported focusing on ELLs in their usage of policies and practices promoted by RTT.

We present results from four types of analyses:

1. We compare usage of ELL-focused policies and practices aligned with the RTT application criteria for RTT and non-RTT states.
2. We compare usage of these ELL-focused policies and practices for RTT and non-RTT states within each of the following four groups:
   a. states with higher ELL populations (defined as states with percentages of ELLs above the median percentage). For example, within the group of states with higher ELL populations, we compare early RTT states to non-RTT states;
   b. states with lower ELL populations (defined as states with percentages of ELLs below the median percentage);
   c. states with higher ELL/non-ELL achievement gaps (defined as states with achievement gaps above the median gap); and
   d. states with lower ELL/non-ELL achievement gaps (defined as states with achievement gaps below the median gap).[35]
3. Within each of the following groups of states—early RTT, later RTT, and non-RTT—we compare usage of ELL-focused policies and practices for states that had higher and lower ELL populations. For example, within the group of early RTT states, we compare states with higher ELL populations to states with lower ELL populations.

[34] National Center for Education Statistics. *The Condition of Education*. Accessed February 17, 2014 at https://nces.ed.gov/programs/coe/indicator_cgf.asp.

[35] We calculated the percentage of ELLs using CCD data on the percentage of public school students participating in programs for ELLs in 2007–2008. We calculated ELL/non-ELL achievement gaps as the average score for non-ELLs minus the average score for ELLs on the 2007 NAEP 4th grade math exam. See Chapter II for more details on how states were classified into higher (above-median) and lower (below-median) groups.

4. Within each of the following groups of states—early RTT, later RTT, and non-RTT—we compare usage of ELL-focused policies and practices for states that had higher and lower ELL/non-ELL achievement gaps.

Readers interested in specific examples of the individual ELL-focused policies and practices included in these analyses may consult Appendix D.

Table V.1 shows descriptive statistics on the distribution of the ELL population sizes and the ELL/non-ELL achievement gap for each group of states (early RTT, later RTT, non-RTT). On average across all states, ELLs made up 6.1 percent of the student body, and non-ELLs performed 22.5 points higher than ELLs on the NAEP exam. Early, later, and non-RTT states had similar ELL populations on average (6.1 percent). Later RTT states had a higher average ELL/non-ELL achievement gap (28.8) than early RTT states (20.2). As a result, the majority of later RTT states (five of seven) were classified into the group of states with higher ELL/non-ELL achievement gaps.

**Table V.1. Distribution of ELL Population and ELL/Non-ELL Achievement Gap**

| | All States | Early RTT States | Later RTT States | Non-RTT States |
|---|---|---|---|---|
| **Distribution of ELL Population** | | | | |
| 10th Percentile | 1.9 | 2.7 | 1.3 | 1.8 |
| 50th Percentile | 5.2 | 6.5 | 3.9 | 5.0 |
| 90th Percentile | 11.0 | 8.9 | 14.6 | 11.0 |
| Mean | 6.1 | 6.1 | 6.1 | 6.1 |
| **Number of States That Had Higher and Lower ELL Populations** | | | | |
| Higher | 25 | 7 | 3 | 15 |
| Lower | 25 | 5 | 4 | 16 |
| **Distribution of ELL/Non-ELL Achievement Gap** | | | | |
| 10th Percentile | 13.0 | 14.0* | 14.0 | 10.0 |
| 50th Percentile | 24.0 | 22.0* | 32.5 | 24.0 |
| 90th Percentile | 32.0 | 29.0* | 34.0 | 30.0 |
| Mean | 22.5 | 20.2* | 28.8 | 22.2 |
| **Number of States That Had Higher and Lower ELL/Non-ELL Achievement Gaps** | | | | |
| Higher | 25[a] | 6 | 5 | 14 |
| Lower | 20 | 6 | 1 | 13 |
| **Number of States** | **45–50** | **12** | **6–7** | **27–31** |

Source: Common Core of Data (CCD); National Assessment of Educational Progress (NAEP) scores.

Note: We calculated the ELL population using CCD data on the percentage of public school students participating in programs for ELLs in 2007–2008. We calculated ELL/non-ELL achievement gaps as the average score for non-ELLs minus the average score for ELLs on the 2007 NAEP 4th grade math exam. States were classified into higher and lower groups based on whether their value (for either the ELL population or the ELL/non-ELL achievement gap) was above or below the median value across all states. See Chapter II for more details on how we classified states into groups. A range is provided for the sample size because missing data varied across items. There were no statistically significant differences between early RTT and non-RTT states, or between later RTT and non-RTT states.

[a] The number of states with a higher achievement gap is not equal to the number of states with a lower gap because five states had the median value (and were assigned to the above-median group).

Table V.1 *(continued)*

*Significantly different from later RTT states at the 0.05 level, two-tailed test.
ELL = English language learner.

We identified 12 ELL-focused policies and practices from the spring 2012 state interview aligned with RTT objectives (Table V.2).

**Table V.2. ELL-Focused Policies and Practices Aligned with RTT Objectives**

| |
|---|
| Prioritizing the adoption and implementation of supports to ELLs |
| Providing targeted support to ELLs or working with intermediaries to provide support to ELLs |
| Implementing organizational or administrative changes to improve capacity to support ELLs |
| Supporting districts or schools in implementing the Common Core State Standards with ELLs |
| State longitudinal data system contains program participation information about ELLs |
| State longitudinal data system is used to inform and engage stakeholders and support decision makers in continuous improvement efforts for ELLs |
| Providing funding, materials, training, technical assistance, or other supports to districts to aid in the use of ELL-related data |
| Teacher assignment laws or policies include financial incentives to recruit and retain teachers with ELL-expertise |
| Providing training to the lowest-achieving schools or local education agencies on identifying and implementing strategies to address the need of ELLs |
| Having state-level staff or consultants to support turnaround schools and districts in working with ELLs |
| In considering applications for new charter schools, giving priority to schools that propose to address the needs of ELLs or that target ELLs |
| Monitoring charter school performance based on the student populations (such as ELLs) served |

Source: RTT application (http://www2.ed.gov/programs/racetothetop/phase2-application.doc); interviews with state administrators in spring 2012.

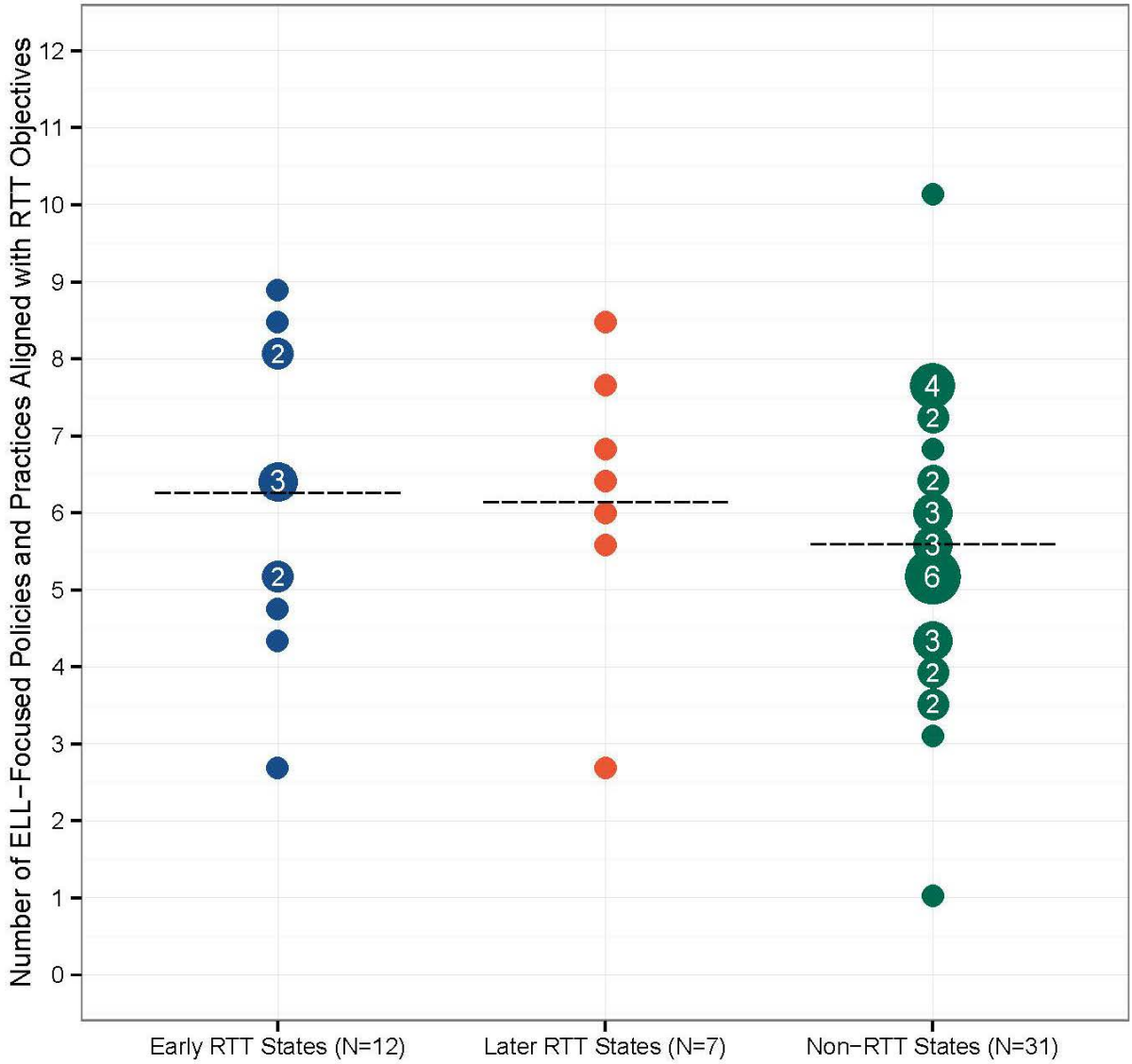
Note: See Appendix D for a list of the specific interview questions that were aligned with the ELL-focused policies and practices in this table. All the policies and practices listed in this table were included in the main analyses described in Chapter IV, but some of them are not listed in the Chapter IV tables because they were included in a broader policy or practice that is listed in those tables.

ELL = English language learner.

**In spring 2012, there was no statistically significant difference in usage of ELL-focused policies and practices aligned with the RTT application criteria between RTT and non-RTT states.** Early RTT states, later RTT states, and non-RTT states reported using an average of 6.3, 6.1, and 5.6 of 12 ELL-focused policies and practices aligned with the RTT application criteria (Figure V.1).

**Within each of the following four groups—states with higher ELL populations, states with lower ELL populations, states with higher ELL/non-ELL achievement gaps, and states with lower ELL/non-ELL achievement gaps—there were no statistically significant differences between RTT and non-RTT states in the number of ELL-focused policies and practices used.** Early RTT states, later RTT states, and non-RTT states with higher ELL populations reported using an average of 7.2, 6.7, and 6.4 of 12 ELL-focused policies and practices aligned with the RTT application criteria, while states with lower ELL populations reported using 5.0, 5.8, and 4.8 ELL-focused policies and practices (Figure V.2). Early RTT states, later RTT states, and non-RTT states with higher ELL/non-ELL achievement gaps reported using an average of 5.7, 6.8, and 5.8 ELL-focused policies and practices, while states with lower ELL/non-ELL achievement gaps reported using 6.8, 6.3, and 5.7 ELL-focused policies and practices (Figure V.3).

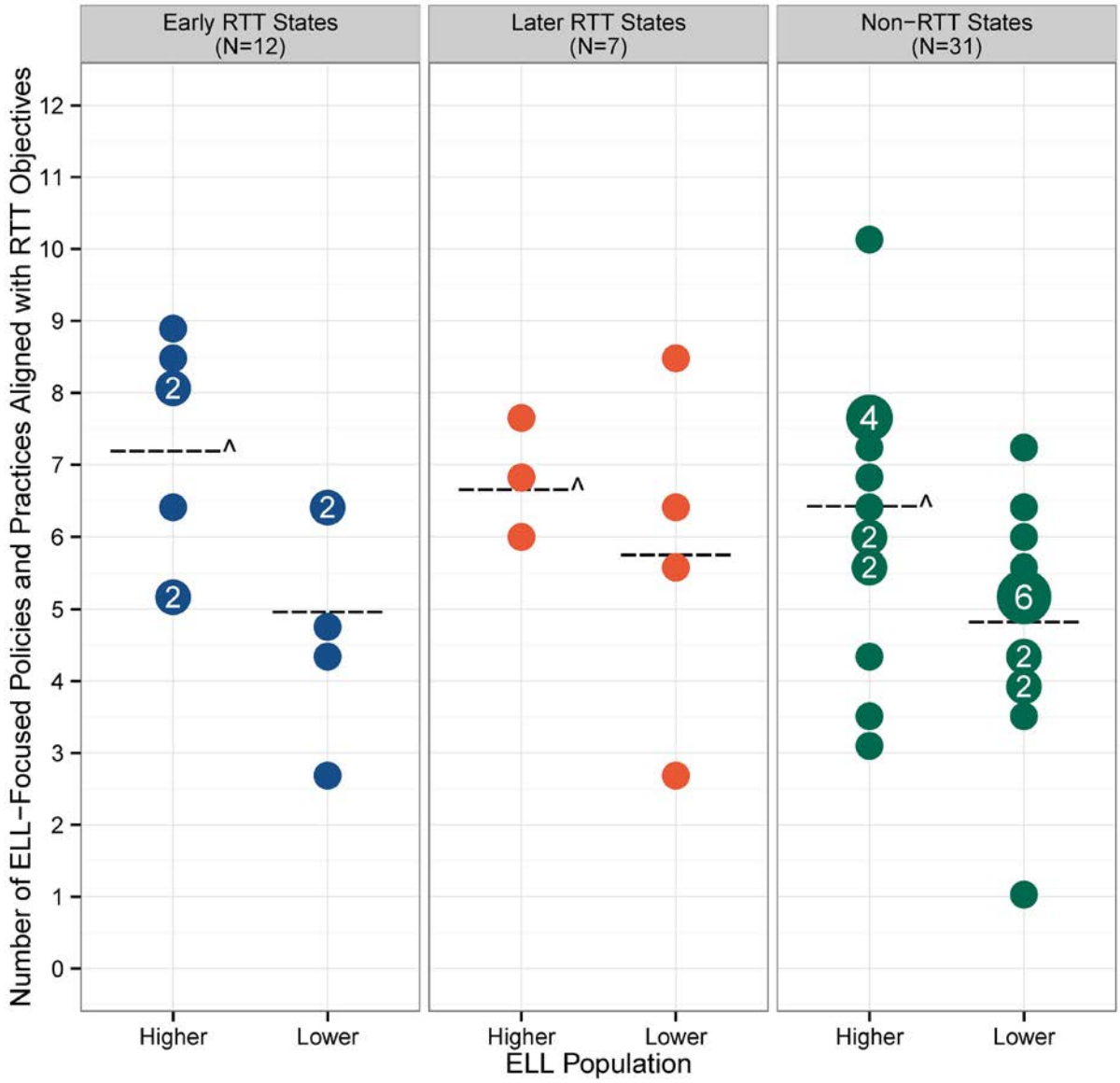
**Figure V.1. States' Reported Usage of ELL-Focused Policies and Practices Aligned with RTT Objectives, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table V.2. Each dot in this figure represents the number of states that reported using a particular number of ELL-focused policies and practices (out of 12 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, three non-RTT states reported using 6 of 12 ELL-focused policies and practices aligned with the RTT application criteria. For 6 of the policies and practices, a "yes" response received one point. In the other 6 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of ELL-focused policies and practices was determined for each state. The dashed line denotes the average number of ELL-focused policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

**Figure V.2. States' Reported Usage of ELL-Focused Policies and Practices Aligned with RTT Objectives, by ELL Population, Spring 2012**

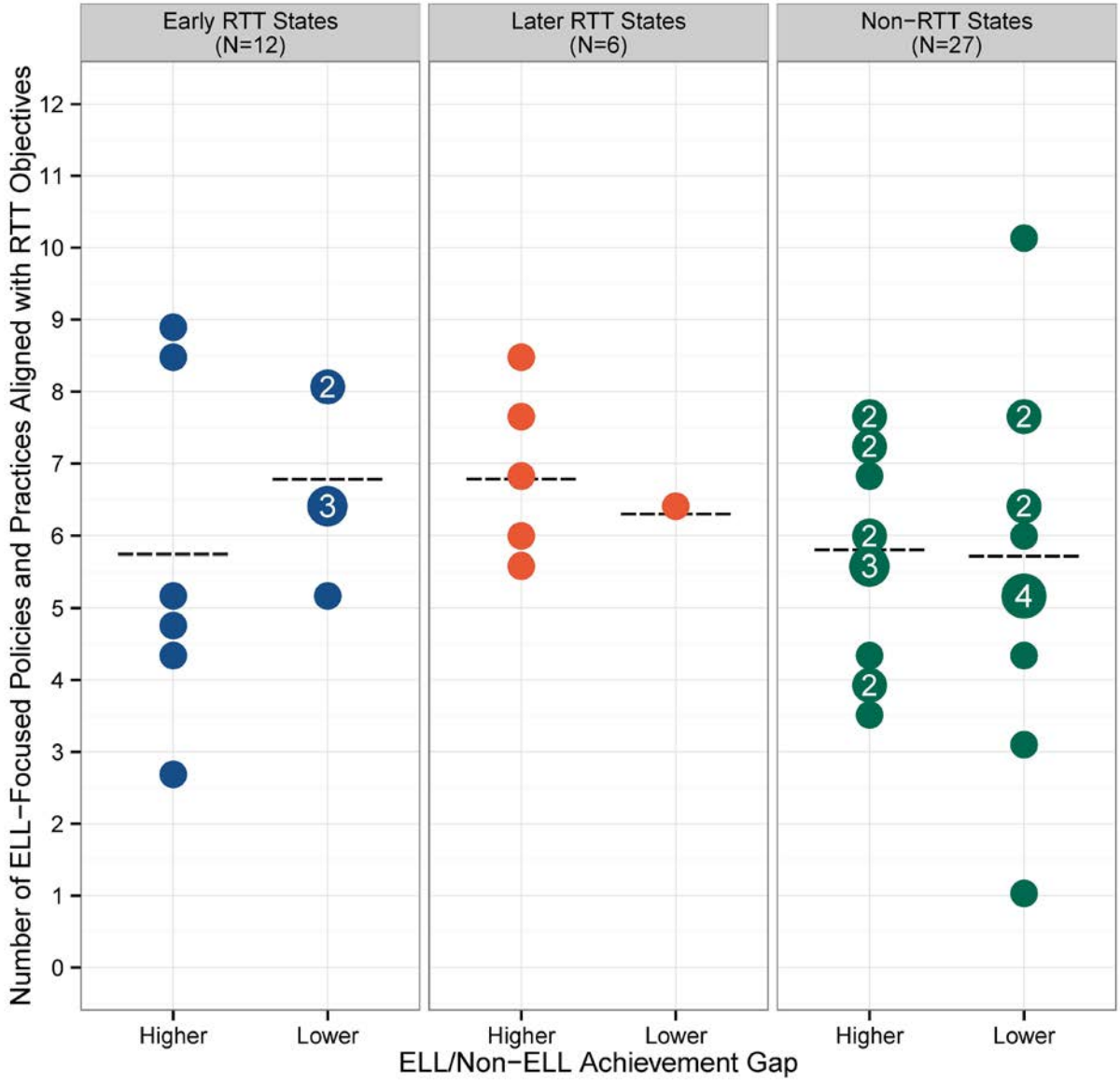



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table V.2. Each column in the figure shows the number of ELL-focused policies and practices that states in each group (early RTT, later RTT, non-RTT) reported using, by states that had higher and lower ELL populations. Each dot in this figure represents the number of states that reported using a particular number of ELL-focused policies and practices (out of 12 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, two non-RTT states that had higher ELL populations reported using 6 of 12 ELL-focused policies and practices aligned with the RTT application criteria. For 6 of the policies and practices, a "yes" response received one point. In the other 6 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of ELL-focused policies and practices was determined for each state. The dashed line denotes the average number of ELL-focused policies and practices for each group of states. Within each of the following two groups—states with higher ELL populations and states with lower ELL populations—none of the differences in the average number of ELL-focused policies and practices used by early RTT, later RTT, and non-RTT states were statistically significant at the 0.05 level using a two-tailed test.

^Significantly different from states within the same group that had lower ELL populations at the 0.05 level, two-tailed test. For example, early RTT states with higher ELL populations used statistically significantly more of the ELL-focused policies and practices aligned with the RTT application criteria than did early RTT states with lower ELL populations.

**Figure V.3. States' Reported Usage of ELL-Focused Policies and Practices Aligned with RTT Objectives, by ELL/Non-ELL Achievement Gap, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table V.2. Each column in the figure shows the number of ELL-focused policies and practices that states in each group (early RTT, later RTT, non-RTT) reported using, by states that had higher and lower achievement gaps between ELLs and non-ELLs. Each dot in this figure represents the number of states that reported using a particular number of ELL-focused policies and practices (out of 12 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For example, two non-RTT states that had a higher ELL/non-ELL achievement gap reported using 6 of 12 ELL-focused policies and practices aligned with the RTT application criteria. For 6 of the ELL-focused policies and practices, a "yes" response received one point. In the other 6 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of ELL-focused policies and practices was determined for each state. The dashed line denotes the average number of ELL-focused policies and practices for each group of states. There were no statistically significant differences at the 0.05 level using a two-tailed test (1) between early RTT, later RTT, and non-RTT states with the same ELL/non-ELL achievement gap classification, and (2) between higher and lower ELL/non-ELL achievement gap states with the same RTT status.

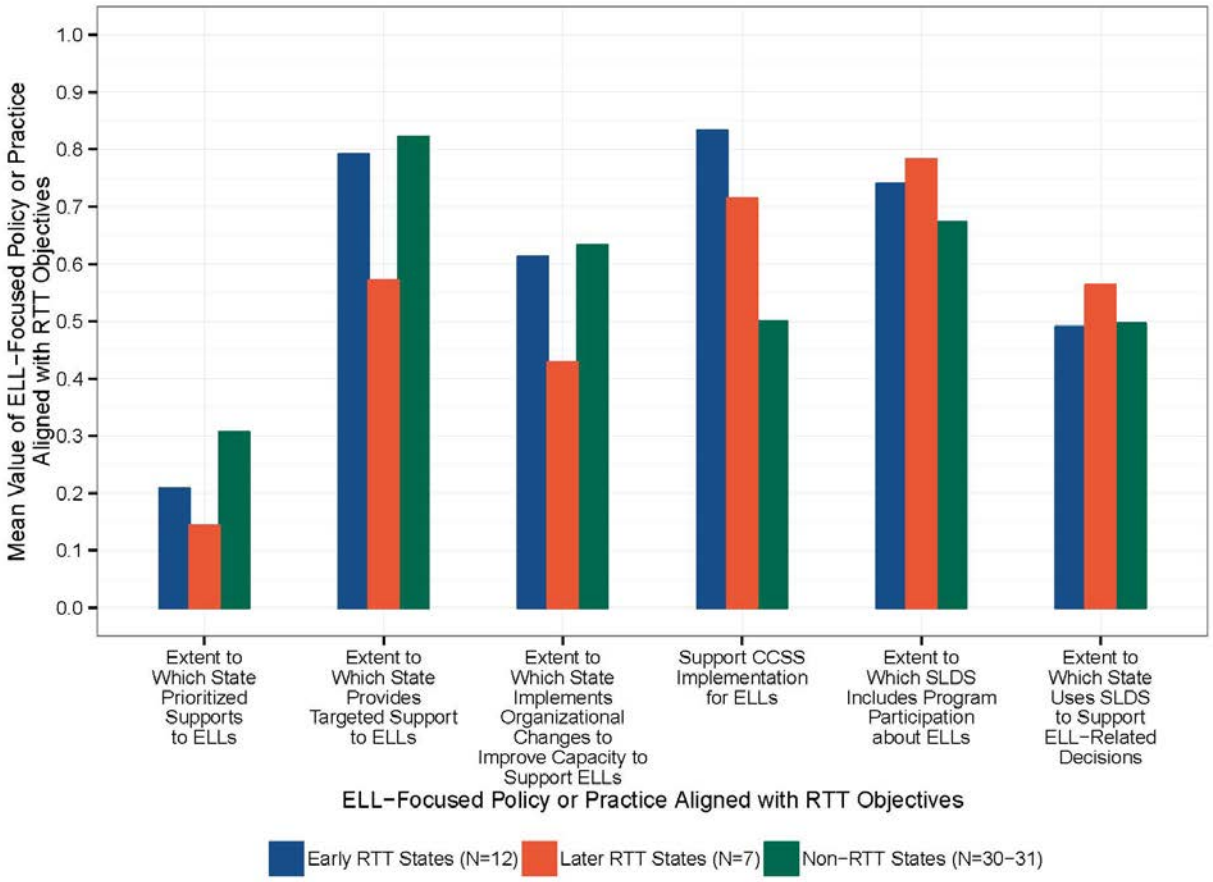
**Within each group of states—early RTT, later RTT, and non-RTT—the states with higher ELL populations used statistically significantly more of the ELL-focused policies and practices aligned with the RTT application criteria than states with lower ELL populations.** Early RTT states with higher ELL populations reported using 7.2 of 12 ELL-focused policies and practices, compared with 5.0 for early RTT states with lower ELL populations (Figure V.2). Later RTT states with higher ELL populations reported using 6.7 of 12 ELL-focused policies and practices, compared with 5.8 for later RTT states with lower ELL populations. Non-RTT states with higher ELL populations reported using 6.4 of 12 ELL-focused policies and practices, compared with 4.8 for non-RTT states with lower ELL populations.

**Within each group of states—early RTT, later RTT, and non-RTT—there was no statistically significant difference in usage of the ELL-focused policies and practices aligned with the RTT application criteria between states with higher and lower ELL/non-ELL achievement gaps.** Early RTT, later RTT, and non-RTT states with higher ELL/non-ELL achievement gaps reported using 5.7, 6.8, and 5.8 of 12 ELL-focused policies and practices, while those states with lower ELL/non-ELL achievement gaps reported using 6.8, 6.3, and 5.7 policies and practices (Figure V.3).

**The individual ELL-focused policies or practices with the highest levels of usage were (1) providing targeted support to ELLs or working with intermediaries to provide support to ELLs, and (2) providing training to the lowest-achieving schools or local education agencies on identifying and implementing strategies to address the need of ELLs.** Across all states, the average values for these policies and practices were 0.78 and 0.76. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure V.4.

**The individual ELL-focused policies or practices with the lowest levels of usage were (1) having teacher assignment laws or policies that include financial incentives to recruit and retain teachers with ELL expertise, and (2) giving priority to schools that propose to address the needs of ELLs or that target ELLs when considering applications for new charter schools.** Across all states, the average values for these policies and practices were 0.00 and 0.02. Average values for each group of states (early RTT, later RTT, non-RTT) are shown in Figure V.5.

**Figure V.4. States' Reported Usage of the First Six Individual ELL-Focused Policies and Practices Aligned with RTT Objectives, Spring 2012**

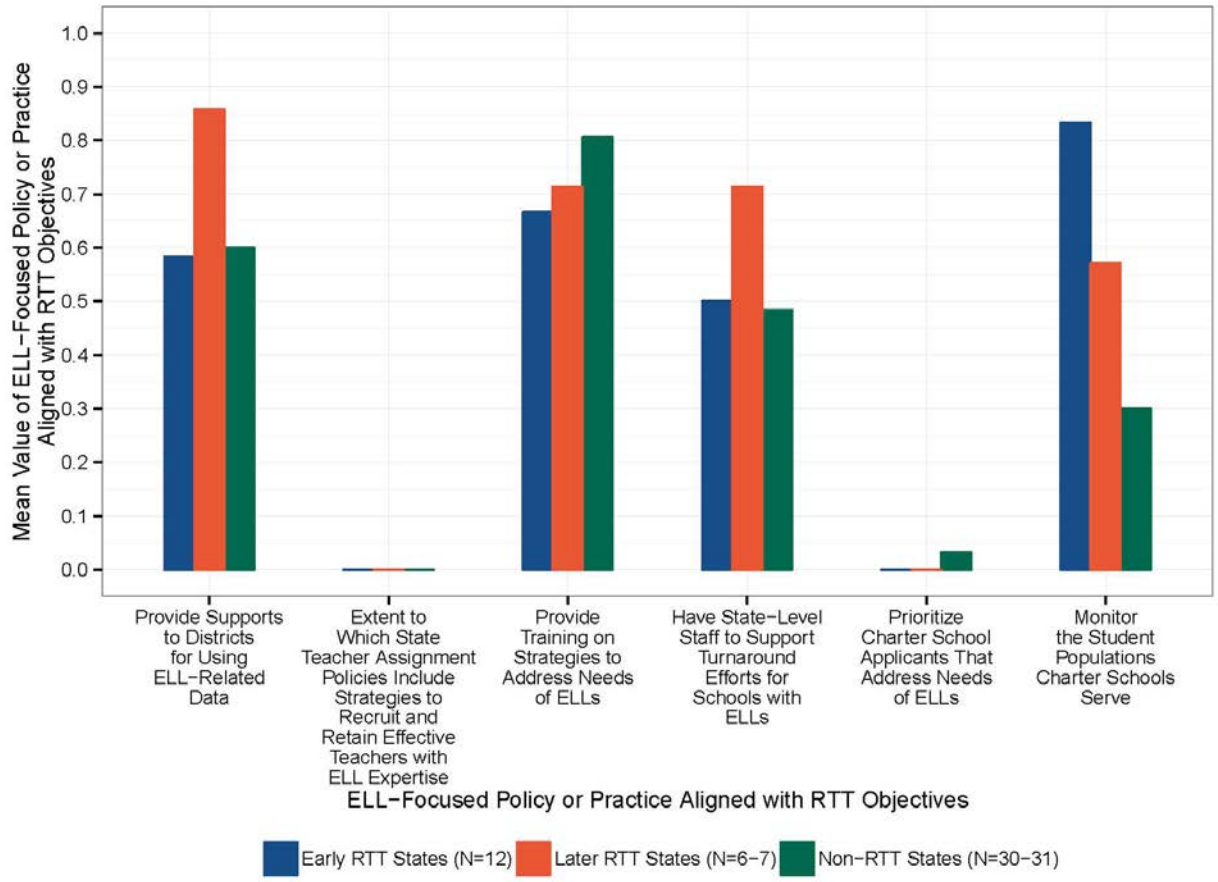



Source: Interviews with state administrators in spring 2012.

Notes: As described in Chapter II, for each ELL-focused policy or practice aligned with the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the ELL-focused policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used).

ELL = English language learner; CCSS = Common Core State Standards; SLDS = State longitudinal data system.

**Figure V.5. States' Reported Usage of the Last Six Individual ELL-Focused Policies and Practices Aligned with RTT Objectives, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Notes: As described in Chapter II, for each ELL-focused policy or practice aligned with the RTT application criteria for which we identified one or more interview questions aligned with the policy or practice, we constructed a variable ranging from zero to one, with a value of one indicating that the state responded "yes" to all the interview questions selected for that policy or practice. The height of each bar represents the mean value of the ELL-focused policy or practice (on a scale of zero to one) for each group of states. For some of the policies and practices shown in this figure, multiple interview questions aligned with that policy or practice. In the figure, we indicate this using the words "extent to which" at the beginning of the policy or practice, to emphasize that the level of usage of that policy or practice is measured using multiple interview questions (as opposed to a single, binary measure of whether that policy or practice was used).

ELL = English language learner.

# VI. DISCUSSION OF MAIN FINDINGS FOR RACE TO THE TOP

As noted in Chapter I, few studies on the implementation of RTT-promoted policies and practices examine a comprehensive set of these policies and practices spanning all the topic areas described in the RTT application, and few examine whether the policies and practices used by RTT states differ from those used by non-RTT states. This volume of the report seeks to address these gaps in the existing literature by examining the extent to which RTT and non-RTT states reported using RTT-promoted policies and practices in six areas: (1) state capacity, (2) standards and assessments, (3) data systems, (4) teacher and principal certification and evaluation, (5) school turnaround, and (6) charter schools. We also assessed the extent to which states reported focusing on English language learners (ELLs) in their usage of policies and practices promoted by RTT. The analysis compared the 12 early RTT states with the 31 non-RTT states and the 7 later RTT states with the 31 non-RTT states. We focused on policies and practices that states reported using in spring 2012 but also collected information on certain policies and practices states reported having in place during the 2007–2008 school year, before the RTT program was announced.

Early RTT states reported using statistically significantly more of the policies and practices promoted by RTT, on average, than non-RTT states in five of the six areas considered (school turnaround is the exception). This finding is consistent with two previous studies of RTT implementation that suggested that RTT states were more likely to adopt RTT-promoted policies and practices than other states (Government Accountability Office 2011, National Council on Teacher Quality 2011). The difference between early RTT and non-RTT states in the average number of RTT-promoted policies and practices used ranged from 0.9 to 6.2 across the five areas. However, some of these differences predated award of the RTT grants. In particular, early RTT states reported having already used statistically significantly more of some teacher and principal certification and evaluation policies and practices promoted by RTT than non-RTT states *before receiving their RTT grants*. As noted in Chapter II, the 2007–2008 findings should be interpreted with caution because data from 2007–2008 were collected retrospectively in spring 2012. For several areas (state capacity, standards and assessments, data systems), we do not have information on states' reported usage of RTT-promoted policies and practices prior to the awarding of RTT grants; therefore, for those areas, we cannot determine if some of the differences between early RTT states and non-RTT states in spring 2012 predated receipt of the RTT grants.

Perhaps not surprising given the limited time (about four months) between when grants were awarded to later RTT states and our spring 2012 interviews, we found fewer differences between later RTT states and non-RTT states. The average number of RTT-promoted policies and practices used by later RTT states was statistically significantly larger than that for non-RTT states in one of six areas (the area of teacher and principal certification and evaluation), with a difference of 3.8 policies and practices. As with the early RTT states, there was some evidence of differences for the teacher and principal certification and evaluation area between later RTT and non-RTT states before RTT grants were awarded.

Although the findings reported above focus on averages for each group of states (early RTT, later RTT, non-RTT), there was substantial variation in the reported usage levels of RTT-promoted policies and practices within each group.

Usage of policies and practices promoted by RTT was highest in the state capacity and data systems areas and lowest in the teacher and principal certification and evaluation area. States reported using, on average, 66 and 68 percent of RTT-promoted policies and practices in the

state capacity and data systems areas and 24 percent of RTT-promoted policies and practices in the teacher and principal certification and evaluation area.

Across all states, the two individual policies and practices with the highest levels of usage were (1) having an SLDS, and (2) having a process to identify teacher shortage areas. Six of the seven individual policies and practices with the lowest levels of usage were concentrated in the area of teacher and principal certification and evaluation, and the seventh was giving priority to schools that address the needs of ELLs when considering applications for new charter schools.

States reported that their usage of RTT-promoted policies and practices increased over time in three areas—(1) teacher and principal certification and evaluation, (2) school turnaround, and (3) charter schools—but these increases were not statistically significantly different between RTT and non-RTT states. For each area, on average across states, the increase between 2007–2008 and 2011–2012 was between one and two policies and practices. For the other three areas (state capacity, standards and assessments, data systems), we do not have information on states' reported usage of RTT-promoted policies and practices prior to spring 2012, so we cannot determine whether usage increased over time.

The average number of ELL-focused policies and practices promoted by RTT that early and later RTT states reported using was not statistically significantly different. Within each group of states (early RTT, later RTT, non-RTT), states with higher ELL populations used statistically significantly more ELL-focused policies and practices than states with lower ELL populations, but there were no statistically significant differences in usage between states with higher and lower ELL/non-ELL achievement gaps**.**

Readers may have questions about potential explanations for the observed pattern of findings. Below, we lay out several questions of possible interest and potential explanations for these findings.

**Why did early RTT states report using more policies and practices aligned with the RTT application criteria than non-RTT states?** We focus here on two potential explanations. First, this finding could reflect the effect of the RTT grants on state policies and practices. RTT grants aimed to increase usage of the policies and practices examined, so this pattern of findings could reflect progress toward that goal. Second, this finding could reflect differences in the usage of these policies and practices between the groups of states prior to the awarding of the RTT grants. For the three areas for which we could examine the prevalence of RTT-promoted policies and practices both before and after RTT grants were awarded, evidence suggests that some differences existed prior to the RTT awards. Further, the RTT application criteria gave explicit priority to states that had already used policies consistent with the RTT goals: "over half the points that reviewers may award to States are based on States' accomplishments prior to applying" (Race to the Top Application for Phase 2 Funding, p. 76). Therefore, it is possible that the higher usage levels of RTT-promoted practices observed among early RTT states are at least partly an artifact of the selection process rather than a result of the RTT grant awards, but this does not mean that RTT had no effect on state policies and practices. Rather, RTT may have affected policies and practices in many states simply by holding the competition; in other words, many states (including both those that eventually received RTT awards and those that didn't) may have increased their usage of RTT-promoted policies and practices after 2007–2008 to better position themselves to receive an RTT award in 2010 or 2011. Our finding that usage of RTT-promoted policies and practices increased between 2007–2008 and 2011–2012 for all states (and not just RTT states) in three areas is consistent with this hypothesis.

**Why did early RTT states not report using more RTT-promoted school turnaround policies and practices than non-RTT states?** We focus here on two potential explanations for this finding. First, it is possible that RTT did not have an effect on practices in this area among states. Second, it is possible that usage of school turnaround practices is on the rise more broadly (even in states that did not receive RTT grants), so that we did not observe the RTT program resulting in higher levels of usage among RTT states relative to non-RTT states. School turnaround practices may be rising nationally, in part, due to the School Improvement Grant funds that all states receive, of which 5 percent can be set aside to support activities associated with school turnaround. Non-RTT states reported using more policies and practices in the school turnaround area in 2012 than before RTT, suggesting greater usage of turnaround practices even in states that did not receive RTT grants.

**Why did later RTT states not report using more RTT-promoted policies and practices than non-RTT states?** Few of the differences between later RTT states and non-RTT states were statistically significant. There are several potential explanations for this finding. First, it may reflect the little time that had elapsed between receipt of the RTT awards by the later RTT states and our spring 2012 interviews. Second, later grants were smaller and more limited in focus. Later RTT states generally focused on a subset of the six areas addressed by early RTT states. All seven later RTT states focused on the areas of state capacity and standards and assessments, six focused on data systems and teacher and principal certification and evaluation, two focused on charter schools, and one focused on school turnaround. This more limited focus might make it less likely for differences between later RTT states and non-RTT states to exist for any given area. However, our finding that later RTT states reported using statistically significantly more RTT-promoted teacher and principal certification and evaluation practices than did non-RTT states is consistent with the fact that six of the seven later RTT states focused on this area.

Third, our findings may also reflect similarities between these two groups of states prior to the awarding of the RTT grants. We found no statistically significant differences between later RTT states and non-RTT states in the usage of RTT-promoted policies and practices prior to grant award for one area (charter schools). However, there were preexisting differences between later RTT states and non-RTT states for two other areas (teacher and principal certification and evaluation, school turnaround). (We do not have pre-award information for the remaining three areas.)

Fourth, since the later RTT states did not receive grants in the first or second rounds of competition (despite having applied in earlier rounds), it is also possible that our findings reflect limitations in these states' capacity for policy changes. Finally, our statistical power (that is, our ability to detect differences between the groups of states) was lower for the comparisons of later RTT and non-RTT states than for the comparisons of early RTT and non-RTT states, due in part to the smaller sample size. Therefore, even if there were differences between later RTT and non-RTT states of a similar size as the significant differences we found between early RTT and non-RTT states, they might not have been statistically significant. However, while later RTT states reported using more policies and practices than non-RTT states in all areas, these differences were smaller than the differences between early RTT and non-RTT states.

**Why was usage of RTT-promoted policies and practices higher in some areas than in others?** We focus here on two possible explanations. First, certain RTT-promoted policies and practices may require more time to adopt, or have more barriers to usage, than others. For example, a 2013 GAO report on RTT found that "officials in most states cited challenges related to developing and using evaluation measures [and] addressing teacher concerns" (Government

Accountability Office 2013), and a 2013 study by Weiss focused on the difficulty states have had implementing new teacher and principal evaluation systems. Our finding that usage of RTT-promoted policies and practices was lowest in the teacher and principal certification and evaluation area is consistent with this hypothesis. Our finding that usage of RTT-promoted policies and procedures was highest in the area of state capacity may be reassuring to RTT observers, given that prior studies have raised concerns about lack of capacity (Boser 2012). Second, it is possible that RTT states purposefully used certain policies before others, and plan to eventually use more policies. Early RTT states still had substantial proportions of their grant money left to spend as of November 2013, so it is possible that these states are still planning to use more policies and practices in the areas for which we found the lowest usage (McNeil 2013).

**Why did RTT states not report using more ELL-focused policies and practices than non-RTT states?** Again**,** we focus here on two possible explanations. First, it is possible that RTT did not have an effect on ELL-focused policies and practices among states because states are focused on policies and practices that are thought to be effective for all students, including ELLs, rather than policies and practices explicitly focused on ELLs. Second, it is possible that ELL-focused policies and practices are on the rise primarily in states with higher ELL populations (which include some RTT states and some non-RTT states). Our finding that within each group of states (early RTT, later RTT, non-RTT), states with higher ELL populations reported using statistically significantly more ELL-focused policies and practices than states with lower ELL populations is consistent with this hypothesis.

Although we cannot definitively accept or reject any of these possible explanations for these findings, we offer them as starting points for future investigations into the implementation of RTT-promoted policies and practices. Because the process of changing education policies and practices can be complex and require substantial time to implement, we administered a second round of state interviews in spring 2013 so that we can continue to explore progress toward usage of RTT policies and practices after another year of the program. We will revisit these patterns and findings in a future report.

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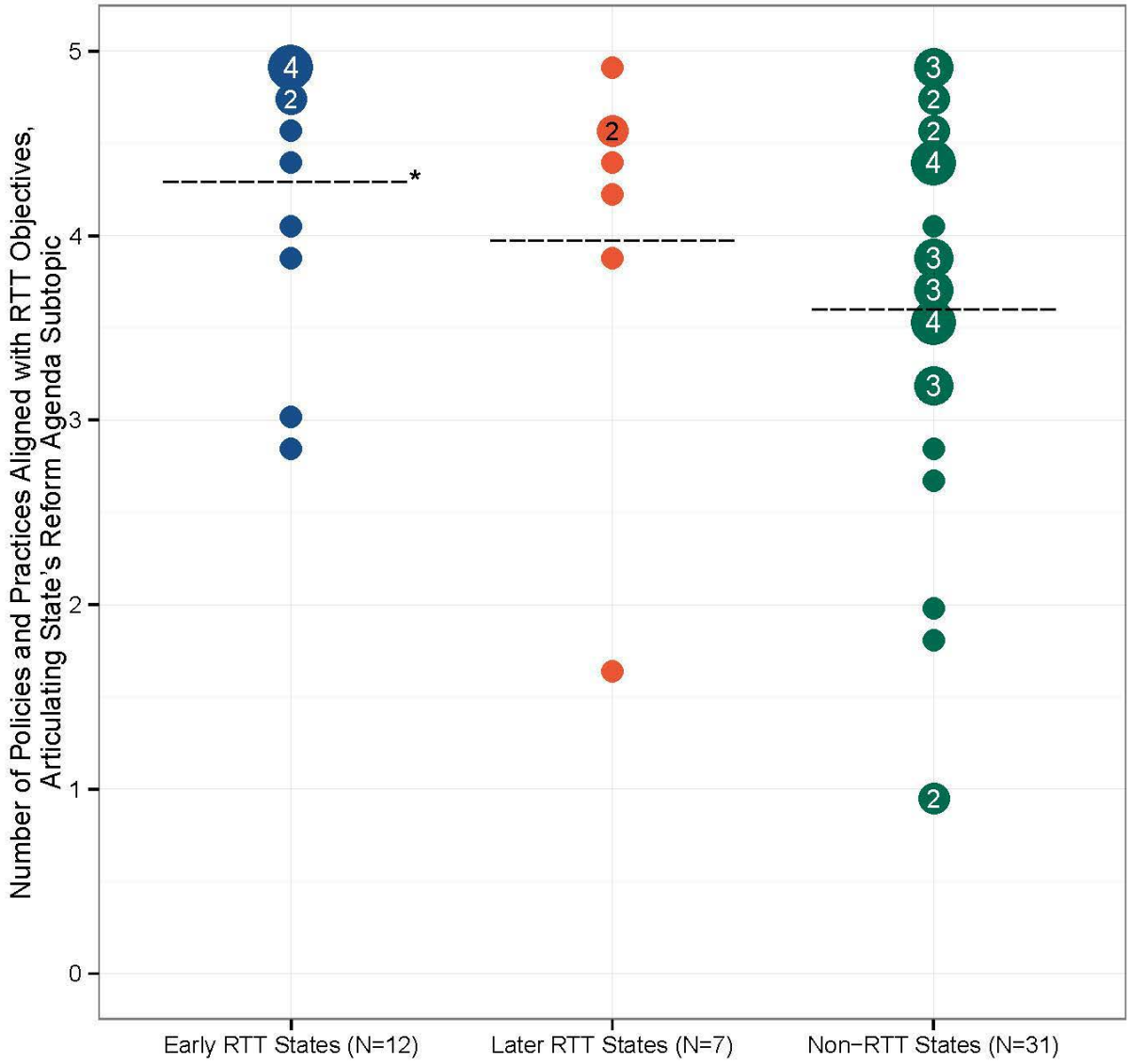
# APPENDIX A

# ADDITIONAL FIGURES BASED ON STATE INTERVIEWS

This appendix contains additional figures that are directly related to the analyses presented in Chapter IV. In this appendix, we focus on the same six areas addressed in Chapter IV: (1) state capacity, (2) standards and assessments, (3) data systems, (4) teacher and principal certification and evaluation, (5) school turnaround, and (6) charter schools. For each area, we present a series of figures, one for each subtopic, showing states' reported usage of the policies and practices aligned with the Race to the Top (RTT) application criteria for that subtopic, similar to the figures shown in Chapter IV for each topic area.

## A. State Capacity

**Figure A.1. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on State Capacity, Articulating State's Reform Agenda Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

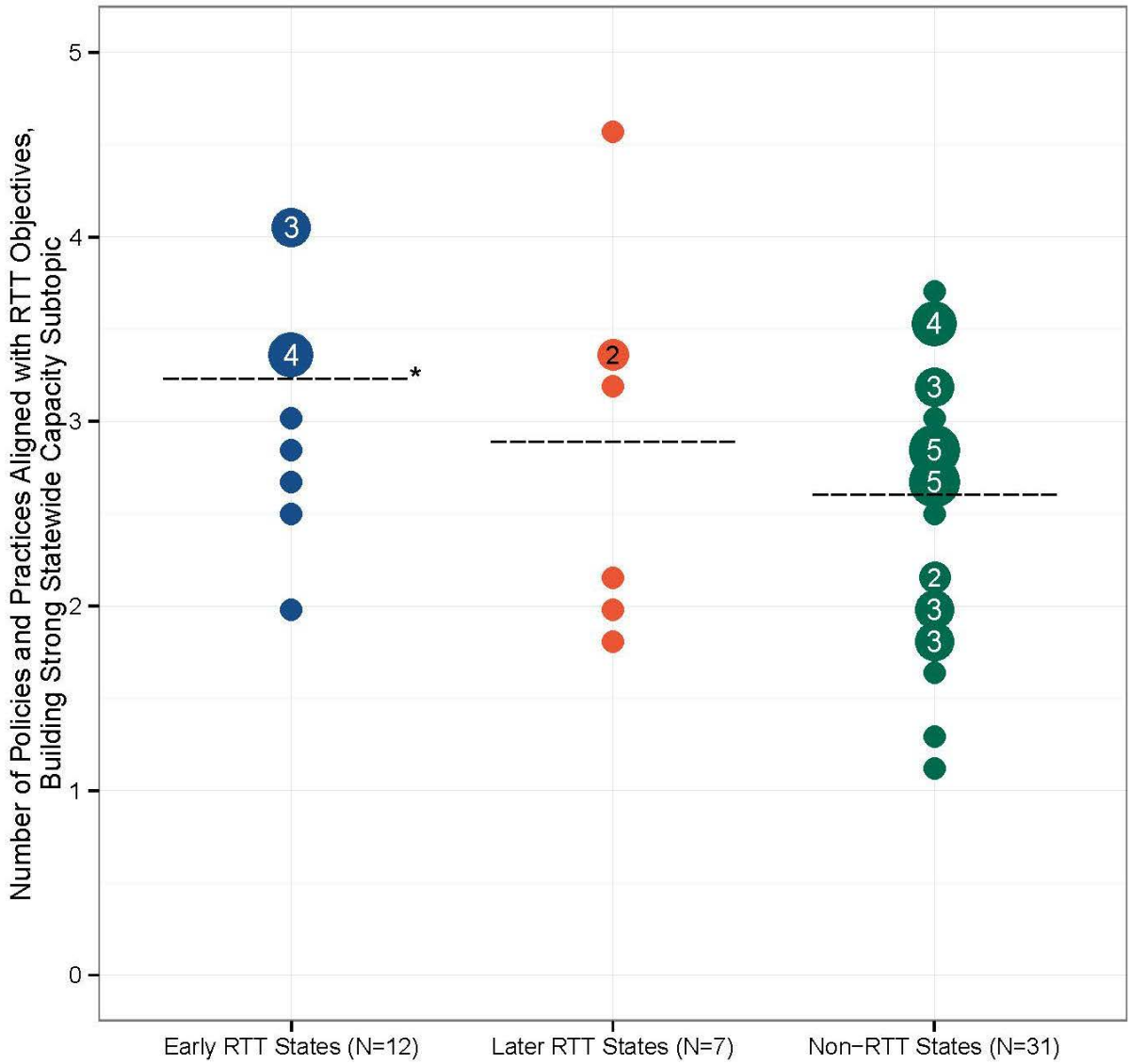
Note: The policies and practices summarized in this figure are presented in Table IV.1. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of five examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For two of the policies and practices, a "yes" response

Figure A.1 *(continued)*

received one point. In the other three cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**Figure A.2. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on State Capacity, Building Strong Statewide Capacity Subtopic, Spring 2012**



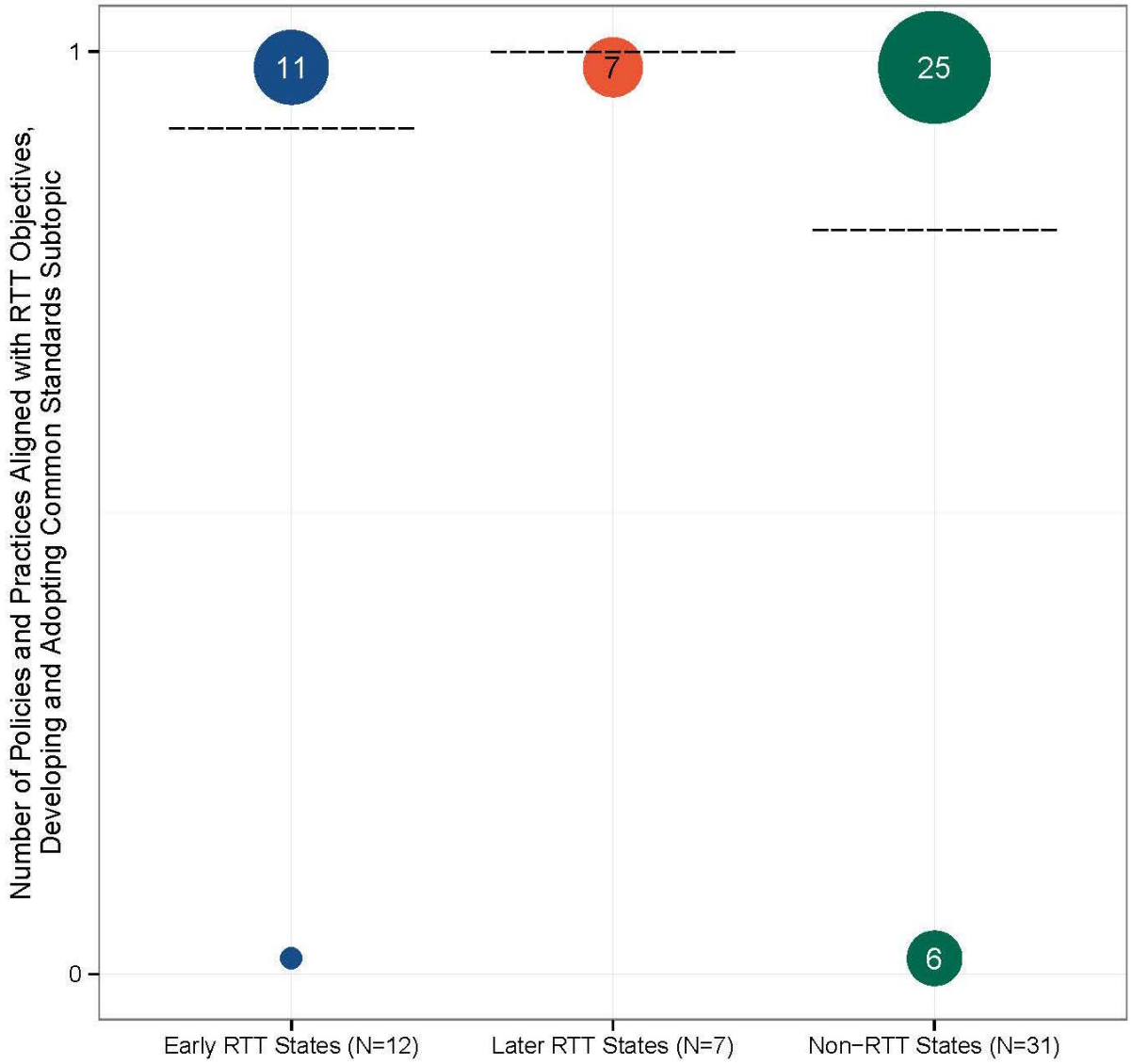

Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.1. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of five examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For one policy or practice, a "yes" response received one point. In the other four cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

## B. Standards and Assessments

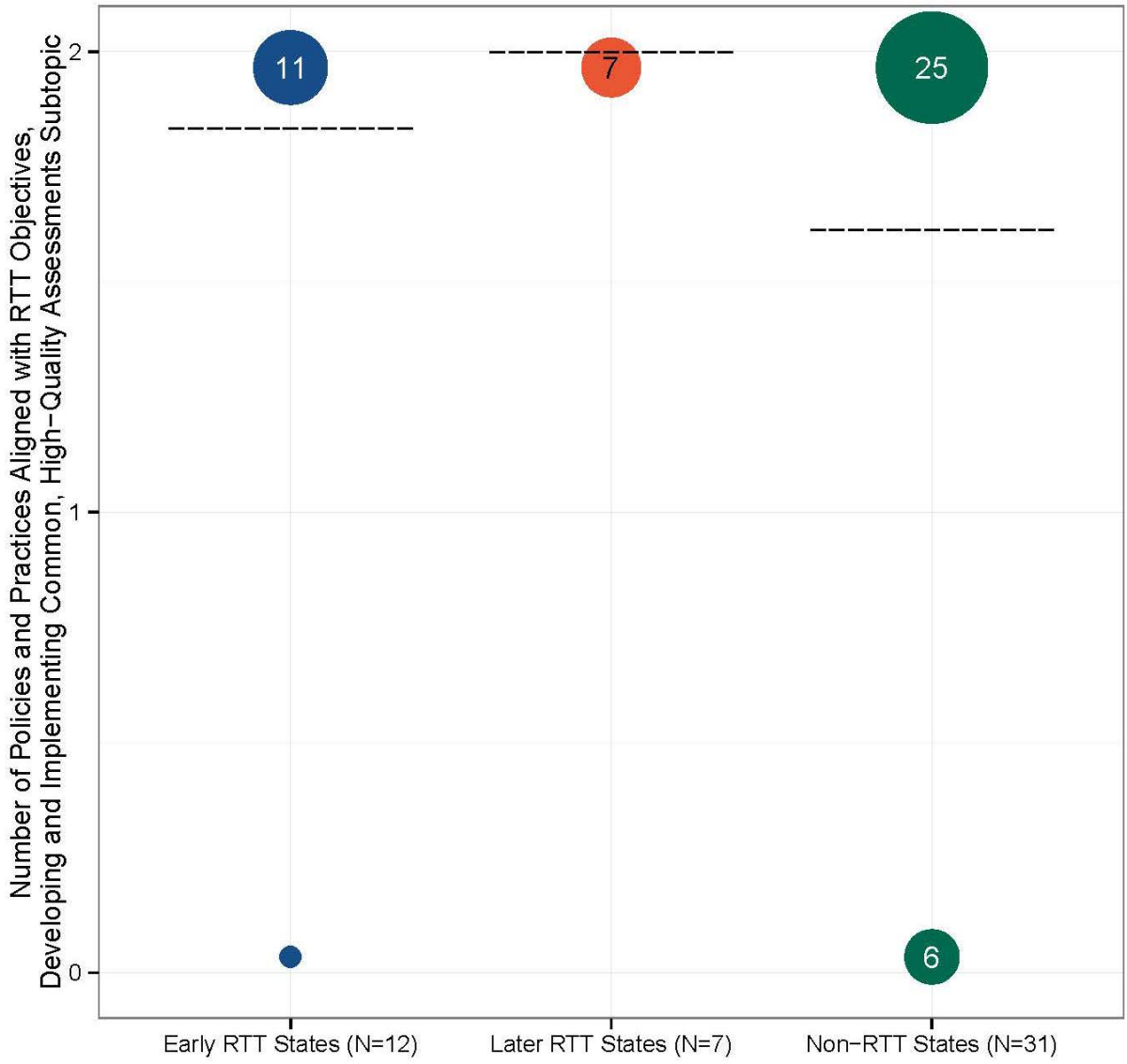
**Figure A.3. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Standards and Assessments, Developing and Adopting Common Standards Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.2. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of one examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For this policy or practice, a "yes" response received one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

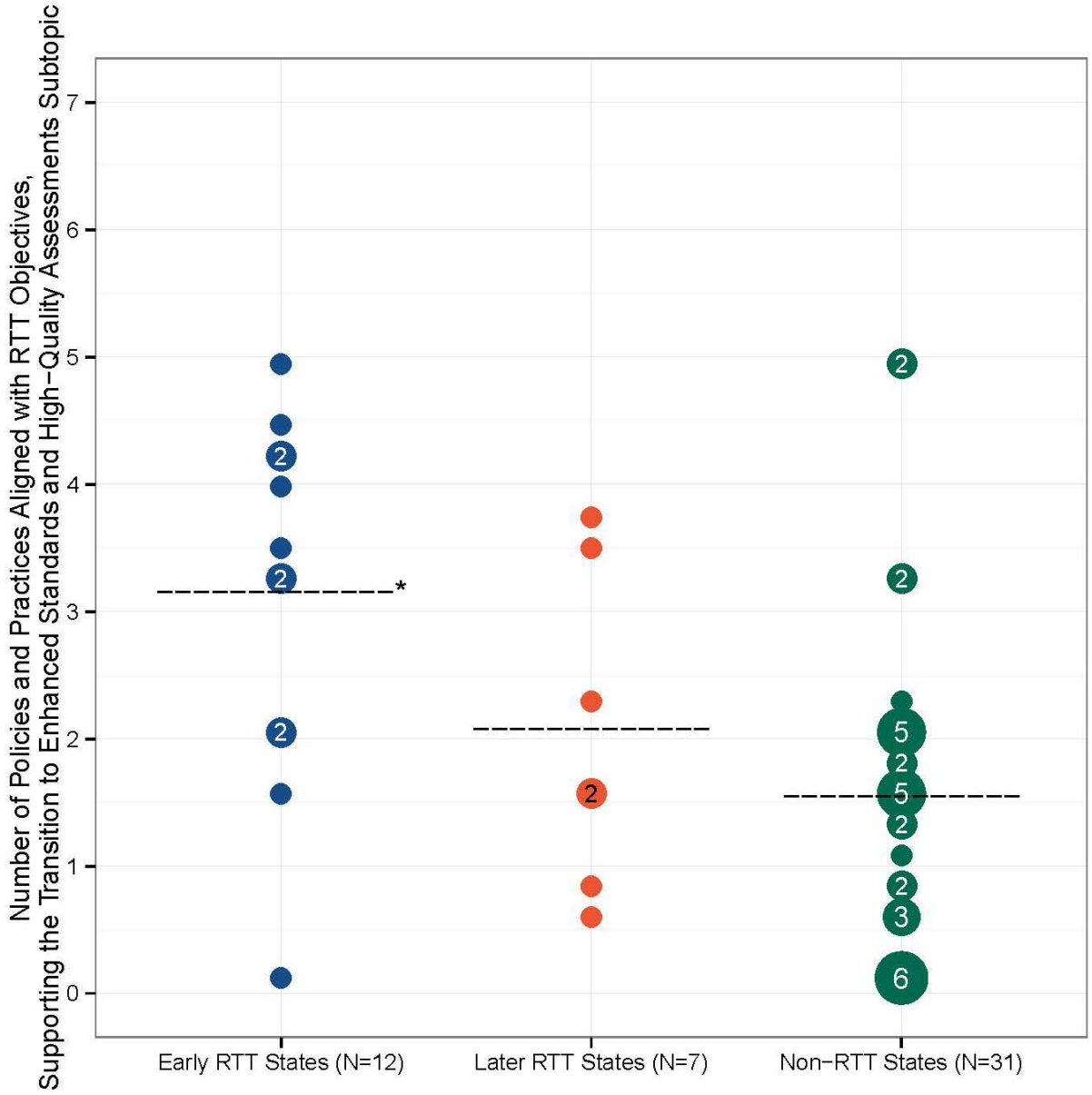
**Figure A.4. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Standards and Assessments, Developing and Implementing Common, High Quality Assessments Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.2. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of two examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For these policies and practices, a "yes" response received one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

**Figure A.5. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Standards and Assessments, Supporting the Transition to Enhanced Standards and High Quality Assessments Subtopic, Spring 2012**



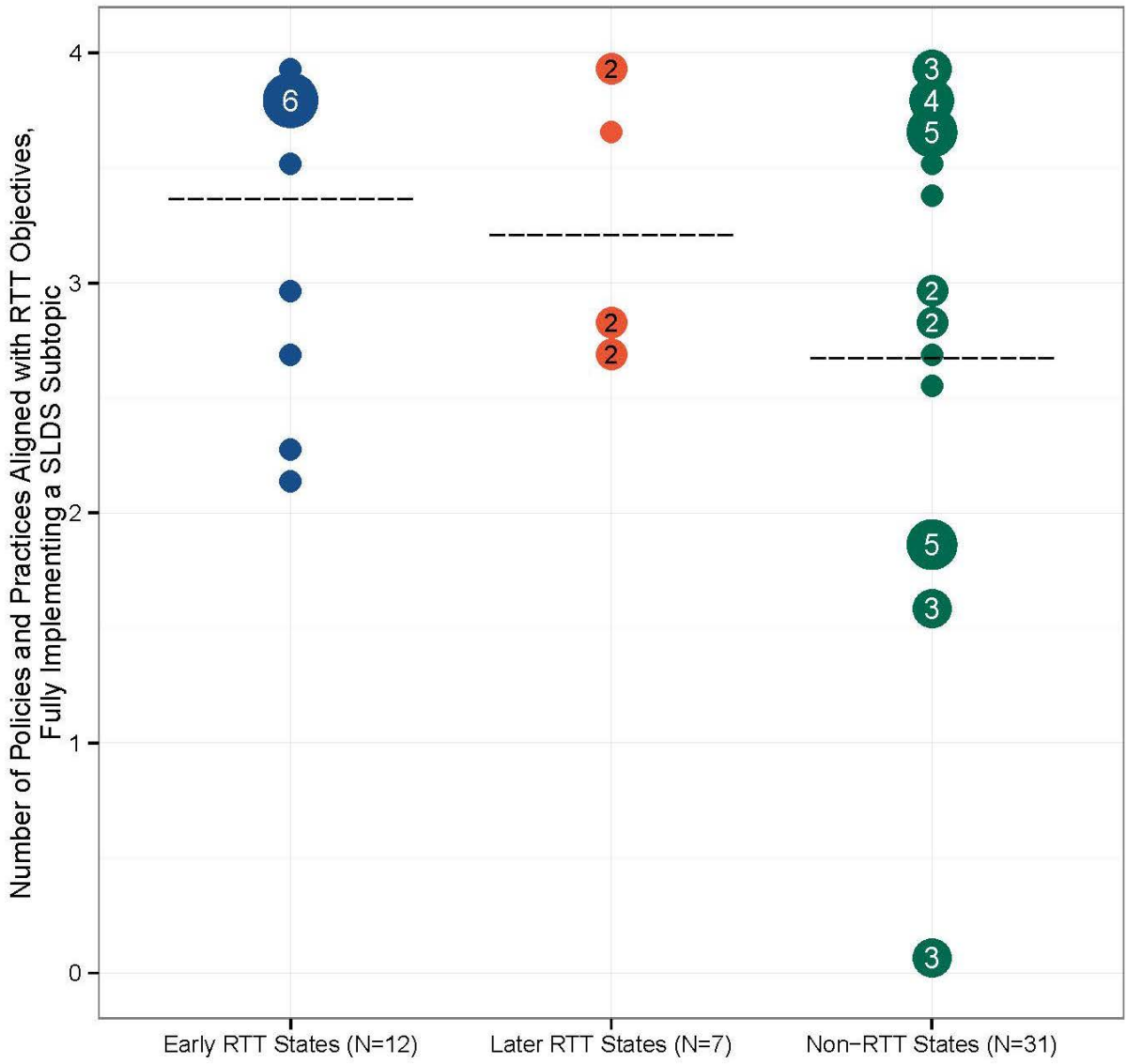

Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.2. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of seven examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For three of policies and practices, a "yes" response received one point. In the other four cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

## C. Data Systems

**Figure A.6. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Data Systems, Fully Implementing a SLDS Subtopic, Spring 2012**

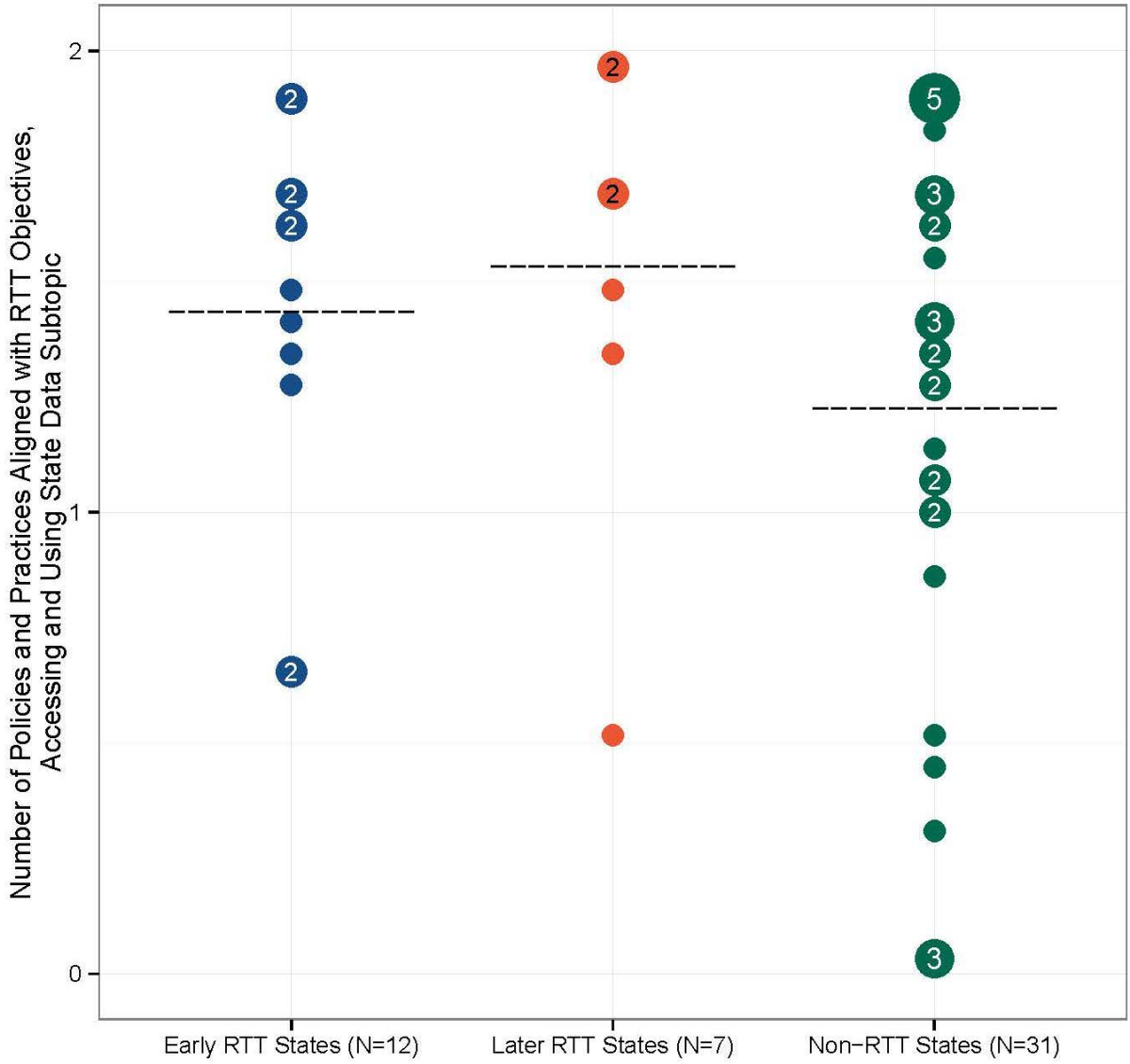



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.3. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of four examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For these policies and practices, a "yes" response received one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

SLDS = state longitudinal data system.

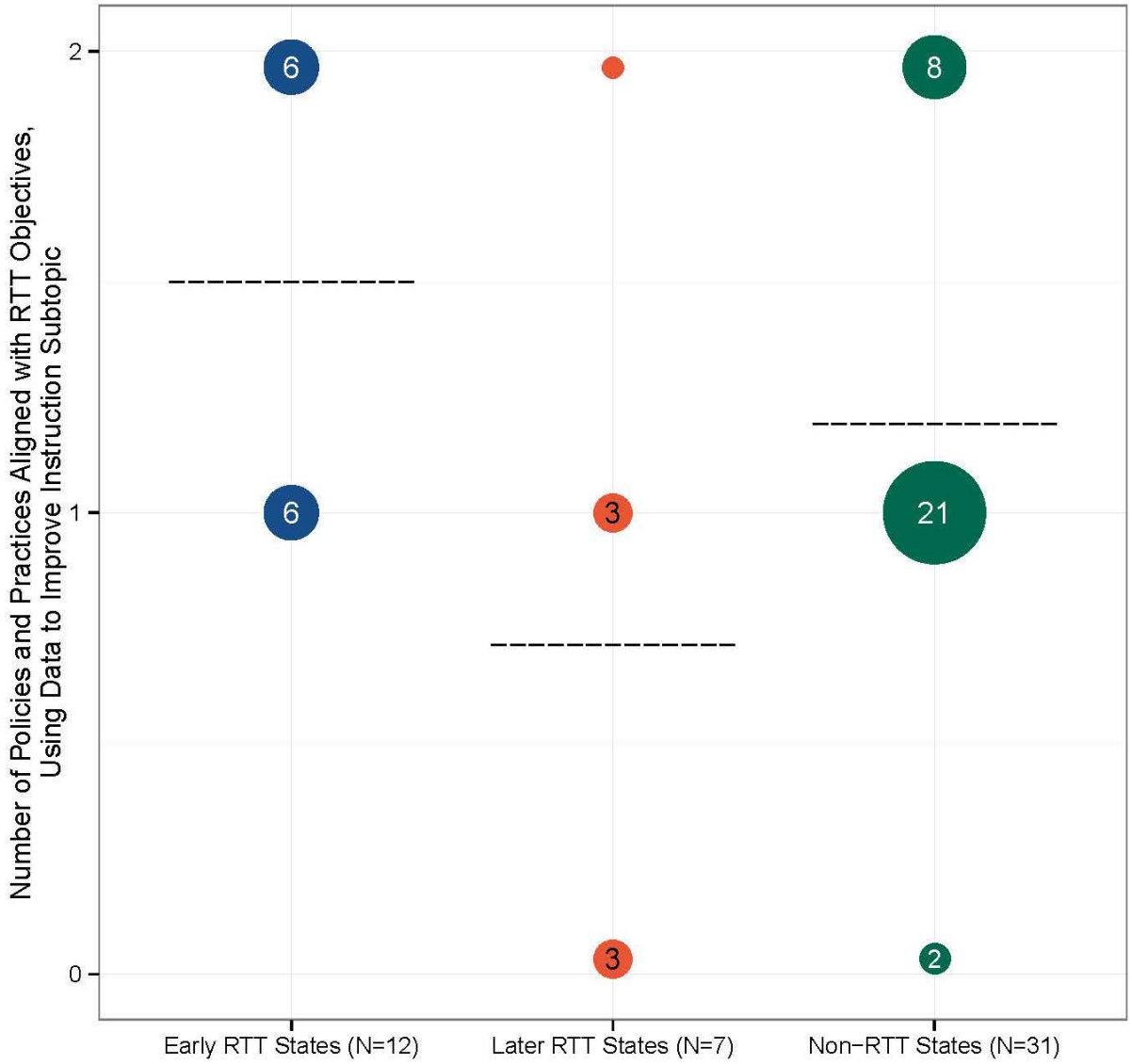
**Figure A.7. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Data Systems, Accessing State Data and Using It to Inform Key Stakeholders Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.3. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of two examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For these policies and practices, a "yes" response received a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

**Figure A.8. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Data Systems, Using Data to Improve Instruction Subtopic, Spring 2012**

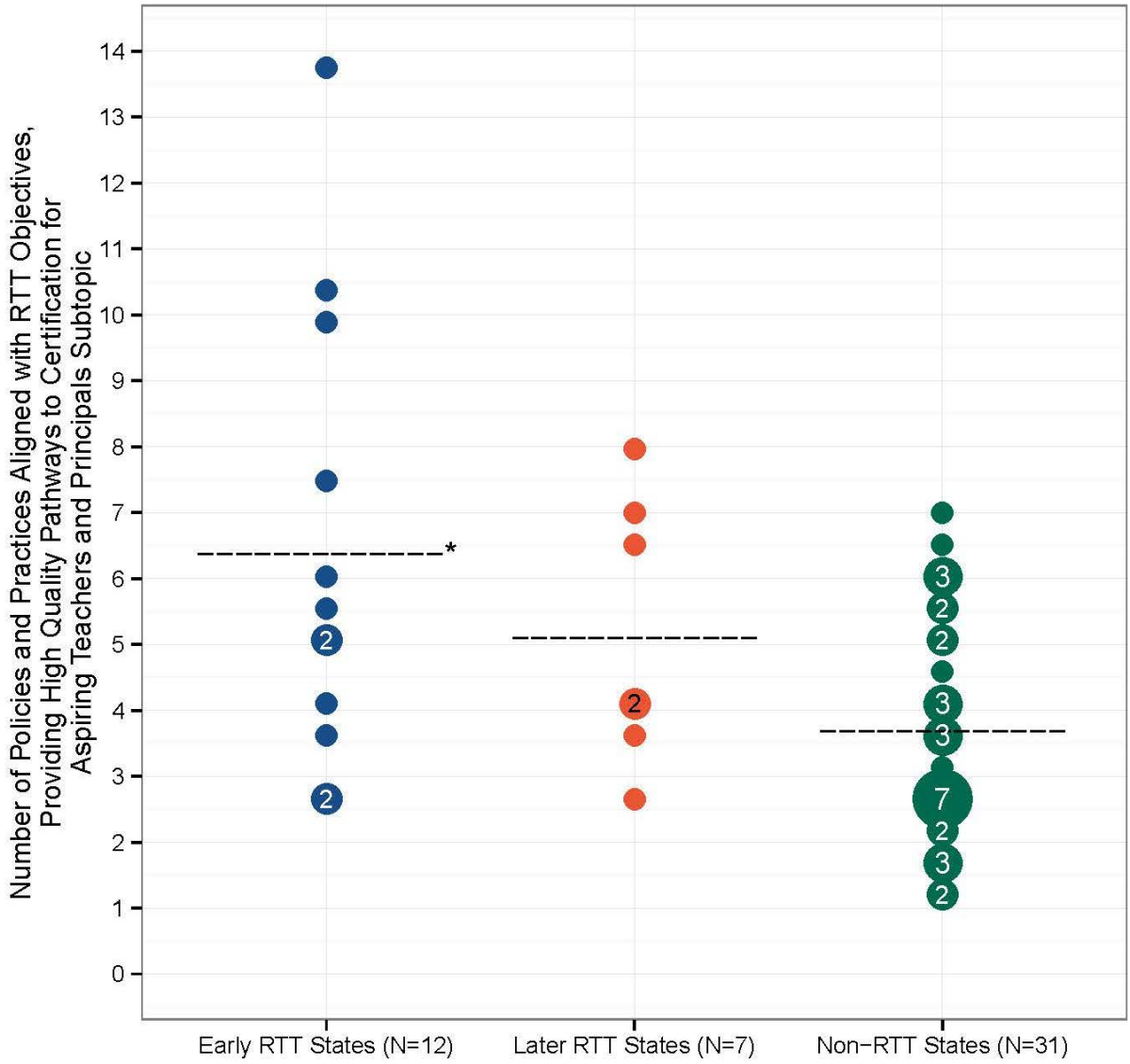



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.3. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of two examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For these policies and practices, a "yes" response received one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

## D. Teacher and Principal Certification and Evaluation

**Figure A.9. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Providing High Quality Pathways to Certification for Aspiring Teachers and Principals Subtopic, Spring 2012**

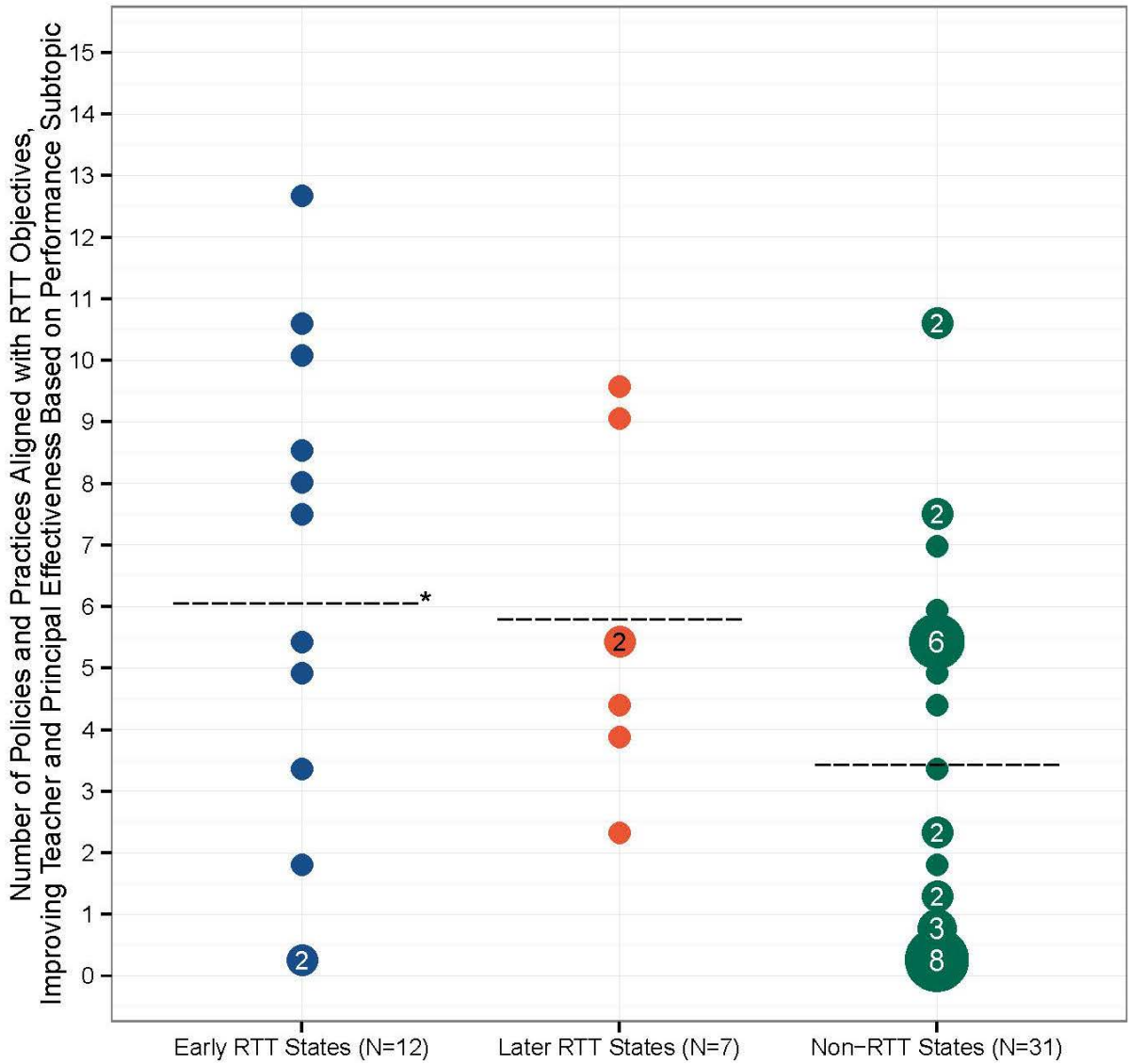



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.4. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of 14 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For 6 of the policies and practices, a "yes" response received one point. In the other 8 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**Figure A.10. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Improving Teacher and Principal Effectiveness Based on Performance Subtopic, Spring 2012**

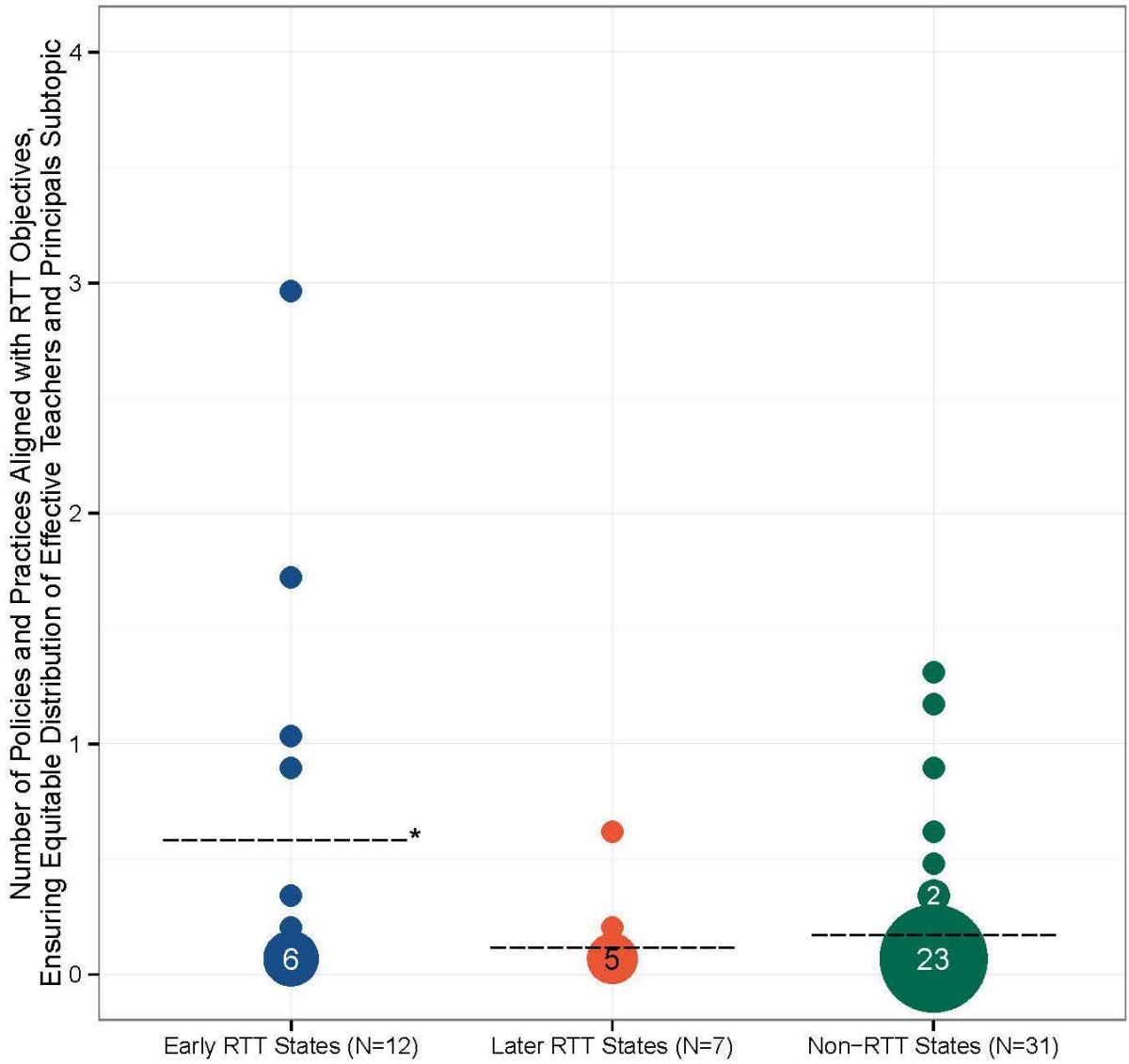



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.4. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of 15 examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For 11 of the policies and practices, a "yes" response received one point. In the other 4 cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**Figure A.11. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Ensuring Equitable Distribution of Effective Teachers and Principals Subtopic, Spring 2012**

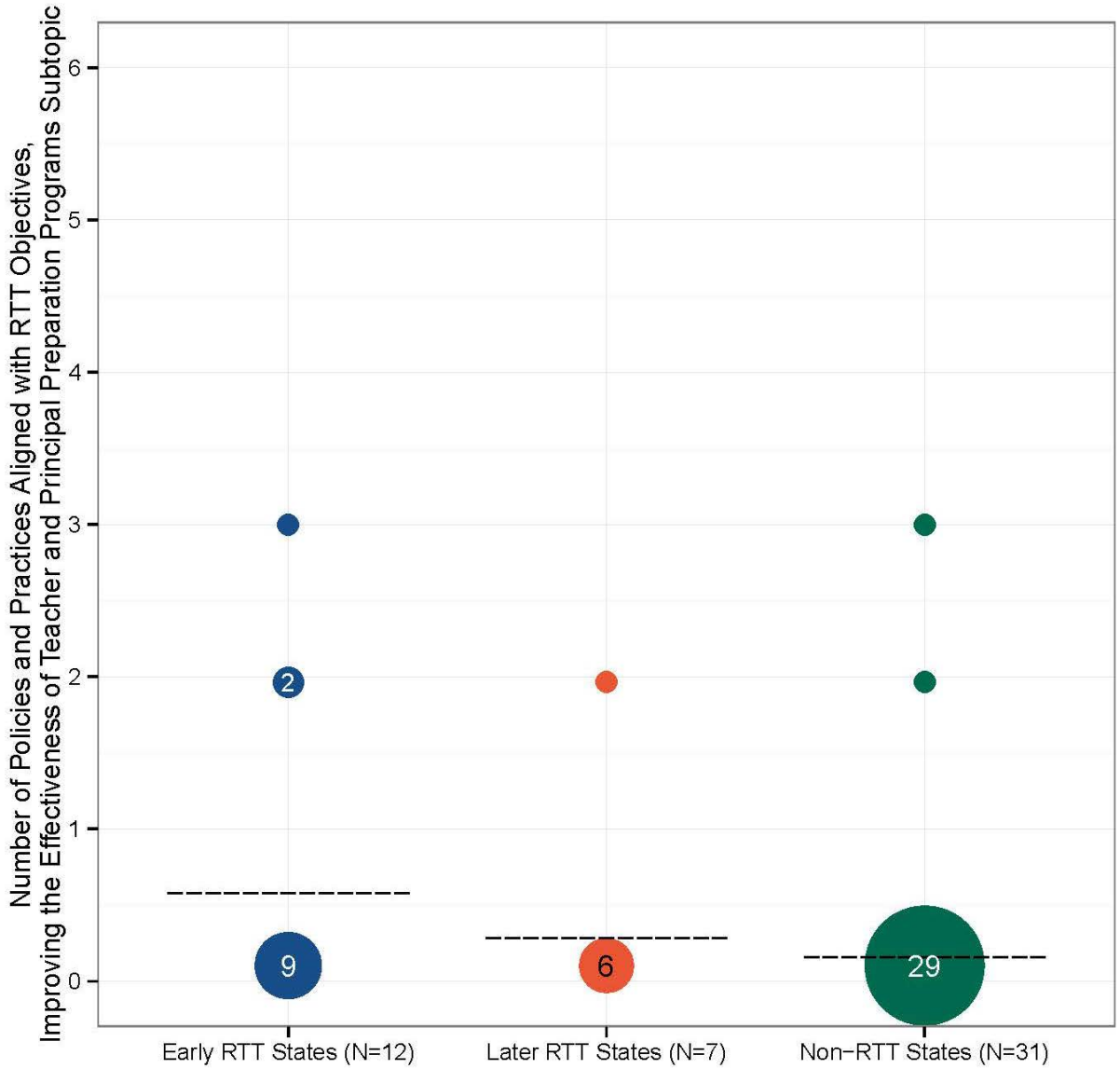



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.4. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of four examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For two of the policies and practices, a "yes" response received one point. In the other two cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

**Figure A.12. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Teacher and Principal Certification and Evaluation, Improving the Effectiveness of Teacher and Principal Preparation Programs Subtopic, Spring 2012**

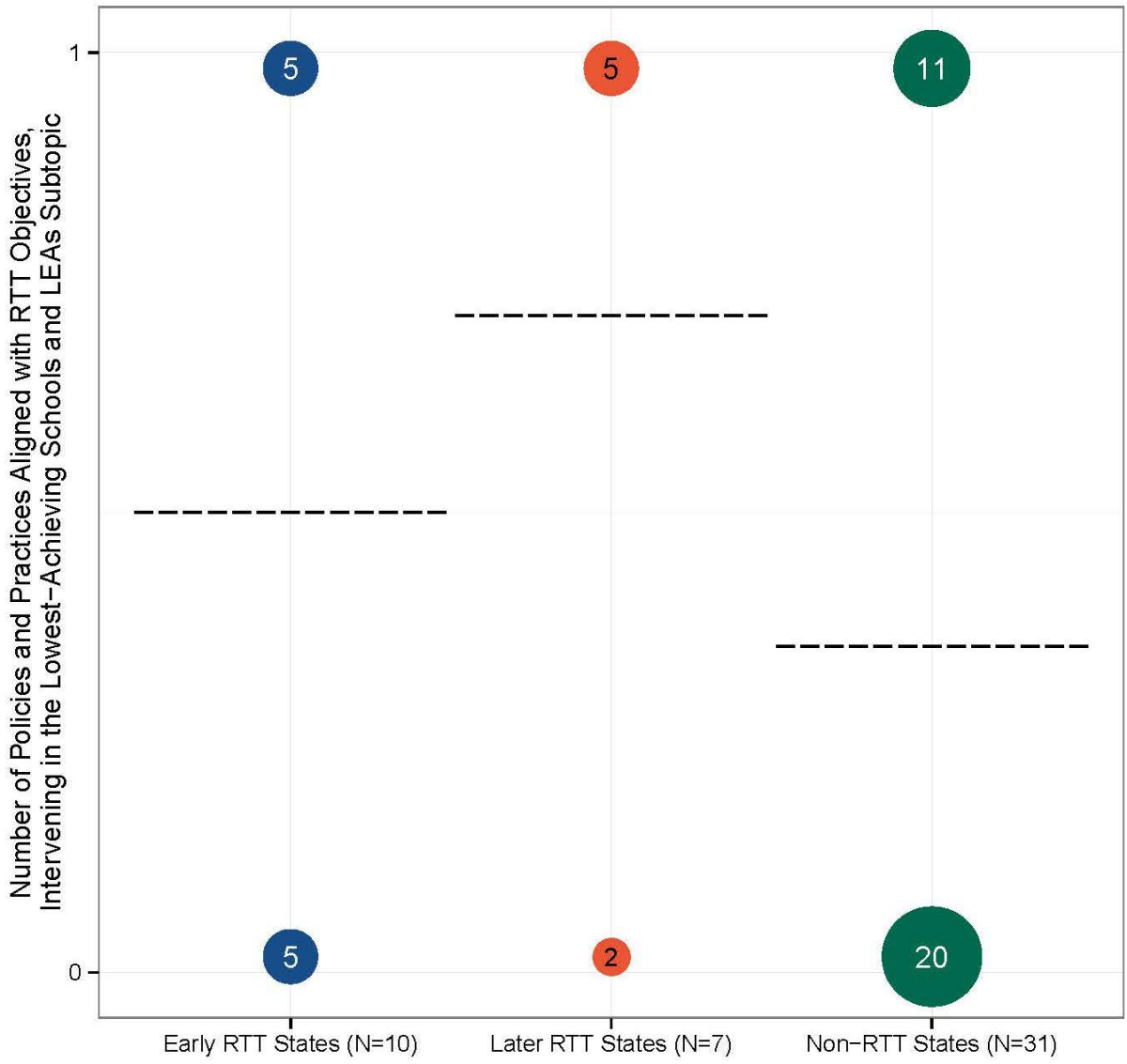



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.4. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of six examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For these policies and practices, a "yes" response received one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

## E. School Turnaround

**Figure A.13. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on School Turnaround, Intervening in the Lowest-Achieving Schools and LEAs Subtopic, Spring 2012**

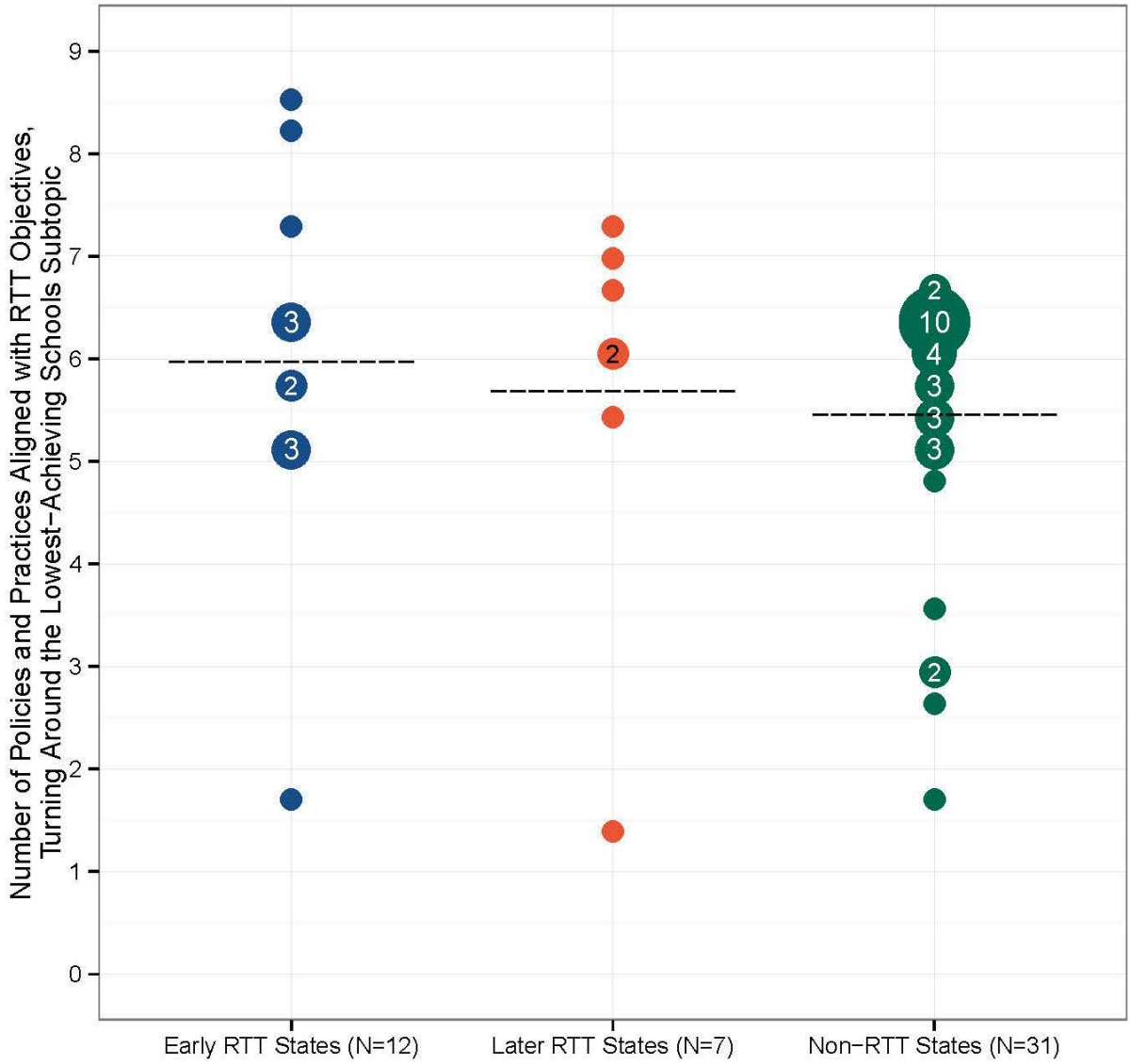



Source: Interviews with state administrators in spring 2012.

Note: The policy or practice summarized in this figure is presented in Table IV.5. Each dot in this figure represents the states that reported using the one policy or practice that was aligned with the criterion in the RTT application about intervening in the lowest-achieving schools. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

LEA = local education agency.

**Figure A.14. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on School Turnaround, Turning Around the Lowest-Achieving Schools Subtopic, Spring 2012**

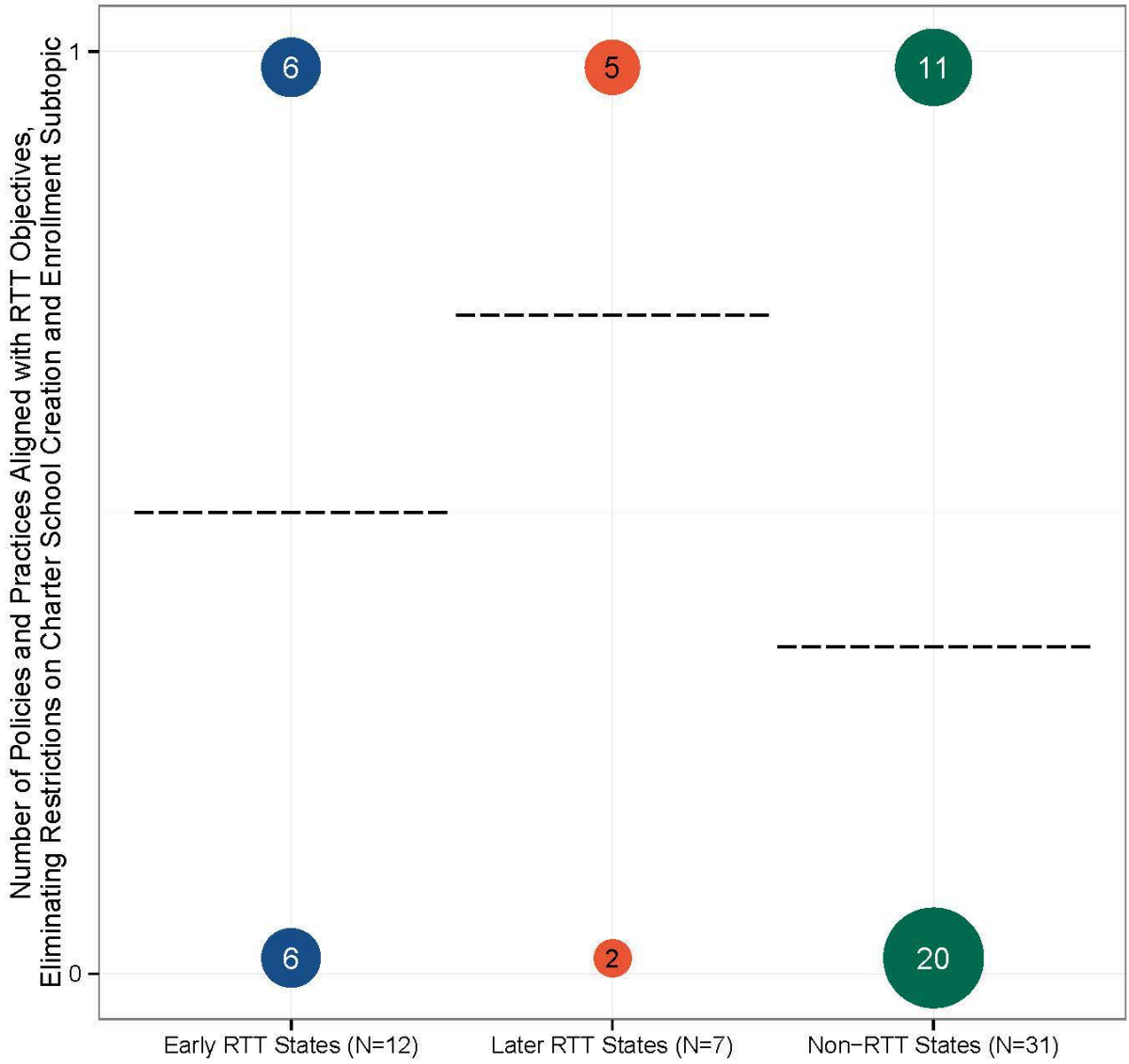



Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.5. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of nine examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For five of the policies and practices, a "yes" response received one point. In the other cases, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

## F. Charter Schools

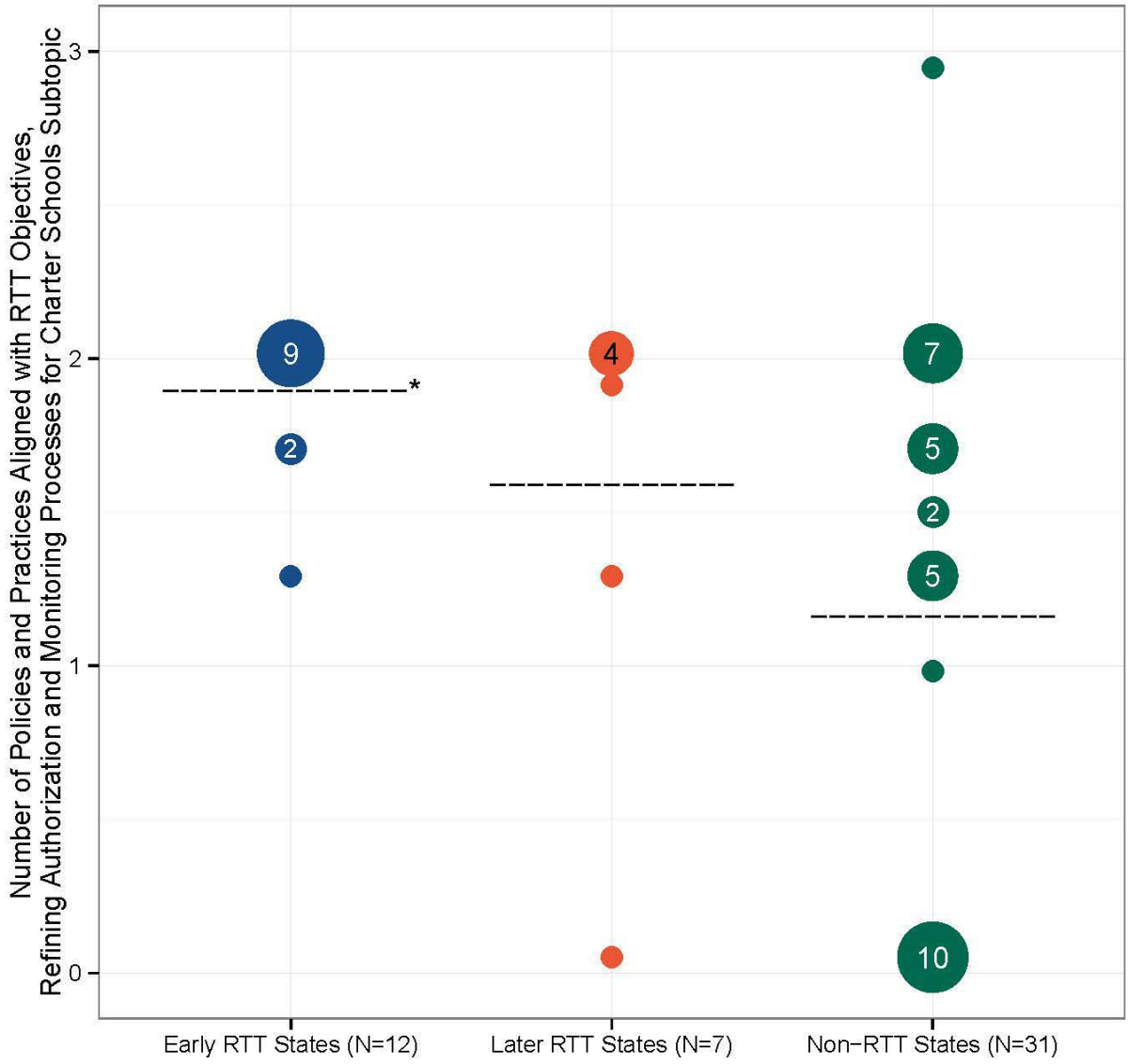
**Figure A.15. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Charter Schools, Eliminating Restrictions on Charter School Creation and Enrollment Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: The policy or practice summarized in this figure is presented in Table IV.6. Each dot in this figure represents the states that reported using the one policy or practice that was aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states. There were no statistically significant differences between RTT and non-RTT states at the 0.05 level using a two-tailed test.

**Figure A.16. States' Reported Usage of Policies and Practices Aligned with RTT Objectives on Charter Schools, Refining Authorization and Monitoring Processes for Charter Schools Subtopic, Spring 2012**




Source: Interviews with state administrators in spring 2012.

Note: The policies and practices summarized in this figure are presented in Table IV.6. Each dot in this figure represents the states that reported using a particular number of policies and practices (out of three examined) that were aligned with the RTT application criteria. The number inside each dot is the number of states represented by the dot; dots that represent only one state have no number inside. For two of the policies and practices, a "yes" response received one point. In the third case, it was possible for a state to receive a fraction of one point. See Chapter II for details on the way in which the number of policies and practices was determined for each state. The dashed line denotes the average number of policies and practices for each group of states.

*Significantly different from non-RTT states at the 0.05 level, two-tailed test.

# APPENDIX B

# DETAILED FINDINGS FROM STATE INTERVIEWS

In the main body of the report, we summarized the extent to which states reported using the policies and practices promoted by RTT, including the individual policies and practices within each topic area and subtopic. As described in Chapter II, some policies or practices were comprised of multiple interview questions. In this appendix, we present detailed findings from particular individual interview questions and describe how we analyzed those data. Specifically, we show the number of early RTT states, later RTT states, and non-RTT states that responded "yes" to each interview question examined as part of this report. Readers interested in states' responses to individual interview questions may find this appendix useful.

In Section A, we discuss how we analyzed data from closed- and open-ended questions and how we handled missing values. In Section B, we present findings from the interview questions in a series of tables, the titles of which are shown in the list of tables at the beginning of this report. Two of the tables in Section B involve data from sources other than the state interviews described in Chapter II: in Table B.48, we present data from the Common Core of Data; and in Table B.59, we present data from the National Alliance for Public Charter Schools.

## A. Analysis Methods

**Analyzing data from closed-ended questions.** The evaluation's protocol for interviews with state administrators comprised mostly closed-ended questions—that is, questions with "yes" or "no" responses or with a set of specific response categories from which to choose. As a result, these variables were already in a format that is suitable, or nearly suitable, for analysis.

Closed-ended questions sometimes included an "other-specify" response option so the interview could progress smoothly when a respondent was uncertain about the response option that applied or could not find a response option that adequately captured the response he or she wished to provide. When a respondent chose this option, the interviewer asked the respondent to specify his or her response and recorded it. These "other-specify" responses were reviewed and either recoded into one of the existing structured response categories or coded into a new response category, as appropriate. Following reporting requirements established by the U.S. Department of Education's National Center for Education Statistics, we created a new response category only if at least three respondents (that is, states) provided the same or similar response. If fewer than three respondents provided a particular response, the response remained part of the broad "other" category.

**Analyzing data from open-ended questions.** Whenever possible, we categorized the responses to open-ended questions into nominal categories (based on the themes that emerged) that could then be treated as quantitative, categorical data. This strategy enabled us to systematically identify and report on recurring themes mentioned frequently by respondents.

**Handling missing values.** Values can be missing for various reasons: (1) because the respondent did not complete the interview; (2) because the respondent completed the interview but did not complete the question; (3) because the respondent chose "don't know," "refused," or "not applicable"; or (4) because the question was logically skipped based on earlier responses. Generally, we excluded all missing values from our calculations regardless of the reason that the question was missing (that is, we did not recode a missing as a zero). In the tables, we report the

sample sizes for states with nonmissing values on the given item. Frequencies generally total 50 (the number of states that completed the interview).[1]

**Selecting interview questions aligned with the RTT application criteria.** As described in Chapter II, we reviewed the interview questions and assigned those that aligned with the policies and practices described in the RTT application selection criteria to specific topic areas and subtopics. We determined the subtopic into which each interview question fell based on the section of the RTT application criteria with which it aligned. In the tables presented in Section B, the last column of each table indicates whether each question was selected, and if it was selected, for which subtopic, by using the abbreviations shown in Table B.1.

**Table B.1. Abbreviations for Subtopics**

| Subtopic | Abbreviation |
|---|---|
| **Topic Area: State Capacity** | |
| Articulating the state's education reform agenda and LEAs' participation in it | SC-1 |
| Building strong statewide capacity to implement, scale up, and sustain the proposed plans | SC-2 |
| **Topic Area: Standards and Assessments** | |
| Developing and adopting common standards | SA-1 |
| Developing and implementing common, high-quality assessments | SA-2 |
| Supporting the transition to enhanced standards and high-quality assessments | SA-3 |
| **Topic Area: Data Systems and Use of Data to Improve Instruction** | |
| Fully implementing a statewide longitudinal data system | DA-1 |
| Accessing state data and using it to inform key stakeholders | DA-2 |
| Using data to improve instruction | DA-3 |
| **Topic Area: Teacher and Principal Certification and Evaluation** | |
| Providing high-quality pathways to certification for aspiring teachers and principals | TL-1 |
| Improving teacher and principal effectiveness based on performance | TL-2 |
| Ensuring equitable distribution of effective teachers and principals | TL-3 |
| Improving the effectiveness of teacher and principal preparation programs | TL-4 |
| **Topic Area: School Turnaround** | |
| Authority to intervene in the lowest-achieving schools and LEAs | TA-1 |
| Turning around the lowest-achieving schools | TA-2 |
| **Topic Area: Charter Schools** | |
| Eliminating restrictions on charter school creation and enrollment | CH-1 |
| Refining authorization and monitoring processes for charter schools | CH-2 |

Source: Interviews with state administrators in spring 2012.

LEAs = local education agencies.

[1] In some cases, the number of states in a table totals more than 50; we include a footnote to those tables explaining why. As one example, if the question asked the respondent to mark all responses that apply, respondents could choose multiple answers.

## B. Detailed Findings from Interview Questions

In this section we present findings from particular interview questions based on U.S. Department of Education guidance about those in which it had the most interest. The tables are organized to follow the order of the modules in the state interview protocol, which was: (1) state capacity, (2) standards and assessments, (3) data systems, (4) teachers and leaders, (5) school turnaround, and (6) charter schools.

**Table B.2. State Implementation of Comprehensive Education Reform Plans, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having a comprehensive education reform plan in place | 12 | 7 | 27 | Yes (SC-1) |
| Reported using the following strategies to implement this reform plan: | | | | |
| Working with districts that have the lowest achievement levels to improve their performance | 12 | 7 | 26 | No |
| Working with districts that have the highest achievement levels and seeking to replicate their practices statewide | 11 | 4 | 12 | Yes (SC-2) |
| Working with a specific set of districts that are not necessarily the highest or lowest achieving in the state | 12 | 6 | 20 | No |
| Other strategy | 3 | 3 | 12 | No |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

SC-1 = Articulating the State's education reform agenda and LEAs' participation in it; SC-2 = Building strong statewide capacity to implement, scale up, and sustain the proposed plans.

**Table B.3. States' Education Reform Priorities, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported prioritizing the following education reform initiatives to a great extent: | | | | |
| Adopting and implementing college- and career-ready standards and/or assessments | 10 | 7 | 29 | Yes (SC-1) |
| Building comprehensive, student-level, longitudinal data systems | 10 | 5 | 24 | Yes (SC-1) |
| Using data to improve instruction | 12 | 6 | 23 | Yes (SC-1) |
| Recruiting and/or retaining effective teachers and school leaders | 7 | 2 | 15 | Yes (SC-1) |
| Rewarding effective teachers and school leaders | 3 | 1 | 6 | Yes (SC-1) |
| Developing and preparing effective teachers and school leaders | 9 | 4 | 19 | Yes (SC-1) |
| Developing and implementing a teacher and principal evaluation system that is based on student growth | 11 | 7 | 24 | Yes (SC-1) |
| Improving the distribution of effective teachers and principals | 5 | 2 | 6 | Yes (SC-1) |
| Turning around the lowest-achieving schools | 12 | 6 | 24 | Yes (SC-1) |
| Providing supports for ELLs | 4 | 2 | 14 | No |
| Reported that ELLs fit into their current education reform priorities in the following ways: | | | | |
| ELLs are an explicit, central priority of statewide reform efforts | 1 | 0 | 5 | No |
| ELLs are an emerging priority of statewide reform efforts | 2 | 1 | 8 | No |
| Statewide reform efforts are designed to address the needs of all students, including ELLs | 9 | 6 | 17 | No |
| **Number of States** | **11–12** | **7** | **30–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

ELLs = English language learners; SC-1 = Articulating the State's education reform agenda and LEAs' participation in it.

**Table B.4. Role of State Education Agency in Education Reform, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported that the SEA played the following roles to a great extent: | | | | |
| Creator of a statewide vision for reforms | 11 | 7 | 24 | Yes (SC-2) |
| Creator and monitor of performance measures | 11 | 6 | 28 | Yes (SC-2) |
| Compliance monitor of reform | 11 | 7 | 28 | Yes (SC-2) |
| Facilitator between districts/schools and external support | 1 | 3 | 8 | Yes (SC-2) |
| Provider of direct support to districts/ schools | 4 | 4 | 15 | Yes (SC-2) |
| Provider of information about federal policies | 9 | 7 | 29 | No |
| Other roles | 1 | 1 | 3 | No |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

SEA = State Education Agency; SC-2 = Building strong statewide capacity to implement, scale up, and sustain the proposed plans.

**Table B.5. State Provision of Targeted Supports for Implementing Statewide Education Reforms, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported providing targeted support to any type of districts or schools | 12 | 7 | 31 | Yes (SC-2) |
| Reported providing targeted support to the following groups: | | | | |
| Urban districts or schools | 12 | 5 | 22 | No |
| Rural districts or schools | 11 | 5 | 25 | No |
| Districts or schools with ELLs | 11 | 4 | 28 | No |
| High-minority districts or schools | 11 | 5 | 20 | No |
| High-poverty districts or schools | 12 | 7 | 27 | No |
| Districts or schools that received SIG | 12 | 7 | 31 | No |
| Districts or schools "participating" in RTT[a] | 12 | 6 | n.a. | No |
| Districts or schools "involved" in RTT[a] | 9 | 5 | n.a. | No |
| Districts or schools identified for improvement or corrective action | 12 | 7 | 31 | No |
| Other types of districts or schools | 5 | 3 | 14 | No |
| **Number of States** | **10–12** | **7** | **28–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] These items were asked only in RTT states.

ELLs = English language learners; SIG = School Improvement Grant; SC-2 = Building strong statewide capacity to implement, scale up, and sustain the proposed plans; n.a. = not applicable.

**Table B.6. State Monitoring of Districts' Implementation of State Education Reforms, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported using the following strategies to monitor districts' implementation of main state education reforms: | | | | |
| Review of district-submitted reports | 11 | 6 | 31 | No |
| Review of third-party reports | 11 | 6 | 24 | No |
| Monitoring site visits by State Department of Education staff | 12 | 7 | 31 | No |
| Examination of student assessment data by State Department of Education staff | 12 | 7 | 30 | No |
| Other strategies | 2 | 2 | 8 | No |
| Reported taking the following actions in response to monitoring results | | | | |
| Provided additional resources | 11 | 7 | 28 | No |
| Revised plans for/expectations of districts | 11 | 7 | 31 | No |
| Removed state funding/supports | 5 | 2 | 8 | No |
| Provided targeted support | 12 | 7 | 31 | No |
| Other actions | 2 | 2 | 7 | No |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

**Table B.7. State Work with Intermediaries to Support Implementation of Statewide Education Reforms, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported working with intermediaries to support the implementation of statewide education reforms | 12 | 7 | 31 | Yes (SC-2) |
| Reported working with the following types of intermediaries to support the implementation of statewide education reforms: | | | | |
| Federally supported comprehensive center, regional educational laboratory, equity assistance center, or content center | 11 | 6 | 31 | No |
| Institution of higher education | 11 | 6 | 30 | No |
| Regional/county offices | 8 | 5 | 14 | No |
| Educators contracted by the state, such as distinguished educators | 9 | 6 | 25 | No |
| Other external organizations | 8 | 3 | 21 | No |
| Other types of intermediary | 1 | 1 | 6 | No |
| **Number of States** | **11–12** | **7** | **21–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

SC-2 = Building strong statewide capacity to implement, scale up, and sustain the proposed plans.

**Table B.8. Groups with Which States Expected Intermediaries to Work, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported intermediaries were expected to work with the following groups: | | | | |
| State-level staff | 12 | 7 | 30 | No |
| All districts | 7 | 4 | 18 | No |
| Districts identified for improvement or corrective action under NCLB | 11 | 5 | 28 | No |
| Schools identified for improvement, corrective action, or restructuring under NCLB and/or the districts in which these schools are located | 12 | 5 | 27 | No |
| Schools that received SIG or RTT funds to implement one of the four U.S. Department of Education-specified school intervention models and/or the districts in which these schools are located | 12 | 6 | 28 | No |
| Districts and/or schools that are formally defined as "participating" in RTT[a] | 12 | 3 | n.a. | No |
| Districts and/or schools that are formally defined as being "involved" in RTT[a] | 7 | 3 | n.a. | No |
| Other groups of districts and/or schools | 2 | 2 | 5 | No |
| **Number of States** | **9–12** | **6–7** | **31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] These items were asked only in RTT states.

NCLB = No Child Left Behind; SIG = School Improvement Grant; n.a. = not applicable.

**Table B.9. Structural Changes at the State Education Agency between 2008 and Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported implementing the following structural changes at the SEA since July 2008 to support implementation of state education reforms: | | | | |
| Created new office(s) or department(s) | 11 | 5 | 15 | Yes (SC-2) |
| Created new staff positions | 12 | 7 | 25 | Yes (SC-2) |
| Reorganized the structure of existing offices/departments | 11 | 7 | 24 | Yes (SC-2) |
| Changed laws, policies, or regulations | 11 | 7 | 26 | Yes (SC-2) |
| Other structural changes to support the implementation of reforms | 3 | 2 | 10 | No |
| Reported the following changes since July 2008 to improve the SEA's capacity to address the needs of ELLs: | | | | |
| Increased SEA staff with ELL expertise | 2 | 2 | 11 | No |
| Reorganized structure of existing offices/departments | 12 | 4 | 23 | No |
| Increased use of consultants with ELL expertise | 9 | 3 | 20 | No |
| Increased ELL expertise within regional offices | 6 | 3 | 14 | No |
| Redefined policies to better meet ELLs' needs | 7 | 3 | 22 | No |
| Other types of changes | 4 | 2 | 6 | No |
| **Number of States** | **11–12** | **7** | **20–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

SEA = State Education Agency; ELLs = English language learners; SC-2 = Building strong statewide capacity to implement, scale up, and sustain the proposed plans.

**Table B.10. State Coordination of RTT and/or SIG with Other Federal Programs between 2008 and Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported coordinating RTT and/or SIG with other federal programs in the following ways since July 2008: | | | | |
| Encouraged cofunding of initiatives using funds from different federal programs | 12 | 7 | 27 | No |
| Established common planning activities for state Department of Education staff responsible for different federal programs | 11 | 7 | 27 | No |
| Increased communication across state Department of Education staff responsible for different federal programs | 12 | 7 | 28 | No |
| Other steps to coordinate RTT and/or SIG and other federal programs | 5 | 4 | 14 | No |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

SIG = School Improvement Grant.

**Table B.11. State-Level Gaps in Expertise to Support Education Reforms, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported gaps in the following areas of expertise: | | | | |
| Monitoring districts and/or schools | 1 | 1 | 6 | No |
| Providing targeted support or technical assistance to districts and/or schools | 2 | 2 | 11 | No |
| Developing and working with districts to implement teacher evaluation models | 0 | 3 | 10 | No |
| Developing state longitudinal data systems | 1 | 2 | 6 | No |
| Working with districts and/or schools on the use of data to improve instruction | 3 | 2 | 9 | No |
| Supporting districts and/or schools in the process of turning around low-achieving schools | 3 | 2 | 13 | No |
| Other types of expertise | 2 | 1 | 4 | No |
| **Number of States** | **12** | **7** | **30–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

**Table B.12. Barriers Constraining State Educational Agency Capacity to Implement Statewide Education Reforms, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported the following factors as most constraining SEA's capacity to implement statewide education reforms: | | | | |
| Too few SEA staff | 3 | 0 | 9 | No |
| SEA staff working in silos | 2 | 0 | 1 | No |
| Limited expertise in reform topics | 0 | 1 | 2 | No |
| Staff turnover | 1 | 0 | 2 | No |
| Limited state funding | 1 | 2 | 10 | No |
| Limited federal funding | 0 | 1 | 0 | No |
| Need for better technology to support reform efforts | 0 | 0 | 0 | No |
| Provisions within collective bargaining agreements | 2 | 0 | 1 | No |
| State regulations/laws | 1 | 1 | 2 | No |
| Federal regulations/laws | 0 | 0 | 1 | No |
| Governance structure of state | 0 | 0 | 0 | No |
| Level of support from governor | 0 | 0 | 0 | No |
| Level of state legislature support | 0 | 0 | 1 | No |
| Other factors | 2 | 2 | 2 | No |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

SEA = State Education Agency.

**Table B.13. State Adoption of the Common Core State Standards, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported adopting the CCSS in the following subject areas: | | | | |
| Both ELA and math | 11 | 7 | 25 | Yes (SA-1) |
| Math only | 0 | 0 | 0 | Yes (SA-1) |
| ELA only | 1 | 0 | 3 | Yes (SA-1) |
| Reported supplementing the CCSS with state-specific standards in the following subject areas:[a] | | | | |
| Both ELA and math | 2 | 2 | 5 | Yes (SA-1) |
| Math only | 0 | 0 | 0 | Yes (SA-1) |
| ELA only | 1 | 1 | 2 | Yes (SA-1) |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

[a] States that reported they did not adopt the CCSS in either Math or English are included in the analysis of this question as "no" responses.

CCSS = Common Core State Standards; ELA = English/language arts; SA-1 = Developing and adopting common standards.

**Table B.14. Changes to State Policies and Practices in Response to Adopting the Common Core State Standards, Spring 2012**

| | Among the States that Adopted the CCSS in ELA and/or Math, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported the following changes to state policies and practices in response to adopting the CCSS: | | | | |
| Required use of new curricula or textbooks | 0 | 0 | 4 | Yes (SA-3) |
| Required use of new, state-approved interim assessments | 1 | 0 | 0 | Yes (SA-3) |
| Changed credit or course requirements | 3 | 1 | 3 | Yes (SA-3) |
| Changed the content of the state's high school exit exam | 0 | 1 | 1 | Yes (SA-3) |
| Changed the performance standard on the high school exit exam | 0 | 0 | 2 | Yes (SA-3) |
| Changed the college entrance requirements for the state college/university system | 0 | 0 | 2 | Yes (SA-3) |
| Changed policies related to teachers and/or school leaders, such as licensure, certification, or annual professional development requirements | 5 | 0 | 6 | Yes (SA-3) |
| Other changes | 5 | 2 | 10 | No |
| **Number of States** | **6–12** | **4–7** | **15–30** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

CCSS = Common Core State Standards; ELA = English/language arts; SA-3 = Supporting the transition to enhanced standards and high-quality assessments.

**Table B.15. State Participation in Consortia to Develop Assessments Aligned to Common Core State Standards, Spring 2012**

| | Among the States that Adopted the CCSS in ELA and/or Math, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported participating in a consortium to develop assessments aligned to these standards | 12 | 7 | 27 | Yes (SA-2) |
| Reported participating in the following consortia: | | | | |
| Partnership for Assessment of Readiness for College and Careers (PARCC) only | 9 | 5 | 5 | No |
| SMARTER Balanced Assessment Consortium (SBAC) only | 3 | 0 | 19 | No |
| Both PARCC and SBAC | 0 | 2 | 2 | No |
| Other consortium | 0 | 0 | 1 | No |
| **Number of States** | **12** | **7** | **28** | |

Source: Interviews with state administrators in spring 2012.

CCSS = Common Core State Standards; ELA = English/language arts; SA-2 = Developing and implementing common, high-quality assessments.

**Table B.16. Funds Provided by States to Districts and/or Schools to Support Implementation of Common Core State Standards, Spring 2012**

| | Among the States that Adopted the CCSS in ELA and/or Math, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported providing funds to districts and/or schools to support implementation of the CCSS since adopting them | 8 | 1 | 8 | Yes (SA-3) |
| Reported designating such funds for: | | | | |
| Professional development | 8 | 1 | 5 | Yes (SA-3) |
| Curriculum/textbook purchase | 3 | 0 | 2 | Yes (SA-3) |
| Development or purchase of interim assessments or item banks | 5 | 0 | 1 | Yes (SA-3) |
| Purchase of hardware or software needed to implement standards or assessments | 4 | 0 | 3 | Yes (SA-3) |
| Fund additional staff either externally contracted or hired internally | 6 | 0 | 2 | Yes (SA-3) |
| Other purpose | 4 | 0 | 2 | No |
| **Number of States** | **12** | **7** | **27** | |

Source: Interviews with state administrators in spring 2012.

CCSS = Common Core State Standards; ELA = English/language arts; SA-3 = Supporting the transition to enhanced standards and high-quality assessments.

**Table B.17. State Investments in New Technology to Assist with Implementation of the Common Core State Standards, Spring 2012**

| | Among the States that Adopted the CCSS in ELA and/or Math, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported investing in new technology to assist with implementation of the CCSS since adopting them | 7 | 3 | 7 | Yes (SA-3) |
| Reported the following technology investments for this purpose: | | | | |
| Hardware | 6 | 0 | 4 | No |
| Software | 6 | 2 | 4 | No |
| Connectivity, such as increased bandwidth or Internet speed for school systems | 5 | 1 | 4 | No |
| Other investments | 2 | 2 | 4 | No |
| **Number of States** | **12** | **7** | **28** | |

Source: Interviews with state administrators in spring 2012.

CCSS = Common Core State Standards; ELA = English/language arts; SA-3 = Supporting the transition to enhanced standards and high-quality assessments.

**Table B.18. State Investments in New Technology to Assist With Implementation of the Assessments Associated With the Common Core State Standards, Spring 2012**

| | Among the States that Adopted the CCSS in ELA and/or Math, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported investing in new technology to assist with implementation of the assessments associated with the CCSS since adopting them | 6 | 2 | 4 | Yes (SA-3) |
| Reported the following technology investments for this purpose: | | | | |
| Hardware | 5 | 0 | 2 | No |
| Software | 6 | 2 | 3 | No |
| Connectivity, such as increased bandwidth or Internet speed for school systems | 5 | 1 | 3 | No |
| Other investments | 0 | 1 | 1 | No |
| **Number of States** | **12** | **7** | **28** | |

Source: Interviews with state administrators in spring 2012.

CCSS = Common Core State Standards; ELA = English/language arts; SA-3 = Supporting the transition to enhanced standards and high-quality assessments.

**Table B.19. Materials Provided by States to Help Practitioners Understand the Common Core State Standards and/or Change Instruction Based on the Standards, Spring 2012**

| | Among the States that Adopted the CCSS in ELA and/or Math, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported providing materials to help practitioners understand the CCSS and/or change instruction based on the standards since adoption of these standards | 12 | 7 | 28 | Yes (SA-3) |
| Reported providing the following types of materials for this purpose: | | | | |
| Documents showing alignment between the previous state standards and the new standards | 10 | 7 | 26 | No |
| Documents showing the alignment between summative assessments and new standards, such as blueprints | 4 | 4 | 11 | No |
| Tools or guidance on providing instruction aligned with the new standards, such as scope and sequence, curriculum maps, or frameworks | 11 | 7 | 21 | No |
| Examples of instruction consistent with new standards | 10 | 5 | 22 | No |
| Sample lesson plans consistent with new standards | 6 | 3 | 18 | No |
| Sample performance tasks for formative assessment purposes, including rubrics or scoring guides | 7 | 2 | 11 | No |
| Sample student work | 4 | 2 | 7 | No |
| Banks of interim assessment items aligned to standards | 2 | 3 | 4 | No |
| Walk-through or observation protocols to aid in monitoring alignment of instruction to new standards | 7 | 2 | 5 | No |
| Other types of materials | 6 | 0 | 17 | No |
| **Number of States** | **12** | **6–7** | **27–28** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

CCSS = Common Core State Standards; ELA = English/language arts; SA-3 = Supporting the transition to enhanced standards and high-quality assessments.

**Table B.20. State Support to Districts and/or Schools for Implementation of Common Core State Standards, Spring 2012**

| | Among the States that Adopted the CCSS in ELA and/or Math, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported providing professional development, training, or technical assistance to districts and/or schools to support implementation of the CCSS since adoption of these standards | 12 | 7 | 27 | Yes (SA-3) |
| Reported providing the following types of support for this purpose: | | | | |
| Training on building awareness/ understanding of the standards | 12 | 7 | 27 | No |
| Training on teaching strategies, activities, or methods aligned with the standards | 12 | 5 | 25 | No |
| Training on the assessments aligned to the standards | 6 | 4 | 17 | No |
| Other types of support | 4 | 0 | 7 | No |
| **Number of States** | **12** | **7** | **28** | |

Source: Interviews with state administrators in spring 2012.

CCSS = Common Core State Standards; ELA = English/language arts; SA-3 = Supporting the transition to enhanced standards and high-quality assessments.

**Table B.21. State Support to Districts and/or Schools to Aid in Implementation of Common Core State Standards with English Language Learners, Spring 2012**

| | Among the States that Adopted the CCSS in ELA and/or Math, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported providing supports to districts and/or schools specifically designed to aid in the implementation the CCSS with ELLs since adoption of these standards | 11 | 5 | 18 | Yes (SA-3) |
| Reported providing the following support for this purpose: | | | | |
| Funds | 4 | 1 | 5 | No |
| Materials to support understanding and use of new standards with ELLs | 7 | 4 | 15 | No |
| Professional development, training, or technical assistance to support the instruction of ELLs | 8 | 5 | 15 | No |
| Mapped new ELA standards to state English language proficiency standards or revised state English language proficiency standards for better alignment | 6 | 4 | 15 | No |
| Other support | 1 | 0 | 4 | No |
| **Number of States** | **12** | **7** | **26–27** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

CCSS = Common Core State Standards; ELA = English/language arts; ELLs = English language learners; SA-3 = Supporting the transition to enhanced standards and high-quality assessments.

**Table B.22. State Implementation of Statewide Longitudinal Data Systems, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having an SLDS | 12 | 7 | 28 | Yes (DA-1) |
| Reported that the following data systems are linked to the state's K–12 education longitudinal data system: | | | | |
| Early childhood | 10 | 5 | 16 | Yes (DA-1) |
| Higher education | 9 | 5 | 18 | Yes (DA-1) |
| Teacher preparation programs | 4 | 2 | 13 | No |
| Health (for example, access to medical or mental health services) | 3 | 2 | 5 | No |
| Welfare/foster care/child protective services | 3 | 0 | 12 | No |
| Workforce (for example, employment data) | 3 | 0 | 9 | No |
| Juvenile justice | 3 | 3 | 10 | No |
| Other data systems | 3 | 1 | 8 | No |
| **Number of States** | **11–12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

SLDS = Statewide Longitudinal Data System; DA-1 = Fully implementing a statewide longitudinal data system.

**Table B.23. State Requirements Related to District Data Systems, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported requiring districts to implement district data systems [a] | 6 | 1 | 8 | Yes (DA-3) |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

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

DA-3 = Using data to improve instruction.

**Table B.24. Access to State Longitudinal Data Systems**

| | Among the States that Reported Having a Statewide Longitudinal Data System, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported that the following groups have access to data from the SLDS: | | | | |
| State Department of Education staff in: | | | | Yes (DA-2) |
| 2007–2008[a] | 8 | 5 | 20 | |
| 2011–2012 | 8 | 6 | 21 | |
| District staff in: | | | | Yes (DA-2) |
| 2007–2008[a] | 8 | 4 | 14 | |
| 2011–2012 | 8 | 5 | 21 | |
| Principals in: | | | | Yes (DA-2) |
| 2007–2008[a] | 7 | 3 | 11 | |
| 2011–2012 | 8 | 5 | 20 | |
| Teachers in: | | | | Yes (DA-2) |
| 2007–2008[a] | 5 | 3 | 10 | |
| 2011–2012 | 7 | 5 | 19 | |
| Colleges and universities in: | | | | Yes (DA-2) |
| 2007–2008[a] | 4 | 2 | 7 | |
| 2011–2012 | 7 | 5 | 13 | |
| External researchers in: | | | | Yes (DA-2) |
| 2007–2008[a] | 6 | 2 | 8 | |
| 2011–2012 | 8 | 6 | 15 | |
| Other groups in: | | | | No |
| 2007–2008[a] | 1 | 1 | 6 | |
| 2011–2012 | 5 | 2 | 13 | |
| **Number of States** | **8** | **5–6** | **21** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

SLDS = Statewide Longitudinal Data System; DA-2 = Accessing State data and using it to inform key stakeholders.

**Table B.25. Access to the SLDS**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Among the states that reported having an SLDS in spring 2012, reported tracking usage of their SLDS | 8 | 4 | 15 | No |
| Among states that reported having an SLDS in spring 2012, reported tracking usage of the SLDS by user type | 4 | 2 | 5 | No |
| Among the states that reported tracking usage of their SLDS by user type, mean percentage of each type of user who accessed the system in the 2010–2011 school year: | | | | |
| State Department of Education staff | 1 | 1 | 1 | No |
| District staff | 0 | NA | 1 | No |
| Principals | 1 | 1 | 0 | No |
| Teachers | 1 | 1 | 0 | No |
| Other groups | NA | 0 | NA | No |
| **Number of States** | **2–12** | **1–7** | **1–28** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

SLDS = Statewide Longitudinal Data System; NA = not available.

**Table B.26. Uses of Statewide Longitudinal Data by State Staff, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Among states that reported having an SLDS, reported state-level staff use data in the SLDS for the following purposes: | | | | |
| To track overall school performance and identify areas for improvement | 11 | 6 | 25 | Yes (DA-2) |
| To evaluate instructional programs, such as measuring program effectiveness | 10 | 5 | 17 | Yes (DA-2) |
| To inform professional development offerings, such as identifying specific content or skills where teachers need assistance or support | 6 | 1 | 11 | Yes (DA-2) |
| To evaluate the success of professional development offerings for teachers or principals | 3 | 1 | 7 | Yes (DA-2) |
| To inform resource allocation, such as which schools and students receive which programs or which staff work with which students | 7 | 4 | 14 | Yes (DA-2) |
| To provide information to teachers about their students' progress | 9 | 5 | 18 | Yes (DA-2) |
| To provide information to parents about the school or their children | 8 | 5 | 15 | Yes (DA-2) |
| To provide information to students about their own progress | 3 | 3 | 6 | Yes (DA-2) |
| To track students' postsecondary enrollment and progress after high school graduation, such as credits earned in public colleges or universities in the state | 7 | 5 | 15 | Yes (DA-2) |
| To provide information to federal agencies (for example, EDFacts) | 10 | 6 | 24 | Yes (DA-2) |
| Other purposes | 3 | 2 | 9 | No |
| **Number of States** | **12** | **6–7** | **28** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

SLDS = Statewide Longitudinal Data System; DA-2 = Accessing State data and using it to inform key stakeholders.

**Table B.27. State Support for District Data Use, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Provided funding, materials, training, technical assistance, or other supports to districts to encourage use of data to improve instruction | 12 | 4 | 29 | Yes (DA-3) |
| Provided the following supports to districts to encourage use of data to improve instruction: | | | | |
| Funds | 10 | 3 | 12 | No |
| Materials or documents on use of data to improve instruction | 11 | 4 | 23 | No |
| Technical assistance | 10 | 3 | 29 | No |
| Professional development or training | 10 | 3 | 24 | No |
| Other types of support | 5 | 1 | 9 | No |
| Provided funding, materials, training, technical assistance, or other supports to districts specifically to aid in use of data related to ELLs | 7 | 6 | 18 | No |
| Provided following supports to districts to aid in use of data related to ELLs[a] | | | | |
| Funds | 2 | 2 | 8 | No |
| Materials or resources such as documents or software | 4 | 5 | 16 | No |
| Professional development, training, or technical assistance | 7 | 6 | 18 | No |
| Other types of support | 1 | 3 | 4 | No |
| **Number of States** | **11–12** | **7** | **30–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

ELLs = English language learners; DA-3 = Using data to improve instruction.

**Table B.28. Access to Individual Student-Level Data in State Longitudinal Data Systems, Spring 2012**

| | Among States that Reported Having a SLDS, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported that the following groups have access to individual student-level data for students in the state from the SLDS | | | | |
| State Department of Education staff | 12 | 7 | 25 | No |
| District staff | 12 | 7 | 27 | No |
| Principals | 10 | 5 | 25 | No |
| Teachers | 9 | 4 | 21 | No |
| Colleges and universities | 3 | 2 | 5 | No |
| External researchers | 6 | 5 | 12 | No |
| Other groups | 0 | 1 | 7 | No |
| **Number of States** | **5–12** | **2–7** | **15–28** | |

Source: Interviews with state administrators in spring 2012.

SLDS = Statewide Longitudinal Data System.

**Table B.29. Authorization of Alternative-Route Certification Programs for Teachers**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported authorizing AC programs for teachers in: | | | | Yes (TL-1) |
| 2007–2008[a] | 11 | 6 | 25 | |
| 2011–2012 | 12 | 7 | 30 | |
| Reported authorizing the following groups to operate AC programs for teachers: | | | | |
| Institutions of higher education in: | | | | Yes (TL-1) |
| 2007–2008[a] | 11 | 6 | 21 | |
| 2011–2012 | 12 | 7 | 26 | |
| School districts in: | | | | Yes (TL-1) |
| 2007–2008[a] | 7 | 3 | 6 | |
| 2011–2012 | 10 | 4 | 12 | |
| Educational service districts or cooperatives in: | | | | Yes (TL-1) |
| 2007–2008[a] | 3 | 3 | 5 | |
| 2011–2012 | 5 | 4 | 9 | |
| Nonprofit organizations in: | | | | Yes (TL-1) |
| 2007–2008[a] | 6 | 3 | 10 | |
| 2011–2012 | 10 | 7 | 18 | |
| Partnerships or collaborations among above groups in: | | | | Yes (TL-1) |
| 2007–2008[a] | 4 | 4 | 11 | |
| 2011–2012 | 9 | 6 | 15 | |
| Other groups or organizations in: | | | | No |
| 2007–2008[a] | 0 | 1 | 10 | |
| 2011–2012 | 3 | 2 | 14 | |
| **Number of States** | **10–12** | **7** | **29–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items. Alternative-route certification programs are those that offer an alternative route to certification.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

AC = Alternative-route certification; TL-1 = Providing high-quality pathways to certification for aspiring teachers and principals.

**Table B.30. Changes Made to State Regulations Related to Teacher Preparation or Certification Programs within the Year Prior to Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported increasing the selectivity of teacher preparation programs within the past year | 3 | 2 | 3 | Yes (TL-1) |
| Reported increasing the amount of time students in teacher preparation programs spend in supervised, school-based learning experiences within the past year | 3 | 1 | 3 | Yes (TL-1) |
| Reported increasing the amount of mentoring and/or coaching that students in teacher preparation programs receive within the past year | 2 | 1 | 4 | Yes (TL-1) |
| Reported allowing AC programs for teachers to award the same type of certification that traditional preparation programs award within the past year | 4 | 2 | 5 | Yes (TL-1) |
| Reported other changes within the past year | 4 | 1 | 8 | No |
| **Number of States** | **11–12** | **6–7** | **28–31** | |

Source: Interviews with state administrators in spring 2012.

AC = Alternative-route certification; TL-1 = Providing high-quality pathways to certification for aspiring teachers and principals.

**Table B.31. States' Assessment of Alternative-Route Teacher Certification Programs**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having a process for assessing the effectiveness of AC programs for teachers in: | | | | Yes (TL-2) |
| 2007–2008[a] | 9 | 5 | 14 | |
| 2011–2012 | 10 | 6 | 15 | |
| Reported using the following information to assess the effectiveness of AC programs for teachers: | | | | |
| The percentage of enrollees who earn certification | 5 | 3 | 9 | No |
| The percentage of enrollees placed in teaching jobs | 5 | 0 | 5 | No |
| Rates of retention in the profession | 4 | 0 | 4 | No |
| The effectiveness ratings (based in part on student growth) of credentialed teachers from each program | 2 | 1 | 1 | Yes (TL-2) |
| Qualitative program reviews | 8 | 5 | 13 | No |
| Feedback from principals, other school staff, or human resources staff on credentialed teachers from each program | 7 | 2 | 13 | No |
| Other information | 2 | 1 | 6 | No |
| Reported using results from assessments of AC programs for teachers in the following ways: | | | | |
| Provided results to certification programs | 9 | 6 | 14 | No |
| Provided additional state funding to certification programs that were shown to be effective | 1 | 0 | 0 | Yes (TL-2) |
| Expanded and/or promoted certification programs that were shown to be effective | 3 | 0 | 1 | Yes (TL-2) |
| Eliminated and/or reduced state funding for certification programs that were shown to be ineffective | 2 | 0 | 0 | No |
| Closed programs that were shown to be ineffective | 3 | 0 | 0 | No |
| Publically reported results for each program | 4 | 4 | 8 | Yes (TL-2) |
| Other actions | 2 | 1 | 3 | No |
| **Number of States** | **11–12** | **7** | **28–31** | |

Source: Interviews with state administrators in spring 2012.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

AC = Alternative-route certification; TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.32. Authorization of Alternative-Route Certification Programs for Principals**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported authorizing AC programs for principals in: | | | | Yes (TL-2) |
| 2007–2008[a] | 6 | 4 | 9 | |
| 2011–2012 | 10 | 6 | 17 | |
| Reported authorizing the following groups to operate AC programs for principals: | | | | |
| Institutions of higher education in: | | | | Yes (TL-2) |
| 2007–2008[a] | 6 | 4 | 8 | |
| 2011–2012 | 10 | 6 | 13 | |
| School districts in: | | | | Yes (TL-2) |
| 2007–2008[a] | 5 | 1 | 3 | |
| 2011–2012 | 7 | 2 | 5 | |
| Educational service districts or cooperatives in: | | | | Yes (TL-2) |
| 2007–2008[a] | 4 | 1 | 2 | |
| 2011–2012 | 5 | 2 | 4 | |
| Nonprofit organizations in: | | | | Yes (TL-2) |
| 2007–2008[a] | 3 | 3 | 2 | |
| 2011–2012 | 6 | 4 | 4 | |
| Partnerships or collaborations among above groups in: | | | | Yes (TL-2) |
| 2007–2008[a] | 5 | 2 | 3 | |
| 2011–2012 | 9 | 3 | 8 | |
| Other groups or organizations in: | | | | No |
| 2007–2008[a] | 2 | 1 | 1 | |
| 2011–2012 | 3 | 2 | 4 | |
| **Number of States** | **10–12** | **6–7** | **29–30** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

AC = Alternative-route certification; TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.33. Changes Made to State Regulations Related to Principal Preparation or Certification Programs within the Year Prior to Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported increasing the selectivity of principal preparation programs within the past year | 4 | 1 | 2 | Yes (TL-1) |
| Reported increasing the amount of time students in principal preparation programs spend in supervised, school-based learning experiences within the past year | 2 | 1 | 4 | Yes (TL-1) |
| Reported increasing the amount of mentoring and/or coaching that students in principal preparation programs receive within the past year | 2 | 2 | 5 | Yes (TL-1) |
| Reported allowing AC programs for principals to award the same type of certification that traditional preparation programs award within the past year | 5 | 1 | 4 | Yes (TL-1) |
| Reported other changes within the past year | 1 | 2 | 7 | No |
| **Number of States** | **12** | **6–7** | **29–31** | |

Source: Interviews with state administrators in spring 2012.

AC = Alternative-route certification; TL-1 = Providing high-quality pathways to certification for aspiring teachers and principals.

**Table B.34. States' Evaluation of Alternative-Route Principal Certification Programs**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having a process for assessing the effectiveness of AC programs for principals in: | | | | Yes (TL-2) |
| 2007–2008[a] | 3 | 2 | 5 | |
| 2011–2012 | 6 | 4 | 10 | |
| In spring 2012, reported using the following information to assess the effectiveness of AC programs for principals: | | | | |
| The percentage of enrollees who earn certification | 4 | 1 | 7 | No |
| The percentage of enrollees placed in school administration jobs | 4 | 0 | 6 | No |
| Rates of retention in the profession | 4 | 0 | 1 | No |
| The effectiveness ratings (based in part on student growth) of credentialed principals from each program | 2 | 0 | 1 | Yes (TL-2) |
| Qualitative program reviews | 5 | 4 | 9 | No |
| Feedback from school, district, or human resources staff on credentialed principals from each program | 5 | 1 | 8 | No |
| Other information | 0 | 1 | 2 | No |
| In spring 2012, reported using results from assessments of AC programs for principals in the following ways: | | | | |
| Provided results to certification programs | 4 | 3 | 9 | No |
| Provided additional state funding to certification programs that were shown to be effective | 1 | 0 | 0 | Yes (TL-2) |
| Expanded and/or promoted certification programs that were shown to be effective | 2 | 0 | 1 | Yes (TL-2) |
| Eliminated and/or reduced state funding for certification programs that were shown to be ineffective | 0 | 0 | 0 | No |
| Closed programs that were shown to be ineffective | 0 | 0 | 1 | No |
| Publically reported results for each program | 1 | 3 | 5 | No |
| Other actions | 0 | 1 | 2 | No |
| **Number of States** | **11–12** | **6–7** | **30–31** | |

Source: Interviews with state administrators in spring 2012.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

AC = Alternative-route certification; TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.35. State Requirements for District Adoption of Teacher Evaluation Models**

| State-Reported Regulation | Number of States: Early RTT | Number of States: Later RTT | Number of States: Non-RTT | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| Districts must use model prescribed by the state | | | | No |
| 2007–2008[a] | 3 | 0 | 4 | |
| 2011–2012 | 3 | 0 | 5 | |
| Districts may adopt state model (state exemplar model) | | | | No |
| 2007–2008[a] | 0 | 0 | 3 | |
| 2011–2012 | 1 | 2 | 2 | |
| Districts must adopt state model if unable to meet state expectations (state default model) | | | | No |
| 2007–2008[a] | 0 | 1 | 0 | |
| 2011–2012 | 1 | 2 | 2 | |
| Districts must administer evaluations that comply with state statutes with state monitoring evaluation processes | | | | No |
| 2007–2008[a] | 1 | 2 | 2 | |
| 2011–2012 | 3 | 2 | 7 | |
| Districts must administer evaluations that comply with state statutes but without state monitoring evaluation processes | | | | No |
| 2007–2008[a] | 6 | 4 | 20 | |
| 2011–2012 | 2 | 1 | 13 | |
| **Number of States** | **10** | **7** | **29** | |

Source: Interviews with state administrators in spring 2012.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

**Table B.36. Role of Student Achievement Growth in Teacher Evaluations**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported that student achievement growth was required | | | | Yes (TL-2) |
| 2007–2008[a] | 3 | 1 | 4 | |
| 2011–2012 | 7 | 5 | 16 | |
| Reported that student achievement growth was required with a specific weight | | | | Yes (TL-2) |
| 2007–2008[a] | 1 | 0 | 0 | |
| 2011–2012 | 7 | 4 | 10 | |
| Required weight in spring 2012 | | | | No |
| No specific weight required or did not require student achievement growth | 5 | 3 | 21 | |
| 1–20 | 1 | 0 | 1 | |
| 21–50 | 3 | 4 | 2 | |
| 51 or more | 0 | 0 | 0 | |
| "Significant," "substantial," or "primary" factor | 3 | 0 | 7 | |
| **Number of States** | **11–12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.37. State-Reported Requirements for Performance Measures (Other than Student Achievement Growth) for Evaluations of Teachers *in Tested Grades and Subjects***

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Classroom observations | | | | Yes (TL-2) |
| 2007–2008[a] | 9 | 7 | 16 | |
| 2011–2012 | 11 | 7 | 21 | |
| Self-assessment | | | | Yes (TL-2) |
| 2007–2008[a] | 2 | 0 | 3 | |
| 2011–2012 | 4 | 1 | 6 | |
| Portfolios or other artifacts of teacher practice | | | | Yes (TL-2) |
| 2007–2008[a] | 3 | 1 | 3 | |
| 2011–2012 | 2 | 1 | 6 | |
| Peer assessments other than classroom observations | | | | Yes (TL-2) |
| 2007–2008[a] | 0 | 1 | 0 | |
| 2011–2012 | 1 | 1 | 1 | |
| Student work samples | | | | Yes (TL-2) |
| 2007–2008[a] | 0 | 0 | 1 | |
| 2011–2012 | 2 | 1 | 3 | |
| Student surveys or other feedback | | | | Yes (TL-2) |
| 2007–2008[a] | 0 | 0 | 1 | |
| 2011–2012 | 1 | 1 | 2 | |
| Parent surveys or other feedback | | | | Yes (TL-2) |
| 2007–2008[a] | 1 | 0 | 0 | |
| 2011–2012 | 2 | 1 | 3 | |
| Other measures | | | | No |
| 2007–2008[a] | 0 | 1 | 2 | |
| 2011–2012 | 3 | 0 | 3 | |
| **Number of States** | **11** | **7** | **28–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.38. State-Reported Requirements for Performance Measures (Other than Student Achievement Growth) for Evaluations of Teachers *in Nontested Grades and Subjects***

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Classroom observations | | | | Yes (TL-2) |
| 2007–2008[a] | 9 | 7 | 16 | |
| 2011–2012 | 11 | 7 | 21 | |
| Self-assessment | | | | Yes (TL-2) |
| 2007–2008[a] | 2 | 0 | 3 | |
| 2011–2012 | 2 | 1 | 6 | |
| Portfolios or other artifacts of teacher practice | | | | Yes (TL-2) |
| 2007–2008[a] | 3 | 1 | 3 | |
| 2011–2012 | 1 | 1 | 6 | |
| Peer assessments other than classroom observations | | | | Yes (TL-2) |
| 2007–2008[a] | 0 | 1 | 0 | |
| 2011–2012 | 0 | 1 | 1 | |
| Student work samples | | | | Yes (TL-2) |
| 2007–2008[a] | 0 | 0 | 1 | |
| 2011–2012 | 1 | 1 | 3 | |
| Student surveys or other feedback | | | | Yes (TL-2) |
| 2007–2008[a] | 0 | 0 | 1 | |
| 2011–2012 | 0 | 1 | 2 | |
| Parent surveys or other feedback | | | | Yes (TL-2) |
| 2007–2008[a] | 1 | 0 | 0 | |
| 2011–2012 | 1 | 1 | 3 | |
| Other measures | | | | No |
| 2007–2008[a] | 0 | 1 | 2 | |
| 2011–2012 | 2 | 1 | 4 | |
| **Number of States** | **11** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.39. Rating Levels for Overall Teacher Performance, Spring 2012**

| | Number of States (unless otherwise specified) | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported specifying a required minimum number of rating levels | 8 | 6 | 17 | Yes (TL-2) |
| Average minimum number of rating levels [a] | 2.7 | 2.6 | 1.8 | No |
| In spring 2012, reported requiring: | | | | No |
| Four or more levels | 7 | 3 | 10 | |
| Three levels | 1 | 0 | 2 | |
| Two levels | 0 | 3 | 5 | |
| Did not specify a minimum [b] | 4 | 1 | 14 | |
| Reported specifying a minimum acceptable spread of teachers across rating categories | 0 | 0 | 0 | No |
| **Number of States** | **10–12** | **7** | **29–31** | |

Source: Interviews with state administrators in spring 2012.

[a] In the analysis of this question, states that reported not specifying a required minimum number of rating levels were counted as zeroes.

[b] This includes states that responded "no" to the question of "Do state regulations specify a required minimum number of rating levels to be used when evaluating overall teacher performance? If so, what is the minimum number of rating categories that is required?"

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.40. Tenure and Frequency of Teacher Evaluation**

| State-Reported Regulation | Number of States (unless otherwise specified) | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Allow teachers to earn tenure[a] | | | | No |
| 2007–2008[b] | 8 | 6 | 27 | |
| 2011–2012 | 9 | 6 | 22 | |
| Have a probationary period for teachers | | | | No |
| 2007–2008[b] | 11 | 7 | 29 | |
| 2011–2012 | 11 | 7 | 26 | |
| Of states that reported having a probationary period, mean duration of probationary period (years) | | | | No |
| 2007–2008[b] | 2.6 | 3.3 | 2.8 | |
| 2011–2012 | 3.3 | 3.3 | 3.0 | |
| Evaluated probationary teachers | | | | |
| At least annually | | | | Yes (TL-2) |
| 2007–2008[b] | 10 | 6 | 22 | |
| 2011–2012 | 10 | 6 | 24 | |
| Every other year | | | | No |
| 2007–2008[b] | 0 | 0 | 0 | |
| 2011–2012 | 0 | 0 | 0 | |
| Other interval | | | | No |
| 2007–2008[b] | 0 | 1 | 4 | |
| 2011–2012 | 0 | 1 | 2 | |
| Evaluated non-probationary teachers | | | | |
| At least annually | | | | Yes (TL-2) |
| 2007–2008[b] | 5 | 3 | 11 | |
| 2011–2012 | 6 | 3 | 13 | |
| Every other year | | | | No |
| 2007–2008[b] | 2 | 0 | 1 | |
| 2011–2012 | 2 | 1 | 2 | |
| Other interval | | | | No |
| 2007–2008[b] | 3 | 4 | 15 | |
| 2011–2012 | 2 | 3 | 12 | |
| **Number of States** | **10–12** | **7** | **24–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] This category includes states that provide the equivalent of tenure but do not use the term "tenure."

[b] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.41. States' Use of Teacher Evaluation Results, Spring 2012**

| State Regulation | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported requiring results to guide decisions about: | | | | |
| Professional development and support | 7 | 4 | 9 | Yes (TL-2) |
| Dismissal | 7 | 6 | 8 | Yes (TL-2) |
| Salary increases | 2 | 1 | 3 | Yes (TL-2) |
| Bonuses or performance-based compensation other than salary | 1 | 1 | 3 | Yes (TL-2) |
| Career advancement | 1 | 0 | 0 | Yes (TL-2) |
| Other decisions | 2 | 3 | 4 | No |
| Reported that evaluation results, rather than seniority, are the primary consideration in reductions in force and excessing decisions | 1 | 2 | 5 | No |
| Reported collecting information on the percentage of teachers falling in each rating level | 8 | 4 | 12 | No |
| Reported analyzing the relationship between teacher ratings and student achievement growth | 1 | 2 | 2 | No |
| Reported providing teacher preparation programs with information about effectiveness based on: | | | | No |
| Overall teacher ratings | 1 | 0 | 1 | |
| Classroom observations | 0 | 0 | 1 | |
| Student achievement growth | 3 | 0 | 0 | |
| **Number of States** | **7–12** | **4–7** | **21–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.42. State Requirements for District Adoption of Principal Evaluation Models**

| State-Reported Regulation | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Districts must use model prescribed by the state | | | | No |
| 2007–2008[a] | 3 | 0 | 4 | |
| 2011–2012 | 3 | 0 | 5 | |
| Districts may adopt state model (state exemplar model) | | | | No |
| 2007–2008[a] | 0 | 0 | 3 | |
| 2011–2012 | 0 | 0 | 3 | |
| District must adopt state model If unable to meet state expectations (state default model) | | | | No |
| 2007–2008[a] | 0 | 1 | 0 | |
| 2011–2012 | 0 | 2 | 1 | |
| Districts must administer evaluations that comply with state statutes with state monitoring evaluation process | | | | No |
| 2007–2008[a] | 2 | 3 | 1 | |
| 2011–2012 | 2 | 2 | 4 | |
| Districts must administer evaluations that comply with state statutes but without state monitoring evaluation process | | | | No |
| 2007–2008[a] | 4 | 1 | 19 | |
| 2011–2012 | 4 | 1 | 14 | |
| **Number of States** | **9** | **5** | **27** | |

Source: Interviews with state administrators in spring 2012.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

**Table B.43. Role of Student Achievement Growth in Principal Evaluations**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported that student achievement growth was required | | | | Yes (TL-2) |
| 2007–2008[a] | 2 | 1 | 2 | |
| 2011–2012 | 5 | 2 | 11 | |
| Reported that student achievement growth was required with a specific weight | | | | Yes (TL-2) |
| 2007–2008[a] | 2 | 0 | 0 | |
| 2011–2012 | 7 | 2 | 5 | |
| Required weight in spring 2012 | | | | No |
| No specific weight required or did not require student achievement growth | 5 | 5 | 26 | |
| 1–20 | 1 | 0 | 0 | |
| 21–50 | 0 | 0 | 0 | |
| 51 or more | 0 | 0 | 0 | |
| "Significant," "substantial," or "primary" factor | 3 | 0 | 3 | |
| **Number of States** | **9–12** | **5–7** | **30–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.44. State-Reported Requirements for Performance Measures for Principal Evaluations (Other than Student Achievement Growth)**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Self-assessment | | | | Yes (TL-2) |
| 2007–2008[a] | 1 | 0 | 5 | |
| 2011–2012 | 1 | 0 | 7 | |
| District administrator input | | | | Yes (TL-2) |
| 2007–2008[a] | 4 | 2 | 10 | |
| 2011–2012 | 5 | 3 | 12 | |
| Staff surveys or other feedback | | | | Yes (TL-2) |
| 2007–2008[a] | 1 | 0 | 3 | |
| 2011–2012 | 2 | 0 | 5 | |
| Student surveys or other feedback | | | | Yes (TL-2) |
| 2007–2008[a] | 0 | 0 | 1 | |
| 2011–2012 | 0 | 0 | 3 | |
| Other measures | | | | No |
| 2007–2008[a] | 3 | 1 | 4 | |
| 2011–2012 | 5 | 0 | 9 | |
| **Number of States** | **10** | **5** | **29–30** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.45. Rating Levels for Overall Principal Performance**

| | Number of States (unless otherwise specified) | | | Item Aligned with RTT Application Criteria (Subtopic |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported specifying a required minimum number of rating levels | | | | Yes (TL-2) |
| 2007–2008[a] | 5 | 2 | 6 | |
| 2011–2012 | 7 | 3 | 14 | |
| Average minimum number of rating levels[b] | | | | No |
| 2007–2008[a] | 1.4 | 0.6 | 0.6 | |
| 2011–2012 | 2.7 | 2.3 | 1.6 | |
| In spring 2012, reported requiring: | | | | No |
| Four or more levels | 7 | 3 | 9 | |
| Three levels | 0 | 0 | 3 | |
| Two levels | 1 | 2 | 2 | |
| Did not specify a minimum[c] | 4 | 2 | 17 | |
| **Number of States** | **10–12** | **5–7** | **31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

[b] In the analysis of this question, states that reported not specifying a required minimum number of rating levels were counted as zeroes.

[c] This includes states that responded "no" to the question of "Do state regulations specify a required minimum number of rating levels to be used when evaluating overall principal performance? If so, what is the minimum number of rating categories that is required?"

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.46. State Uses of Principal Evaluation Results, Spring 2012**

| State Regulation | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported using results to guide decisions about: | | | | |
| Professional development and support | 4 | 3 | 4 | Yes (TL-2) |
| Dismissal | 4 | 3 | 5 | Yes (TL-2) |
| Salary increases | 1 | 1 | 1 | Yes (TL-2) |
| Bonuses or performance-based compensation other than salary | 1 | 0 | 1 | Yes (TL-2) |
| Career advancement | 1 | 0 | 0 | Yes (TL-2) |
| Other decisions | 1 | 1 | 1 | No |
| Reported collecting information on the percentage of principals falling in each rating level | 6 | 5 | 7 | No |
| Reported analyzing the relationship between principal ratings and student achievement growth | 1 | 0 | 0 | No |
| Reported providing principal preparation programs with information about effectiveness based on: | | | | |
| Overall principal ratings | 1 | 0 | 1 | No |
| Student achievement growth | 0 | 0 | 0 | No |
| Something else | 0 | 0 | 1 | No |
| **Number of States** | **10–12** | **7** | **27–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

TL-2 = Improving teacher and principal effectiveness based on performance.

**Table B.47. Actions Taken by States to Identify Areas of Teacher Shortages, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having a process to identify areas of teacher shortage | 11 | 7 | 29 | Yes (TL-3) |
| Reported taking actions to identify areas of teacher shortage: | | | | |
| Reviewed the number of vacant positions and/or teacher attrition by content area, grade, student achievement levels, or student demographic characteristics | 9 | 4 | 20 | No |
| Reviewed the number of positions filled by teachers teaching in subjects outside their certification area | 11 | 4 | 25 | No |
| Reviewed the projected total number of teacher preparation program graduates | 8 | 0 | 16 | No |
| Reviewed the projected number of teacher preparation program graduates in specific subject areas | 8 | 1 | 14 | No |
| Reviewed the projected number of teacher preparation program graduates in specific grade levels | 6 | 1 | 11 | No |
| Surveyed district administrators | 3 | 1 | 20 | No |
| Surveyed school administrators | 1 | 1 | 8 | No |
| Other actions | 5 | 2 | 9 | No |
| **Number of States** | **12** | **7** | **30–31** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

TL-3 = Ensuring equitable distribution of effective teachers and principals.

**Table B.48. Full-Time Staff and Actions Taken by States to Address Current Areas of Teacher Shortages, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Mean number of full-time staff[a] | 152,000 | 152,000 | 84,000 | No |
| Reported having a teacher shortage | 10 | 7 | 30 | No |
| Reported taking actions in 2011–2012 to address teacher shortage: | | | | |
| Enacted policies allowing traditional teacher preparation programs to expand the number of students served | 2 | 0 | 1 | Yes (TL-3) |
| Enacted policies allowing AC programs for teachers to expand the number of students served | 3 | 1 | 2 | Yes (TL-3) |
| Provided incentives for teachers to become certified in areas of shortage | 6 | 2 | 10 | Yes (TL-3) |
| Notified teacher preparation programs about the areas of shortage | 9 | 5 | 20 | Yes (TL-3) |
| Encouraged teacher preparation programs to train more teachers in the areas of shortage | 8 | 4 | 24 | Yes (TL-3) |
| Developed new AC programs for teachers focused on the areas of shortage | 3 | 4 | 8 | Yes (TL-3) |
| Increased the amount of induction support for novice teachers with the goal of reducing teacher attrition in areas of shortage | 6 | 0 | 8 | Yes (TL-3) |
| Other actions | 1 | 0 | 10 | No |
| **Number of States** | **9–11** | **6–7** | **22–31** | |

Source: Interviews with state administrators in spring 2012, Common Core of Data.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] More specifically, this is the average number of full-time equivalent staff, which means that staff who work part time are counted as a proportion of a staff member, rather than as a whole staff member. For example, two half-time employees are counted as one full-time equivalent staff member. The mean numbers of full-time equivalent staff were rounded to the nearest thousand.

AC = Alternative-route certification; TL-3 = Ensuring equitable distribution of effective teachers and principals.

**Table B.49. State Analyses of Shifts in Teacher Distribution, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported conducting analyses to determine whether the distribution of effective teachers between high-poverty or high-minority schools and low-poverty or low-minority schools shifted | 4 | 2 | 8 | Yes (TL-3) |
| Reported examining factors in the analysis of teacher distribution: | | | | |
| Teacher effectiveness based on student achievement growth | 1 | 0 | 2 | Yes (TL-3) |
| Proportions of novice and experienced teachers | 2 | 2 | 6 | No |
| Proportion of certified teachers | 4 | 1 | 7 | No |
| Proportion of teachers assigned to grades or classes outside of their field of certification | 4 | 1 | 7 | No |
| Other factors | 1 | 2 | 5 | No |
| Reported that analyses of distribution of effective teachers showed the following pattern: | | | | |
| A more equitable distribution | 1 | 0 | 3 | No |
| A less equitable distribution | 0 | 1 | 1 | No |
| No change in the distribution | 1 | 0 | 4 | No |
| Reported sending results from analyses of teacher distribution to the districts included in such analyses[a] | 4 | 2 | 7 | No |
| **Number of States** | **10–12** | **6–7** | **29–30** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

TL-3 = Ensuring equitable distribution of effective teachers and principals.

**Table B.50. State Strategies for Promoting Equitable Distribution of Effective Teachers, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported offering more compensation for teachers who work in high-poverty or high-minority schools | 3 | 1 | 3 | Yes (TL-3) |
| Reported offering performance-based compensation for effective teachers who work in high-poverty or high-minority schools | 2 | 0 | 1 | Yes (TL-3) |
| Reported hiring staff to work in high-poverty or high-minority schools and districts earlier | 3 | 0 | 0 | Yes (TL-3) |
| Reported increasing recruitment activities | 4 | 1 | 3 | Yes (TL-3) |
| Reported improving teaching and learning environments at high-poverty or high-minority schools | 2 | 1 | 4 | Yes (TL-3) |
| Reported offering more professional development, mentoring, or induction for teachers working in high-poverty or high-minority schools | 4 | 0 | 4 | Yes (TL-3) |
| Reported other strategies | 1 | 2 | 6 | No |
| **Number of States** | **12** | **7** | **30** | |

Source: Interviews with state administrators in spring 2012.

TL-3 = Ensuring equitable distribution of effective teachers and principals.

**Table B.51. Actions Taken by States to Identify Areas of Principal Shortages, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having a process to identify areas of principal shortages | 6 | 0 | 7 | Yes (TL-3) |
| Reported taking actions to identify areas of principal shortages: | | | | |
| Reviewed the number of vacant positions and/or principal attrition by student achievement levels or student demographic characteristics | 4 | 0 | 4 | No |
| Reviewed the projected total number of principal preparation program graduates | 5 | 0 | 6 | No |
| Surveyed district administrators | 3 | 0 | 4 | No |
| Surveyed school administrators | 1 | 0 | 2 | No |
| Other actions | 1 | 0 | 2 | No |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

TL-3 = Ensuring equitable distribution of effective teachers and principals.

**Table B.52. Actions Taken by States to Address Current Areas of Principal Shortages, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having a principal shortage | 5 | 1 | 8 | No |
| Reported taking actions in 2011–2012 to address principal shortage: | | | | |
| Enacted policies allowing traditional principal preparation programs to expand the number of students served | 1 | 0 | 1 | Yes (TL-3) |
| Enacted policies allowing AC programs for principals to expand the number of students served | 2 | 0 | 2 | Yes (TL-3) |
| Provided incentives for individuals to become certified to work as principals | 2 | 0 | 1 | Yes (TL-3) |
| Notified principal preparation programs about the areas of shortage | 3 | 0 | 3 | Yes (TL-3) |
| Encouraged principal preparation programs to train more principals in the areas of shortage | 3 | 0 | 2 | Yes (TL-3) |
| Developed new AC programs for principals focused on the areas of shortage | 4 | 1 | 2 | Yes (TL-3) |
| Increased the amount of support for principals with the goal of reducing principal attrition in areas of shortage | 4 | 0 | 1 | Yes (TL-3) |
| Other actions | 0 | 1 | 1 | No |
| **Number of States** | **8–10** | **6** | **25–27** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

AC = Alternative-route certification; TL-3 = Ensuring equitable distribution of effective teachers and principals.

**Table B.53. State Analyses of Shifts in Principal Distribution, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported conducting analyses to determine whether the distribution of effective principals between high-poverty or high-minority schools and low-poverty or low-minority schools shifted | 1 | 0 | 1 | Yes (TL-3) |
| Reported examining factors in the analysis of principal distribution: | | | | |
| Principal experience | 1 | 0 | 1 | Yes (TL-3) |
| Principal effectiveness ratings based on student achievement growth | 1 | 0 | 0 | No |
| Other factors | 0 | 0 | 1 | No |
| Reported that analyses of distribution of effective principals showed the following pattern: | | | | |
| A more equitable distribution | 1 | 0 | 0 | No |
| A less equitable distribution | 0 | 0 | 0 | No |
| No change in the distribution | 0 | 0 | 1 | No |
| Reported sending results from analyses of principal distribution to the districts included in such analyses[a] | 1 | 0 | 1 | No |
| **Number of States** | **12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

TL-3 = Ensuring equitable distribution of effective teachers and principals.

**Table B.54. State Strategies for Promoting Equitable Distribution of Effective Principals, Spring 2012**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported offering more compensation for principals who work at high-poverty or high-minority schools | 2 | 0 | 0 | Yes (TL-3) |
| Reported offering performance-based compensation for effective principals of high-poverty or high-minority schools | 2 | 0 | 0 | Yes (TL-3) |
| Reported hiring staff in high-poverty or high-minority schools and districts earlier | 2 | 0 | 0 | Yes (TL-3) |
| Reported increasing external recruitment activities | 1 | 1 | 1 | Yes (TL-3) |
| Reported improving teaching and learning environments at high-poverty or high-minority schools | 2 | 1 | 3 | Yes (TL-3) |
| Reported offering more professional development for principals working at high-poverty or high-minority schools | 3 | 0 | 1 | Yes (TL-3) |
| Reported other strategies | 1 | 0 | 2 | No |
| **Number of States** | **11–12** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

TL-3 = Ensuring equitable distribution of effective teachers and principals.

**Table B.55. Organizational Structures Intended to Improve State Capacity to Support School Turnaround**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having organizational or administrative structures intended to improve state capacity to support school turnaround in: | | | | Yes (TA-2) |
| 2007–2008[a] | 7 | 6 | 12 | |
| 2011–2012 | 12 | 7 | 26 | |
| Reported having the following organizational or administrative structures: | | | | |
| State office explicitly designated to support school turnaround in: | | | | No |
| 2007–2008[a] | 3 | 3 | 4 | |
| 2011–2012 | 12 | 5 | 11 | |
| Regional offices explicitly designated to support school turnaround in: | | | | No |
| 2007–2008[a] | 1 | 0 | 1 | |
| 2011–2012 | 4 | 2 | 3 | |
| Contracts with external consultants to support school turnaround in: | | | | No |
| 2007–2008[a] | 5 | 5 | 8 | |
| 2011–2012 | 8 | 5 | 16 | |
| State Department of Education staff explicitly designated to support school turnaround, but no state-level turnaround office in: | | | | No |
| 2007–2008[a] | 3 | 2 | 5 | |
| 2011–2012 | 1 | 1 | 15 | |
| Regional staff explicitly designated to support school turnaround, but no regional state turnaround offices, in: | | | | No |
| 2007–2008[a] | 1 | 1 | 1 | |
| 2011–2012 | 3 | 3 | 6 | |
| State-level staff or consultants to provide support to turnaround schools and districts in working with ELLs in: | | | | No |
| 2007–2008[a] | 3 | 2 | 6 | |
| 2011–2012 | 6 | 4 | 13 | |
| Monitoring or reporting requirements specifically for schools receiving SIG and/or RTT funds to implement a school intervention model in: | | | | No |
| 2007–2008[a] | 3 | 3 | 6 | |
| 2011–2012 | 11 | 5 | 26 | |
| Other structures reported in: | | | | No |
| 2007–2008[a] | 1 | 2 | 1 | |
| 2011–2012 | 4 | 5 | 5 | |
| **Number of States** | **11–12** | **5–7** | **25–30** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TA-2 = Turning around the lowest-achieving schools; ELLs = English language learners; SIG = School Improvement Grant.

**Table B.56. Flexibility Granted by States to Persistently Lowest-Achieving Schools**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported providing their persistently lowest-achieving schools with flexibility from collective bargaining agreements or state policies that guide staffing in: | | | | Yes (TA-2) |
| 2007–2008[a] | 1 | 1 | 1 | |
| 2011–2012 | 4 | 1 | 3 | |
| Reported providing flexibility on the following aspects of collective bargaining agreements or state policies: | | | | |
| Procedures for assigning or removing staff in: | | | | No |
| 2007–2008[a] | 1 | 1 | 0 | |
| 2011–2012 | 3 | 1 | 1 | |
| Requirements or policies related to staff hours and responsibilities in: | | | | No |
| 2007–2008[a] | 1 | 1 | 0 | |
| 2011–2012 | 3 | 0 | 2 | |
| Procedures related to the distribution of effective staff in: | | | | No |
| 2007–2008[a] | 1 | 0 | 0 | |
| 2011–2012 | 2 | 0 | 1 | |
| Other flexibility in: | | | | No |
| 2007–2008[a] | 1 | 1 | 1 | |
| 2011–2012 | 2 | 1 | 2 | |
| **Number of States** | **8–9** | **7** | **26** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TA-2 = Turning around the lowest-achieving schools.

**Table B.57. State Teacher Assignment Laws and Policies for Persistently Lowest-Achieving Schools**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having laws, regulations, or policies that specifically address teacher assignment for their persistently lowest-achieving schools in: | | | | Yes (TA-2) |
| 2007–2008[a] | 3 | 0 | 0 | |
| 2011–2012 | 4 | 2 | 0 | |
| Reported that their teacher assignment laws or policies for their persistently lowest-achieving schools have the following features: | | | | |
| Financial and/or other incentives for teachers to begin or continue to work in the state's lowest-achieving schools in: | | | | Yes (TA-2) |
| 2007–2008[a] | 2 | 0 | 0 | |
| 2011–2012 | 4 | 2 | 0 | |
| Financial and/or other incentives for staff with ELL expertise to begin or continue to work in the state's lowest-achieving schools in: | | | | No |
| 2007–2008[a] | 0 | 0 | 0 | |
| 2011–2012 | 0 | 0 | 0 | |
| School discretion or authority to decide which staff to hire for the lowest-achieving schools in: | | | | Yes (TA-2) |
| 2007–2008[a] | 1 | 0 | 0 | |
| 2011–2012 | 4 | 2 | 0 | |
| Teacher tenure rules that affect placement in or removal from the lowest-achieving schools in: | | | | Yes (TA-2) |
| 2007–2008[a] | 2 | 0 | 0 | |
| 2011–2012 | 2 | 0 | 0 | |
| Other teacher assignment policies in: | | | | No |
| 2007–2008[a] | 0 | 0 | 0 | |
| 2011–2012 | 0 | 0 | 0 | |
| **Number of States** | **12** | **7** | **30** | |

Source: Interviews with state administrators in spring 2012.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TA-2 = Turning around the lowest-achieving schools; ELL = English language learner.

**Table B.58. State Authority to Take Over Failing Schools**

| | Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having authority to take over failing schools in: | | | | Yes (TA-1) |
| 2007–2008[a] | 3 | 4 | 9 | |
| 2011–2012 | 5 | 5 | 11 | |
| **Number of States** | **10** | **7** | **31** | |

Source: Interviews with state administrators in spring 2012.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

TA-1 = Authority to intervene in the lowest-achieving schools and LEAs.

**Table B.59. State Restrictions on New Charter Authorization and Charter Enrollment**

| | Number of States (unless otherwise specified) | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| In spring 2012, number of states that currently permit or have ever permitted the authorization of charter schools | 12 | 6 | 23 | Yes (CH-1) |
| Among states that currently permit or have ever permitted the authorization of charter schools, percentage of state public schools that are charter schools in: | | | | No |
| 2007–2008[a] | 7.2 | 7.0 | 3.5 | |
| 2011–2012 | 9.6 | 8.7 | 4.5 | |
| Among states that currently permit or have ever permitted the authorization of charter schools, percentage of state public students that attend charter schools in: | | | | No |
| 2007–2008[a] | 5.1 | 4.3 | 2.1 | |
| 2011–2012 | 7.1 | 6.5 | 3.4 | |
| Among states that currently permit or have ever permitted the authorization of charter schools, number that reported having restrictions on the creation of new charter schools or charter enrollment in: | | | | Yes (CH-1) |
| 2007–2008[a] | 8 | 2 | 15 | |
| 2011–2012 | 6 | 1 | 10 | |
| Among states that currently permit or have ever permitted the authorization of charter schools, number that reported the following restrictions on the creation of new charter schools or charter enrollment: | | | | |
| Caps on total or maximum number of charter schools operating overall in: | | | | No |
| 2007–2008[a] | 5 | 2 | 7 | |
| 2011–2012 | 3 | 1 | 2 | |
| Caps on the number of new charters schools that may be authorized in: | | | | No |
| 2007–2008[a] | 2 | 0 | 5 | |
| 2011–2012 | 2 | 0 | 2 | |
| Restrictions on the number or percentage of students who may enroll in charter schools in: | | | | No |
| 2007–2008[a] | 1 | 0 | 1 | |
| 2011–2012 | 1 | 1 | 2 | |
| Charter schools restricted to specific districts or localities in: | | | | No |
| 2007–2008[a] | 1 | 1 | 2 | |
| 2011–2012 | 3 | 1 | 2 | |
| Moratorium on new charter schools in: | | | | No |
| 2007–2008[a] | 2 | 0 | 3 | |
| 2011–2012 | 1 | 0 | 0 | |
| Other restrictions reported in: | | | | No |
| 2007–2008[a] | 3 | 1 | 2 | |
| 2011–2012 | 1 | 1 | 2 | |
| **Number of States** | **12** | **6–7** | **20–31** | |

Source: Interviews with state administrators in spring 2012; National Alliance for Public Charter Schools Dashboard [http://dashboard.publiccharters.org/dashboard/home] accessed 8/9/2013.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

Table B.59 *(continued)*
CH-1 = Eliminating restrictions on charter school creation and enrollment.

**Table B.60. Charter School Authorizers**

| | Among States That Currently Permit or Have Ever Permitted the Authorization of Charter Schools, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported the following entities are permitted by state law to authorize charter schools: | | | | |
| State department of education and/or state board of education in: | | | | No |
| 2007–2008[a] | 7 | 5 | 13 | |
| 2011–2012 | 9 | 4 | 12 | |
| Districts in: | | | | No |
| 2007–2008[a] | 8 | 5 | 18 | |
| 2011–2012 | 8 | 5 | 18 | |
| Regional educational authority in: | | | | No |
| 2007–2008[a] | 2 | 0 | 2 | |
| 2011–2012 | 1 | 1 | 2 | |
| Independent charter school board in: | | | | No |
| 2007–2008[a] | 3 | 2 | 3 | |
| 2011–2012 | 2 | 2 | 5 | |
| Municipal government in: | | | | No |
| 2007–2008[a] | 3 | 0 | 2 | |
| 2011–2012 | 1 | 1 | 3 | |
| Colleges and/or universities in: | | | | No |
| 2007–2008[a] | 4 | 1 | 6 | |
| 2011–2012 | 3 | 2 | 10 | |
| Other non-profit organizations in: | | | | No |
| 2007–2008[a] | 1 | 0 | 1 | |
| 2011–2012 | 1 | 1 | 1 | |
| **Number of States** | **12** | **6** | **19–22** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

**Table B.61. State Monitoring of Charter Schools**

| | Among States That Currently Permit or Have Ever Permitted the Authorization of Charter Schools, Number of States | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Reported having mechanisms in place to monitor the performance of charter schools in: | | | | Yes (CH-2) |
| 2007–2008[a] | 11 | 6 | 20 | |
| 2011–2012 | 12 | 6 | 20 | |
| Reported monitoring charter school performance on the following dimensions: | | | | |
| Academic performance in: | | | | Yes (CH-2) |
| 2007–2008[a] | 11 | 6 | 19 | |
| 2011–2012 | 12 | 6 | 20 | |
| Enrollment in: | | | | Yes (CH-2) |
| 2007–2008[a] | 9 | 4 | 15 | |
| 2011–2012 | 10 | 4 | 15 | |
| Proportion of different student populations served in: | | | | Yes (CH-2) |
| 2007–2008[a] | 8 | 4 | 9 | |
| 2011–2012 | 10 | 4 | 9 | |
| Finances and budget in: | | | | Yes (CH-2) |
| 2007–2008[a] | 11 | 6 | 18 | |
| 2011–2012 | 12 | 6 | 19 | |
| Facilities in: | | | | Yes (CH-2) |
| 2007–2008[a] | 10 | 4 | 13 | |
| 2011–2012 | 11 | 4 | 12 | |
| **Number of States** | **12** | **6** | **21** | |

Source: Interviews with state administrators in spring 2012.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

CH-2 = Refining authorization and monitoring processes for charter schools.

**Table B.62. Charter School Applications and Authorizations**

| | Among States That Currently Permit or Have Ever Permitted the Authorization of Charter Schools, Mean Number (unless otherwise specified) | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Mean number of charter schools operating in the state (2011–2012 school year) | 138 | 169 | 99 | No |
| Mean number of new charter school applications submitted in the state in: | | | | No |
| 2007–2008[a] | 22 | 24 | 8 | |
| 2011–2012 | 49 | 31 | 8 | |
| Mean number of new charter schools authorized in the state in: | | | | No |
| 2007–2008[a] | 12 | 10 | 11 | |
| 2011–2012 | 16 | 17 | 10 | |
| Mean percentage of yearly charter school applications that were authorized in: | | | | No |
| 2007–2008[a] | 34 | 48 | 58 | |
| 2011–2012 | 35 | 64 | 38 | |
| **Number of States** | **10–12** | **4–6** | **10–23** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

**Table B.63. Charter School Closures**

| | Among States That Currently Permit or Have Ever Permitted the Authorization of Charter Schools, Mean Number (unless otherwise specified) | | | Item Aligned with RTT Application Criteria (Subtopic) |
|---|---|---|---|---|
| | Early RTT | Later RTT | Non-RTT | |
| Mean number of charter schools operating in the state (2011–2012 school year) | 138 | 169 | 99 | No |
| Mean number of charter schools voluntarily closed in the state in: | | | | No |
| 2007–2008[a] | 1.5 | 4.8 | 0.4 | |
| 2011–2012 | 1.3 | 5.4 | 1.3 | |
| Mean number of charter schools whose charters were revoked or not renewed in: | | | | No |
| 2007–2008[a] | 0.5 | 0.8 | 1.2 | |
| 2011–2012 | 1.1 | 2.0 | 1.9 | |
| Mean number of charter schools whose charters were revoked or not renewed for academic reasons in: | | | | No |
| 2007–2008[a] | 0.1 | 0.3 | 0.1 | |
| 2011–2012 | 0.7 | 2.3 | 0.6 | |
| Mean percentage of (involuntary) charter school closures that were due to academic reasons in: | | | | No |
| 2007–2008[a] | 0 | 100 | 7 | |
| 2011–2012 | 75 | 100 | 7 | |
| **Number of States** | **2–12** | **1–6** | **3–23** | |

Source: Interviews with state administrators in spring 2012.

Note: A range is provided for the sample sizes because nonresponse varied across items.

[a] Data from 2007–2008 were collected retrospectively in spring 2012. All data provided by states were self-reported and not independently verified by the research team. For these reasons and potential concerns about recall accuracy, readers should exercise caution when interpreting data from 2007–2008.

# APPENDIX C

# INTERVIEW QUESTIONS ALIGNED WITH RTT POLICIES AND PRACTICES

This appendix provides a crosswalk between each policy or practice aligned with the RTT application criteria and the state administrator interview questions. For each of the six RTT topic areas addressed in Chapter IV, this appendix presents a table showing the interview questions that address the area policies and practices aligned with the RTT application criteria. The state interview protocol is available at http://www.mathematica-mpr.com/publications/pdfs /spring_2012_state_interview_protocol.pdf.

**Table C.1. Interview Questions Addressing the State Capacity (SC) Topic Area Policies and Practices**

| Policy or Practice | Interview Questions Addressing the State Capacity Policy or Practice |
|---|---|
| **RTT application criterion**<br>- **The state has set forth a comprehensive and coherent reform agenda that clearly articulates its goals for implementing reforms in the four education areas described in the ARRA and improving student outcomes statewide, establishes a clear and credible path to achieving these goals, and is consistent with the specific reform plans that the state proposed throughout its application** | |
| Having a comprehensive education reform plan in place | SC1. Does your state have a comprehensive education reform plan in place, which means a plan that is intended to result in state-wide improvements in student achievement? |
| Prioritizing the adoption and implementation of college and career ready standards or assessments | SC3.To what extent (great extent, moderate extent, little extent, or not at all) is each of the following educational reform initiatives a priority in your state for the current school year? a. Adopting and implementing college and career ready standards; b. Adopting and implementing college and career ready assessments |
| Prioritizing the development of comprehensive, student-level, longitudinal data systems or using data to improve instruction | SC3.To what extent (great extent, moderate extent, little extent, or not at all) is each of the following educational reform initiatives a priority in your state for the current school year? c. Building comprehensive, student-level, longitudinal data systems; d. Using data to improve instruction |
| Prioritizing the recruiting, developing, rewarding, and retaining of effective teachers and principals, especially where they are needed most (including developing and implementing evaluation systems) | SC3.To what extent (great extent, moderate extent, little extent, or not at all) is each of the following educational reform initiatives a priority in your state for the current school year? e. Recruiting effective teachers and school leaders; f. Retaining effective teachers and school leaders; g. Rewarding effective teachers and school leaders, for example, by offering bonuses and/or increased compensation to effective teachers; h. Developing and preparing effective teachers and school leaders; i. Developing and implementing a teacher and principal evaluation system that is based on student growth; j. Improving the distribution of effective teachers and principals |
| Prioritizing the turnaround of its lowest-achieving schools | SC3.To what extent (great extent, moderate extent, little extent, or not at all) is each of the following educational reform initiatives a priority in your state for the current school year? k. Turning around the lowest-achieving schools |
| **RTT application criteria**<br>- **Ensure state has the capacity required to implement its proposed plans by providing strong leadership and dedicated teams to implement the statewide education reform plans; supporting participating LEAs in successfully implementing the education reform plans the state has proposed**<br>- **Use support from a broad group of stakeholders to better implement its plans, as evidenced by the strength of the statements or actions of support from the state's teachers and principals and other critical stakeholders** | |
| Providing leadership or teams to support the implementation of reform plans | SC6. To what extent does the state education agency play each of the following roles (a great extent, moderate extent, little extent, or not at all)? a. Creator of a state-wide vision for reforms such as articulating a vision and direction for educational improvement in the state; d. Facilitator between educational units and external expertise; e. Supporter providing direct support services to districts and schools? |

Table C.1 *(continued)*

| Policy or Practice | Interview Questions Addressing the State Capacity Policy or Practice |
|---|---|
| | SC7. Within the past year, has the state education agency provided targeted support to certain types of districts or schools for implementation of statewide education reform priorities? By targeted supports, we mean supports that are provided to a specific group of schools and/or districts for a particular purpose. For example, this might include, but is not limited to, the state providing technical assistance to districts implementing a new teacher evaluation system.<br><br>SC13. 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? For each reform area selected, please briefly describe the role assigned to intermediaries in that area. a. Implementing college and career ready standards and assessments; b. Using data to improve instruction; c. Recruiting, developing, rewarding, and retaining effective teachers and school leaders; d. Turning around your state's lowest achieving schools; e. Providing supports for English language learners; f. Increasing state capacity in any of the areas just mentioned. |
| Working with districts that have the highest achievement levels and seeking to replicate their practices statewide to implement the education reform plan | SC2. Which of the following strategies is your state using to implement this reform plan? b. Working with districts that have the highest achievement levels and seeking to replicate their practices statewide |
| Providing effective and efficient operations and processes for grant oversight and performance measure tracking and reporting | SC6. To what extent does the state education agency play each of the following roles (a great extent, moderate extent, little extent, or not at all)? b. Creator and monitor of performance measures including assessing the extent to which districts and/or schools are attaining specific performance goals; c. Compliance monitor of reform priorities such as ensuring compliance with state or federal laws and regulations<br><br>SC18. Since July 2008, has the state education agency implemented and sustained any of the following changes to support the implementation of state education reform priorities? These could include reform priorities funded by Race to the Top (if applicable), as well as statewide reform efforts funded in other ways. a. Created a new office(s) or department(s); b. Created new staff positions; c. Reorganized the structure of existing offices/departments; d. Changed laws, policies, or regulations (IF YES, SPECIFY) |
| Involving teachers, teachers unions or associations, or school administrators in defining its education reform initiatives or priorities | SC5. To what extent (great extent, moderate extent, little extent, or not at all) are each of the following individuals or groups involved in defining your state's education reform initiatives or priorities? c. Teachers; d. State teachers union or association; i. School administrators |
| Involving other stakeholders in defining its education reform initiatives or priorities | SC5. To what extent (great extent, moderate extent, little extent, or not at all) are each of the following individuals or groups involved in defining your state's education reform initiatives or priorities? a. Governor's office; b. State legislature; e. Businesses; f. Civil rights leaders; g. Local school boards; h. State school board; j. Parent, student and community organizations such as parent teacher organizations, local education foundations, community based organizations, or advocacy groups; k. Institutes of higher education including teacher and principal preparation programs or schools of education |

Source: Interviews with state administrators in spring 2012.

**Table C.2. Interview Questions Addressing the Standards and Assessments (SA) Topic Area Policies and Practices**

| Policy or Practice | Interview Questions Addressing the Standards and Assessments Policy or Practice |
|---|---|
| **RTT application criterion**<br>- **Commitment to adopting a common set of high-quality standards, evidenced by participation in a consortium of states that is working jointly to develop and adopt a common set of K–12 standards** | |
| Adopting the Common Core State Standards (CCSS) in both English/language arts and math | SA1. Did your state adopt the Common Core State Standards in both English/language arts and math, math only, English/language arts only, or neither subject?<br><br>SA3. What proportion of your total English/language arts and math standards are state-specific (meaning they are not part of the Common Core State Standards)? Please report separate percentages for English/language arts and math. |
| **RTT application criterion**<br>- **Commitment to improving the quality of assessments, evidenced by participation in a consortium of states that is working jointly to develop and implement common, high-quality assessments** | |
| Participating in a consortium of states to develop assessments aligned to CCSS | SA7. Is your state participating in a consortium to develop assessments aligned to [the Common Core State Standards/your current state standards]? |
| Has specified the school year by which state plans to fully implement summative assessments being developed by the consortium | SA9. In what school year does your state plan to fully implement, as opposed to pilot test, the summative assessments in English/language arts and math that are being developed by the consortium(a) in which you are participating? Please report the year by which you plan to fully implement the summative assessments being developed by the consortium in both subjects. |
| **RTT application criterion**<br>- **Supporting the statewide transition to and implementation of K–12 standards that build toward college and career readiness by the time of high school graduation and high-quality assessments tied to these standards** | |
| Supporting the implementation of CCSS by providing funds for additional staff or making new technology investments | SA14. For which of the following purposes were these funds designated? e. Fund additional staff either externally contracted or hired internally[a]<br><br>SA15. Since the adoption of [the Common Core State Standards/your current state standards], has the state made investments in new technology to assist with implementation of the standards? |
| Supporting the implementation of the assessments associated with the CCSS by making new technology investments | SA17. Since the adoption of [the Common Core State Standards/your current state standards], has the state made investments in new technology to assist with implementation of the assessments associated with those standards? |
| Requiring or supporting the use of new instructional materials for implementing the CCSS | SA12. Since the adoption of [the Common Core State Standards/your current state standards], has your state made any of the following types of changes to state policies and practices in response to the adoption of such standards? a. Required use of new curricula or textbooks<br><br>SA14. For which of the following purposes were these funds designated? b. Curriculum/textbook purchase[a]<br><br>SA19. Since adoption of [the Common Core State Standards/your current state standards], has the state provided any materials to help practitioners understand the standards and/or change instruction based on the standards? |

Table C.2 *(continued)*

| Policy or Practice | Interview Questions Addressing the Standards and Assessments Policy or Practice |
|---|---|
| Developing, supporting, or requiring new interim assessments associated with the CCSS | SA12. Since the adoption of [the Common Core State Standards/your current state standards], has your state made any of the following types of changes to state policies and practices in response to the adoption of such standards? b. Required use of new, state-approved interim assessments<br><br>SA14. For which of the following purposes were these funds designated? c. Development or purchase of interim assessments or item banks; d. Purchase hardware or software needed to implement standards or assessments[a] |
| Changing high school exit requirements or college entrance requirements | SA12. Since the adoption of [the Common Core State Standards/your current state standards], has your state made any of the following types of changes to state policies and practices in response to the adoption of such standards? c. Changed credit or course requirements such as adopting use of competency-based credit for courses or subject knowledge; d. Changed the content of the state's high school exit exam; e. Changed the performance standard on the high school exit exam; f. Changed the college entrance requirements for the state college/university system |
| Changing policies about or providing funds for professional development, training, and technical assistance for teachers or school leaders to support implementation of CCSS | SA12. Since the adoption of [the Common Core State Standards/your current state standards], has your state made any of the following types of changes to state policies and practices in response to the adoption of such standards? g. Changed policies related to teachers and/or school leaders such as licensure, certification, or annual professional development requirements<br><br>SA14. For which of the following purposes were these funds designated? a. Professional development[a]<br><br>SA21. Since adoption of [the Common Core State Standards/your current state standards], has the state provided any professional development, training, or technical assistance (either directly or through an intermediary) to districts and/or schools to support implementation of the standards? |
| Supporting districts or schools in implementing the CCSS with English language learners | SA25. Since the adoption of [the Common Core State Standards/your current state standards], has the state provided any supports to districts and/or schools specifically designed to aid in the implementation of the state's standards with English language learners? This might include, but is not limited to, funds, professional development, technical assistance, or materials to support use of standards with English language learners. |

Source: Interviews with state administrators in spring 2012.

[a] This item followed a screener question that asked "Since the adoption of [the Common Core State Standards/your current state standards], has the state provided any funds to districts and/or schools to support implementation of the new standards?"

**Table C.3. Interview Questions Addressing the Data Systems (DA) Topic Area Policies and Practices**

| Policy or Practice | Interview Addressing Comprising the Data Systems Policy or Practice |
|---|---|
| **RTT application criterion:**<br>**Fully implement a state longitudinal data system (SLDS) that includes all of the America COMPETES Act elements** | |
| Having an SLDS | DA1. Does your state currently have a statewide longitudinal data system? |
| SLDS has student-level enrollment and program participation information | DA16. Which of the following types of data specifically related to English language learner students are currently included in your state's longitudinal data system(s)? a. Students currently identified as English language learners; b. Students formerly identified as English language learners; c. Students' English language proficiency test scores; d. English language learners' proficiency in their native (home) language; e. Student participation in bilingual education programs, defined as programs that focus on developing literacy in two languages, which include non-English speakers and may include English speakers, and which involve instruction in English and another language; f. Student participation in other educational programs specifically designed for English language learners; g. Student's native language; h. Number of years the student has lived in U.S.; k. The number of years that students have received English language instructional services; l. The length of time it took for an English language learner to exit English language learners status |
| SLDS is linked to an early childhood data system | DA2. We are now going to ask you about data systems other than your state's K–12 system, and whether they are linked to your state's K–12 education longitudinal data system, which means that data stored in these other systems can be accessed through the K–12 system. For each of the following data systems please indicate if they are currently linked to the state's K–12 longitudinal education data system. a. Early childhood |
| SLDS is linked to a higher education data system | DA2. We are now going to ask you about data systems other than your state's K–12 system, and whether they are linked to your state's K–12 education longitudinal data system, which means that data stored in these other systems can be accessed through the K–12 system. For each of the following data systems please indicate if they are currently linked to the state's K–12 longitudinal education data system. b. Higher education |
| **RTT application criterion:**<br>- **Ensure that key stakeholders (for example, principals, teachers, parents, community members, administrators) have access to and use data from the SLDS to support decision makers in continuous improvement efforts in areas such as policy, instruction, operations, management, resource allocation, and overall effectiveness** | |
| SLDS can be accessed by stakeholders | DA3. Which of the following groups currently has access to data from the state longitudinal data system? a. State Department of Education; b. district staff; c. principals; d. teachers; e. colleges and universities; f. external researchers |
| SLDS is used to inform and engage stakeholders and support decision makers in continuous improvement efforts | DA10. For which of the following purposes are data in the state longitudinal data system currently used by state-level staff? a. To track overall school performance; b. to evaluate instructional programs; c. To inform professional development offerings such as identifying specific content or skills where teachers need assistance or support; d. To evaluate the success of professional development offerings for teachers or principals; e. To inform resource allocation, such as which schools and students receive which programs or which staff work with which students; f. To provide information to teachers about their students' progress; g. To provide information to parents about the school or their children; h. To provide information to students about their own progress; i. To track students' postsecondary enrollment and progress after high school graduation, such as credits earned in public colleges or universities in the state; j. To provide information to federal agencies (for example, EDFacts) |
| **RTT application criteria:**<br>- **Increase the acquisition, adoption, and use of local instructional improvement systems; support participating LEAs and schools that use instructional improvement systems in providing effective professional development to teachers, principals, and administrators on how to use these systems**<br>- **Make data from instructional improvement systems, together with SLDS data, available to researchers to evaluate the effectiveness of instructional materials, strategies, and approaches for educating different types of students** | |
| Requiring districts to implement district data systems | DA11. Does the state require districts to implement district state systems as defined above? (we will refer to local instructional improvement systems as district data systems, which are technologically based tools or strategies that provide educators with data to manage continuous instructional improvement efforts) |

Table C.3 *(continued)*

| Policy or Practice | Interview Addressing Comprising the Data Systems Policy or Practice |
|---|---|
| Providing funding, materials, training, technical assistance, or other supports to districts to encourage the use of data to improve instruction | DA12. Within the past year, has the state provided funding, materials, training, technical assistance, or other supports to districts to encourage the use of data to improve instruction? |

Source: Interviews with state administrators in spring 2012.

**Table C.4. Interview Questions Addressing the Teacher and Principal Certification and Evaluation (TL) Topic Area Policies and Practices**

| Policy or Practice | Interview Questions Addressing the Teacher and Principal Certification and Evaluation Policy or Practice |
|---|---|
| **RTT application criteria:**<br>**- Legal, statutory, or regulatory provisions that allow alternative routes to certification for teachers and principals, particularly routes that allow for providers in addition to higher education institutions**<br>**- Alternative routes to teacher and principal certification that are in use**<br>**- A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage** | |
| Authorizing or expanding institutions qualified to operate alternative-route programs for teachers | TL2. Currently, which of the following groups are authorized to operate alternative teacher certification programs in your state? a. Institutions of higher education; b. School districts; c. Educational service districts or cooperatives in your state; d. Nonprofit organizations such as Teach for America; e. Partnerships or collaborations between groups listed above<br><br>TL5. Within the past year, did the state implement any of the following types of changes to state regulations or policies related to either traditional teacher preparation programs or alternative teacher certification programs in the state? a. Expanded the types of institutions qualified to operate teacher preparation programs to include providers operating independently of institutions of higher education |
| Adopting policies to increase the selectivity of alternative-route programs for teachers | TL5. Within the past year, did the state implement any of the following types of changes to state regulations or policies related to either traditional teacher preparation programs or alternative teacher certification programs in the state? b. Adopted policies or regulations designed to increase the selectivity of teacher preparation programs |
| Adopting policies to increase the amount of mentoring for participants in teacher certification programs or the time such participants spend in school-based learning experiences | TL5. Within the past year, did the state implement any of the following types of changes to state regulations or policies related to either traditional teacher preparation programs or alternative teacher certification programs in the state? c. Adopted policies or regulations designed to increase the amount of time students in teacher preparation programs spend in supervised, school-based learning experiences; d. Adopted policies or regulations to increase the amount of mentoring and/or coaching that students in teacher preparation programs receive |
| Adopting policies allowing alternative-route programs for teachers to award the same type of certification as traditional preparation programs | TL5. Within the past year, did the state implement any of the following types of changes to state regulations or policies related to either traditional teacher preparation programs or alternative teacher certification programs in the state? e. Adopted policies or regulations that allow alternative certification programs to award the same type of certification that traditional preparation programs award |
| Groups are currently operating alternative-route programs for teachers | TL1. Currently, does the state authorize alternative routes to certification for teachers?<br><br>TL2. Currently, which of the following groups are authorized to operate alternative teacher certification programs in your state?<br><br>TL3. Are they currently operating such programs in your state? a. Institutions of higher education; b. School districts; c. Educational service districts or cooperatives in your state; d. Nonprofit organizations such as Teach for America; e. Partnerships or collaborations between groups listed above |
| Having a process to identify areas of teacher shortages | TL14. Does the state currently have a process to identify areas of teacher shortages? |

Table C.4 *(continued)*

| Policy or Practice | Interview Questions Addressing the Teacher and Principal Certification and Evaluation Policy or Practice |
|---|---|
| Taking steps to address areas of teacher shortage | TL17. Within the past year, has the state taken any of the following steps to address these areas of teacher shortage? a. Enacted policies allowing traditional teacher preparation programs to expand the number of students served; b. Enacted policies allowing alternative teacher preparation programs to expand the number of students served; c. Provided incentives for teachers to become certified in areas of shortage (SPECIFY); d. Notified teacher preparation programs about the areas of shortage; e. Encouraged teacher preparation programs to train more teachers in the areas of shortage; f. Developed or began developing new alternative teacher certification programs focused on the areas of shortage; g. Increased the amount of induction support for novice teachers with the goal of reducing teacher attrition in areas of shortage |
| Authorizing or expanding institutions qualified to operate alternative-route programs for principals | TL19. Currently, which of the following groups are authorized to operate alternative principal certification programs in your state? a. Institutions of higher education; b. School districts; c. Educational service districts or cooperatives in your state; d. Nonprofit organizations such as Teach for America; e. Partnerships or collaborations between groups listed above<br><br>TL22. Within the past year, did the state implement any of the following types of changes to state regulations or policies related to either traditional principal preparation programs or alternative principal certification programs in the state? a. Expanded the types of institutions qualified to operate principal preparation programs to include providers operating independently of institutions of higher education |
| Adopting policies to increase the selectivity of alternative-route programs for principals | TL22. Within the past year, did the state implement any of the following types of changes to state regulations or policies related to either traditional principal preparation programs or alternative principal certification programs in the state? b. Adopted policies or regulations designed to increase the selectivity of principal preparation programs |
| Adopting policies to increase the amount of mentoring for participants in principal certification programs or the time such participants spend in school-based learning experiences | TL22. Within the past year, did the state implement any of the following types of changes to state regulations or policies related to either traditional principal preparation programs or alternative principal certification programs in the state? c. Adopted policies or regulations designed to increase the amount of time students in principal preparation programs spend in supervised, school-based learning experiences |
| Adopting policies allowing alternative-route programs for principals to award the same type of certification as traditional preparation programs | TL22. Within the past year, did the state implement any of the following types of changes to state regulations or policies related to either traditional principal preparation programs or alternative principal certification programs in the state? e. Adopted policies or regulations that allow alternative certification programs to award the same type of certification that traditional preparation programs award |
| Groups are currently operating alternative-route programs for principals | TL18. Currently, does the state authorize or permit alternative routes to certification for principals?<br><br>TL19. Currently, which of the following groups are authorized to operate alternative principal certification programs in your state?<br><br>TL20. Are they currently operating such programs in your state? a. Institutions of higher education; b. School districts; c. Educational service districts or cooperatives in your state; d. Nonprofit organizations such as Teach for America; e. Partnerships or collaborations between groups listed above |
| Having a process to identify areas of principal shortages | TL31. Does the state currently have a process to identify areas of principal shortages? |

Table C.4 *(continued)*

| Policy or Practice | Interview Questions Addressing the Teacher and Principal Certification and Evaluation Policy or Practice |
|---|---|
| Taking steps to address areas of principal shortage | TL34. Within the past year, has the state taken any of the following steps to address these areas of principal shortage? a. Enacted policies allowing traditional principal preparation programs to expand the number of students served; b. Enacted policies allowing alternative principal preparation programs to expand the number of students served; c. Provided incentives for principals to become certified in areas of shortage (SPECIFY); d. Notified principal preparation programs about the areas of shortage; e. Encouraged principal preparation programs to train more principals in the areas of shortage; f. Developed or began developing new alternative principal certification programs focused on the areas of shortage; g. Increased the amount of induction support for novice principals with the goal of reducing principal attrition in areas of shortage |
| **RTT application criteria:**<br>**- Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that differentiate effectiveness using multiple rating categories that take into account data on student growth as a significant factor**<br>**- Conduct annual evaluations of teachers and principals that include timely and constructive feedback**<br>**- Use evaluations, at minimum, to inform decisions regarding: developing teachers and principals, including by providing relevant coaching, induction support, or professional development; compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals to obtain additional compensation and be given additional responsibilities; removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures** | |
| Requiring districts to use student growth to evaluate teachers and specifying the extent to which student achievement growth must factor into teacher evaluations | TL38.Currently, do state regulations specify the extent to which evidence of student growth must factor into the overall teacher evaluation? For example, regulations may call for it to be a "significant" factor in evaluations or call for student growth to have a specific weight such as 20 percent. If this is specified in state regulations, please describe those specific regulations.<br><br>[Note: TL36 (shown in the next row) was also used to address the policy in this row. Specifically, this policy was coded as 0 if either the response to TL38 was "no" or the response to TL36 was "no teachers."] |
| Requiring multiple performance measures for teacher evaluations | TL36. Currently, does the state require that districts use student growth as one measure when evaluating all teachers, some teachers, or no teachers?<br><br>TL42. Other than the student growth performance measure we just discussed, which of the following other measures of teacher performance are currently required by the state for teacher evaluations for teachers in tested grades and/or subjects? a. Classroom observations conducted by the principal; b. Classroom observations conducted by a school administrator other than the principal; c. Classroom observations conducted by someone other than a school administrator, such as a peer or mentor teacher; d. self-assessment; e. portfolios or other artifacts of teacher practice; f. Peer assessments other than classroom observations; g. Student work samples; h. Student surveys or other feedback; i. Parent surveys or other feedback<br><br>TL43. Other than the student growth performance measure we just discussed, which of the following other measures of teacher performance are currently required by the state for teacher evaluations for teachers in non-tested grades and/or subjects? a. Classroom observations conducted by the principal; b. Classroom observations conducted by a school administrator other than the principal; c. Classroom observations conducted by someone other than a school administrator, such as a peer or mentor teacher; d. self-assessment; e. portfolios or other artifacts of teacher practice; f. Peer assessments other than classroom observations; g. Student work samples; h. Student surveys or other feedback; i. Parent surveys or other feedback |
| Specifying a required minimum number of rating categories to be used when evaluating teachers | TL44. Do state regulations specify a required minimum number of rating levels to be used when evaluating overall teacher performance? If so, what is the minimum number of rating categories that is required? |

Table C.4 *(continued)*

| Policy or Practice | Interview Questions Addressing the Teacher and Principal Certification and Evaluation Policy or Practice |
|---|---|
| Conducting annual evaluations of teachers | TL40. Currently, how often does the state require that teachers be evaluated during their probationary period? For example, every six months, annually, every other year, or at some other interval?<br><br>TL41. Currently, how often does the state require that teachers be evaluated in their non-probationary period? For example, every six months, annually, every other year, or at some other interval? |
| Requiring teacher evaluations to inform decisions about professional development and support for individual teachers | TL60. Currently, does the state prohibit, permit, or require teacher evaluation results to be used for any of the following purposes? Please select just one answer for each potential use. If your state both permits and requires that evaluation results be used for a particular purpose, please report that purpose as required. a. To guide decisions about professional development and support for individual teachers |
| Requiring teacher evaluations to inform decisions about compensation | TL60. Currently, does the state prohibit, permit, or require teacher evaluation results to be used for any of the following purposes? Please select just one answer for each potential use. If your state both permits and requires that evaluation results be used for a particular purpose, please report that purpose as required. c. To guide decisions about annual teacher salary increases; d. To guide decisions about teacher bonuses or performance-based compensation other than salary |
| Requiring teacher evaluations to inform decisions about career advancement | TL60. Currently, does the state prohibit, permit, or require teacher evaluation results to be used for any of the following purposes? Please select just one answer for each potential use. If your state both permits and requires that evaluation results be used for a particular purpose, please report that purpose as required. e. To guide decisions about career advancement opportunities |
| Requiring teacher evaluations to inform decisions about dismissal of teachers | TL60. Currently, does the state prohibit, permit, or require teacher evaluation results to be used for any of the following purposes? Please select just one answer for each potential use. If your state both permits and requires that evaluation results be used for a particular purpose, please report that purpose as required. b. To guide decisions about dismissal of teachers |
| Requiring districts to use student growth to evaluate principals and specifying the extent to which student achievement growth must factor into principal evaluations | TL75.Currently, do state regulations specify the extent to which evidence of student growth must factor into the overall principal evaluation? For example, regulations may call for it to be a “significant” factor in evaluations or call for student growth to have a specific weight such as 20 percent. If this is specified in state regulations, please describe those specific regulations.<br><br>[Note: TL74 (shown in the next row) was also used to address the policy in this row. Specifically, this policy was coded as 0 if either the response to TL75 was “no” or the response to TL74 was “no principals.”] |
| Requiring multiple performance measures for principal evaluations | TL74. Currently, does the state require that all districts use student growth as one measure when evaluating all principals, some principals, or no principals?<br><br>TL77. Other than the student growth measure we just discussed, which of the following other measures of principal performance are currently required by the state? a. Self-assessment; b. District administrator input; c. Staff surveys or other feedback; d. Student surveys or other feedback |
| Specifying a required minimum number of rating categories to be used when evaluating principals | TL78. Do state regulations specify a required minimum number of rating levels to be used when evaluating principal performance? If so, what is the minimum number of rating categories that is required? |
| Requiring principal evaluations to inform decisions about professional development and support for individual principals | TL89. Currently, does the state prohibit, permit, or require principal evaluation results to be used for any of the following purposes? Please select just one answer for each potential use. If your state both permits and requires that evaluation results be used for a particular purpose, please report that purpose as required. a. To guide decisions about professional development and support for principals |

Table C.4 *(continued)*

| Policy or Practice | Interview Questions Addressing the Teacher and Principal Certification and Evaluation Policy or Practice |
|---|---|
| Requiring principal evaluations to inform decisions about compensation | TL89. Currently, does the state prohibit, permit, or require principal evaluation results to be used for any of the following purposes? Please select just one answer for each potential use. If your state both permits and requires that evaluation results be used for a particular purpose, please report that purpose as required. c. To guide decisions about principal salary increases; d. To guide decisions about principal bonuses or performance-based compensation other than salary |
| Requiring principal evaluations to inform decisions about career advancement | TL89. Currently, does the state prohibit, permit, or require principal evaluation results to be used for any of the following purposes? Please select just one answer for each potential use. If your state both permits and requires that evaluation results be used for a particular purpose, please report that purpose as required. e. To guide decisions about career advancement opportunities |
| Requiring principal evaluations to inform decisions about dismissal of principals | TL89. Currently, does the state prohibit, permit, or require principal evaluation results to be used for any of the following purposes? Please select just one answer for each potential use. If your state both permits and requires that evaluation results be used for a particular purpose, please report that purpose as required. b. To guide decisions about dismissal of principals. |
| **RTT application criterion:**<br>**- Ensure the equitable distribution of teachers and principals by developing a plan to ensure that students in high-poverty or high-minority schools have equitable access to highly effective teachers and principals and are not served by ineffective teachers and principals at higher rates than other students** | |
| Requiring districts or schools to use strategies to promote a more equitable distribution of effective teachers | TL68. Currently, does your state require that districts and/or schools use any of the following strategies aimed at promoting a more equitable distribution of effective teachers between high-poverty or high-minority schools and low-poverty or low-minority schools? a. Offer more compensation for staff who teach at high-poverty or high-minority schools; b. Offer performance-based compensation for effective teachers who teach at high-poverty or high-minority schools; c. Hire staff in high-poverty or high-minority schools and districts earlier; d. Increase external recruitment activities such as open houses, job fairs, presentations, or advertisements; e. Improve teaching and learning environments at high-poverty or high-minority schools such as improved opportunities for collaboration, improved school leadership, or improved facility quality; f. Offer more professional development, mentoring, or induction for teachers working at high-poverty or high-minority schools |
| Conducting analyses of teacher effectiveness based on student achievement growth to determine whether there has been a shift in the distribution of effective teachers | TL69. Within the past year, has your state conducted analyses to determine whether there has been a shift in the distribution of effective teachers between high-poverty or high-minority schools and low-poverty or low-minority schools?<br><br>TL70. Which of the following factors were examined in these analyses? a. Teacher effectiveness based on student growth such as average teacher effectiveness ratings in schools, proportion of teachers rated as highly effective in schools, or the distribution of teachers by rating categories in schools |
| Requiring districts or schools to use strategies to promote a more equitable distribution of effective principals | TL94. Currently, does your state require that districts and/or schools use any of the following strategies aimed at promoting a more equitable distribution of effective principals between high-poverty or high-minority schools and low-poverty or low-minority schools? a. Offer more compensation for principals who work at high-poverty or high-minority schools; b. Offer performance-based compensation for effective principals of high-poverty or high-minority schools; c. Hire staff in high-poverty or high-minority schools and districts earlier; d. Increase external recruitment activities such as open houses, job fairs, presentations, or advertisements; e. Improve teaching and learning environments at high-poverty or high-minority schools such as improved opportunities for collaboration, improved school leadership, or improved facility quality; f. Offer more professional development for principals working at high-poverty or high-minority schools, such as training, coaching, or principal academies |

Table C.4 *(continued)*

| Policy or Practice | Interview Questions Addressing the Teacher and Principal Certification and Evaluation Policy or Practice |
|---|---|
| Conducting analyses of principal effectiveness based on student achievement growth to determine whether there has been a shift in the distribution of effective principals | TL95. Within the past year, has your state conducted analyses to determine whether there has been a shift in distribution of effective principals between high-poverty or high-minority schools and low-poverty or low-minority schools?<br><br>TL96. Which of the following factors were examined in these analyses? b. Principal effectiveness ratings based on student growth |
| **RTT application criteria:**<br>**- Link student achievement and student growth data to the students' teachers and principals and in-state teacher and principal preparation programs and publicly report the data for each credentialing program in the state**<br>**- Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals** | |
| Using teacher effectiveness ratings (based in part on student achievement growth) to assess the effectiveness of teacher certification programs | TL11. Currently, which of the following types of information does the state use to assess the effectiveness of teacher certification programs? Please indicate if each type of information is used for assessing effectiveness of traditional certification programs only, alternative certification programs only, both traditional and alternative programs, or neither. d. The effectiveness ratings (based in part on student growth) of credentialed teachers from each program |
| Publicly reporting results from its evaluations of teacher certification program effectiveness | TL12. Within the past year, did the state use the results from its evaluations of teacher certification programs in any of the following ways? For each potential use, please indicate if it was used for traditional certification programs only, alternative certification programs only, both traditional and alternative programs, or neither. f. Publicly reported results for each program |
| Using results from its evaluations of teacher certification programs to provide additional funds for, expand, or promote certification programs that were shown to be effective | TL12. Within the past year, did the state use the results from its evaluations of teacher certification programs in any of the following ways? For each potential use, please indicate if it was used for traditional certification programs only, alternative certification programs only, both traditional and alternative programs, or neither. b. Provided additional state funding to certification programs that were shown to be effective; c. Expanded and/or promoted certification programs that were shown to be effective |
| Using principal effectiveness ratings (based in part on student achievement growth) to assess the effectiveness of principal certification programs | TL28. Currently, which of the following types of information does the state use to assess the effectiveness of principal certification programs? Please indicate if each type of information is used for assessing effectiveness of traditional certification programs only, alternative certification programs only, both traditional and alternative programs, or neither. d. The effectiveness ratings (based in part on student growth) of credentialed principals from each program |
| Publicly reporting results from its evaluations of principal certification program effectiveness | TL29. Within the past year, did the state use the results from its evaluations of principal certification programs in any of the following ways? For each potential use, please indicate if it was used for traditional certification programs only, alternative certification programs only, both traditional and alternative programs, or neither. f. Publicly reported results for each program |
| Using results from its evaluations of principal certification programs to provide additional funds, expand, or promote certification programs that were shown to be effective | TL29. Within the past year, did the state use the results from its evaluations of principal certification programs in any of the following ways? For each potential use, please indicate if it was used for traditional certification programs only, alternative certification programs only, both traditional and alternative programs, or neither. b. Provided additional state funding to certification programs that were shown to be effective c. Expanded and/or promoted certification programs that were shown to be effective |

Source: Interviews with state administrators in spring 2012.

**Table C.5. Interview Questions Addressing the School Turnaround (TA) Topic Area Policies and Practices**

| Policy or Practice | Interview Questions Addressing the School Turnaround Policy or Practice |
|---|---|
| **RTT application criterion:**<br>**- Intervene directly in the lowest-achieving schools and LEAs that are in improvement or corrective action status** | |
| Having the authority to take over failing schools | TA43. Does your state currently have the authority to take over failing schools? |
| **RTT application criterion:**<br>**- Support LEAs whose lowest-achieving schools are implementing one of the four school intervention models: turnaround model, restart model, school closure, or transformation model** | |
| Providing training to the lowest-achieving schools or LEAs on analyzing student assessment data to improve instruction | TA29. Which of the following types of training and/or technical assistance has the state provided in the current school year to support the improvement efforts of the persistently lowest-achieving schools in your state and/or the districts in which these schools are located? Please report technical assistance provided directly by state Department of Education staff as well as technical assistance funded by the state but provided by someone other than state Department of Education staff, for example, an external consultant or staff from a regional office. a. Training on analyzing student assessment data to improve instruction |
| Helping the lowest-achieving schools or LEAs align curricula to state standards | TA29. Which of the following types of training and/or technical assistance has the state provided in the current school year to support the improvement efforts of the persistently lowest-achieving schools in your state and/or the districts in which these schools are located? e. Help aligning school curricula to state standards |
| Providing training to the lowest-achieving schools or LEAs on identifying and implementing effective curricula, instructional strategies, or school intervention models, or developing and implementing a school improvement plan | TA29. Which of the following types of training and/or technical assistance has the state provided in the current school year to support the improvement efforts of the persistently lowest-achieving schools in your state and/or the districts in which these schools are located? c. Training on developing and implementing a school improvement plan; d. Training on identifying and implementing effective curricula, instructional strategies, or school intervention models |
| Providing training to the lowest-achieving schools or LEAs on identifying and implementing strategies to address the needs of ELLs | TA29. Which of the following types of training and/or technical assistance has the state provided in the current school year to support the improvement efforts of the persistently lowest-achieving schools in your state and/or the districts in which these schools are located? f. Training on identifying and implementing strategies to address the needs of English language learners |
| Providing technical assistance to the lowest-achieving schools or LEAs on improving the quality of professional development | TA29. Which of the following types of training and/or technical assistance has the state provided in the current school year to support the improvement efforts of the persistently lowest-achieving schools in your state and/or the districts in which these schools are located? g. Assistance on improving the quality of professional development |

Table C.5 *(continued)*

| Policy or Practice | Interview Questions Addressing the School Turnaround Policy or Practice |
|---|---|
| Providing operational flexibility and support to lowest-achieving schools or LEAs with regard to staffing and budgeting | TA29. Which of the following types of training and/or technical assistance has the state provided in the current school year to support the improvement efforts of the persistently lowest-achieving schools in your state and/or the districts in which these schools are located? h. Assistance on analyzing and revising budgets to use resources more effectively<br><br>TA22. Do the state's current teacher assignment laws or policies for persistently lowest-achieving schools include any of the following features? e. School discretion or authority to decide which staff to hire for the persistently lowest-achieving schools<br><br>TA17. Does the state currently provide persistently lowest-achieving schools any flexibility with, or exemptions from, collective bargaining agreements or policies that guide staffing in your state's schools?<br><br>TA25. Thinking specifically about your state's persistently lowest-achieving schools, does the state, the districts, or individual schools currently have primary responsibility for the following? a. Setting student discipline policies; b. Developing school budgets; c. Establishing the curriculum including core texts; d. Setting student assessment policies except state mandated tests; e. Staff hiring, discipline, and dismissal; f. Determining the length of the school day; g. Determining the length of the school year; h. Setting requirements for professional development |
| Implementing or providing technical assistance on strategies to recruit and retain effective teachers (such as financial incentives) | TA29. Which of the following types of training and/or technical assistance has the state provided in the current school year to support the improvement efforts of the persistently lowest-achieving schools in your state and/or the districts in which these schools are located? i. Assistance on developing strategies to recruit and retain more effective teachers<br><br>TA22. Do the state's current teacher assignment laws or policies for persistently lowest-achieving schools include any of the following features? a. Financial incentives for teachers to begin or continue to work in the state's persistently lowest-achieving schools<br><br>TA22. Do the state's current teacher assignment laws or policies for persistently lowest-achieving schools include any of the following features? b. Other retention or recruitment efforts specifically targeted at the state's persistently lowest-achieving schools (SPECIFY) |
| Having teacher tenure rules that affect placement in or removal from the lowest-achieving schools | TA22. Do the state's current teacher assignment laws or policies for persistently lowest-achieving schools include any of the following features? f. Teacher tenure rules that affect placement in or removal from the persistently lowest-achieving schools |
| Having state-level administrative structures intended to support school turnaround efforts | TA13. Does the state currently have any organizational or administrative structures specifically intended to improve state capacity to support school turnaround efforts?<br><br>TA32. Which of the following groups are responsible for monitoring the state's persistently lowest-achieving schools? a. State department of education<br><br>TA37. Does the state provide additional reporting or support for persistently lowest-achieving schools that miss improvement targets? |

Source: Interviews with state administrators in spring 2012.

**Table C.6. Interview Questions Addressing the Charter Schools (CH) Topic Area Policies and Practices**

| Policy or Practice | Interview Questions Addressing the Charter School Policy or Practice |
|---|---|
| **RTT application criterion:**<br>**- Have a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools in the state** | |
| Having no restrictions on the creation of new charter schools or charter enrollment | CH3. Currently, does the state have any restrictions on the creation of new charter schools and/or charter enrollment? |
| **RTT application criterion:**<br>**- Have laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools** | |
| In considering applications for new charter schools, giving priority to schools that propose to address needs of or target ELLs | CH9. In considering applications for new charter schools, does your state give priority to schools that specifically propose to address the needs of and/or explicitly target English language learners? |
| Monitoring the academic performance of charter schools | CH13. On which of the following dimensions is charter school performance currently monitored by the state or its agent(s)? a. Academic performance |
| Monitoring the non-academic performance of charter schools | CH13. On which of the following dimensions is charter school performance currently monitored by the state or its agent(s)? b. Enrollment; c. Proportion of different student populations served such as English language learners; d. Finances and budget; e. Facilities |

Source: Interviews with state administrators in spring 2012.

# APPENDIX D

# ADDITIONAL INFORMATION ABOUT ENGLISH LANGUAGE LEARNER-FOCUSED ANALYSES FOR THE RTT COMPONENT OF THE EVALUATION

This appendix contains additional information that is directly related to the English language learner (ELL)-focused analyses presented in Chapter V. In particular, this appendix lists the interview questions that address the ELL-focused policies and practices aligned with the Race to the Top (RTT) application criteria (Table D.1).

**Table D.1. Interview Questions Addressing the ELL-Focused Policies and Practices**

| ELL-Focused Policy or Practice | Interview Questions |
|---|---|
| Prioritizing the adoption and implementation of supports to ELLs | SC3. To what extent (great extent, moderate extent, little extent, or not at all) is each of the following educational reform initiatives a priority in your state for the current school year? l. Providing supports to ELLs<br><br>SC21. Which of the following statements best characterizes how ELLs fit into your state's current education reform priorities? 1- ELLs are an explicit, central priority of statewide reform efforts, 2- English language learners are an emerging priority of statewide reform efforts, 3- Statewide reform efforts are designed to address the needs of all students, including ELLs |
| Providing targeted support or working with intermediaries to provide support to ELLs | SC8.To which of the following types of districts and/or schools has the state provided targeted support for implementation of statewide education reforms? By targeted supports, we mean supports that are provided to a specific group so schools and/or districts for a particular purpose. c. Districts and/or schools with high proportions of ELLs<br><br>SC13. 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? For each reform area selected, please briefly describe the role assigned to intermediaries in that area. e. Providing supports for ELLs |
| Implementing organizational or administrative changes to improve capacity to support ELLs | SC22. Since July 2008, has the state education agency implemented any of the following organizational or administrative changes to improve its capacity to address the needs of ELLs? a. Increased number of state Department of Education staff with ELL expertise b. Reorganized the structure of existing offices or department with ELL responsibility or increased the collaboration of staff across these offices or departments c. Increased use of external consultants with ELL expertise d. Increased ELL expertise within regional offices e. Redefined specific policies to better meet the needs of ELLs |
| Supporting districts or schools in implementing the Common Core State Standards with ELLs | SA25. Since the adoption of [the Common Core State Standards/your current state standards], has the state provided any supports to districts and/or schools specifically designed to aid in the implementation of the state's standards with ELL? This might include, but is not limited to, funds, professional development, technical assistance, or materials to support use of standards with ELLs |
| State longitudinal data system has program participation information about ELLs | DA16. Which of the following types of data specifically related to ELL students are currently included in your state's longitudinal data system(s)? a. Students currently identified as ELLs b. Students formerly identified as ELLs c. Students' English language proficiency test scores d. ELLs' proficiency in their native (home) language e. Student participation in bilingual education programs, defined as programs that focus on developing literacy in two languages, which include non-English speakers and may include English speakers, and which involve instruction in English and another language f. Student participation in other educational programs specifically designed for ELLs g. Student's native language h. Number of years the student has lived in U.S. k. The number of years that students have received English language instructional services l. The length of time it took for an ELL to exit ELL status |
| State longitudinal data system is used to inform and engage stakeholders and support decision makers in continuous improvement efforts for ELLs | DA17. For which of the following purposes are data in the state longitudinal data system specifically related to ELLs currently used by state-level staff? a. To track the progress of current ELLs b. To track the progress of former ELLs c. To track the ELL status of students d. To identify the needs of specific ELL populations such as refugees, migrant education students, or students who speak low-incidence languages e. To identify the professional development needs of teachers of ELLs f. To assess teacher effectiveness with ELLs g. To provide information to the parents of ELLs about their children's progress h. To provide information to ELLs about their own progress i. To make decisions about exiting students from ELL status |

Table D.1 *(continued)*

| ELL-Focused Policy or Practice | Interview Questions |
|---|---|
| Providing funding, materials, training, technical assistance, or other supports to districts to aid in the use of ELL-related data | DA18. Within the past year, has the state provided funding, materials, training, technical assistance, or other supports to districts specifically designed to aid in the use of data related to ELLs? |
| Teacher assignment laws or policies include financial incentives to recruit and retain teachers with ELL-expertise | TA22. Do the state's current teacher assignment laws or policies for persistently lowest-achieving schools include any of the following features? c. Financial incentives for staff with ELL expertise to begin or continue to work in persistently lowest-achieving schools d. Other retention or recruitment efforts targeted toward increasing the number of staff with ELL expertise in the persistently lowest-achieving schools (SPECIFY) |
| Providing training to the lowest-achieving schools or local education agencies on identifying and implementing strategies to address the need of ELLs | TA29. Which of the following types of training and/or technical assistance has the state provided in the current school year to support the improvement efforts of the persistently lowest-achieving schools in your state and/or district in which these schools are located? f. Training on identifying and implementing strategies to address the needs of ELLs |
| Having state-level staff or consultants to support turnaround schools and districts working with ELLs | TA14. Which of the following organizational or administrative structures are in place in your stat for this purpose? f. State-level staff or consultants to provide support to turnaround schools and districts in working with ELLs |
| In considering applications for new charter schools, giving priority to schools that propose to address needs of or target ELLs | CH9. In considering applications for new charter schools, does your state give priority to schools that specifically propose to address the needs of and/or explicitly target ELLs? |
| Monitoring charter school performance based on the student populations (such as ELLs) served | CH13. On which of the following dimensions is charter school performance currently monitored by the state or its agent(s)? c. Proportion of different student populations served such as ELLs |

Source: Interviews with state administrators in spring 2012.

ELL= English language learner.