

## COVER SHEET FOR ESEA FLEXIBILITY REQUEST

Legal Name of Requester: New Mexico Public Education Department	Requester's Mailing Address: 300 Don Gaspar Santa Fe, NM 87501
State Contact for the ESEA Flexibility Request  Name: Leighann Lenti  Position and Office: Director of Policy, Office of the Secretary  Contact's Mailing Address: 300 Don Gaspar Santa Fe, NM 87505  Telephone: 505-412-2285  Fax: 505-827-6520  Email address: Leighann.Lenti@state.nm.us	
Chief State School Officer (Printed Name): Hanna Skandera	Telephone: 505-827-6688
Signature of the Chief State School Officer: X <i>Hanna Skandera</i>	Date: 11/14/11
The State, through its authorized representative, agrees to meet all principles of the ESEA Flexibility.	

---

# **NEW MEXICO – ESEA FLEXIBILITY REQUEST NOVEMBER 14, 2011**

---

Revised September 28, 2011

This document replaces the previous version, issued September 23, 2011.

U.S. Department of Education  
Washington, DC 20202

OMB Number: 1810-0708  
Expiration Date: March 31, 2012

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0708. The time required to complete this information collection is estimated to average 336 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any

comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537.

## TABLE OF CONTENTS

Insert page numbers prior to submitting the request, and place the table of contents in front of the SEA’s flexibility request.

CONTENTS	PAGE
Cover Sheet for ESEA Flexibility Request	3
Waivers	4-5
Assurances	6-7
Consultation	8-10
Evaluation	10
Overview of SEA’s ESEA Flexibility Request	10-15
<b>Principle 1: College- and Career-Ready Expectations for All Students</b>	
1.A Adopt college- and career-ready standards	16
1.B Transition to college- and career-ready standards	16-19
1.C Develop and administer annual, statewide, aligned, high-quality assessments that measure student growth	20
<b>Principle 2: State-Developed Differentiated Recognition, Accountability, and Support</b>	
2.A Develop and implement a State-based system of differentiated recognition, accountability, and support	21-31
2.B Set ambitious but achievable annual measurable objectives	31-34
2.C Reward schools	34-36
2.D Priority schools	36-40
2.E Focus schools	41-44
Table 2	45-56
2.F Provide incentives and supports for other Title I schools	57-58
2.G Build SEA, LEA, and school capacity to improve student learning	59-62
<b>Principle 3: Supporting Effective Instruction and Leadership</b>	
3.A Develop and adopt guidelines for local teacher and principal evaluation and support systems	62-70
3.B Ensure LEAs implement teacher and principal evaluation and support systems	70-72

**TABLE OF CONTENTS, CONTINUED**

For each attachment included in the *ESEA Flexibility Request*, label the attachment with the corresponding number from the list of attachments below and indicate the page number where the attachment is located. If an attachment is not applicable to the SEA’s request, indicate “N/A” instead of a page number. Reference relevant attachments in the narrative portions of the request.

<b>LABEL</b>	<b>LIST OF ATTACHMENTS</b>	<b>PAGE</b>
1	Notice to LEAs	1-23
2	Comments on request received from LEAs (if applicable)	n/a
3	Notice and information provided to the public regarding the request	24-43
4	Evidence that the State has formally adopted college- and career-ready content standards consistent with the State’s standards adoption process	44-70
5	Memorandum of understanding or letter from a State network of institutions of higher education (IHEs) certifying that meeting the State’s standards corresponds to being college- and career-ready without the need for remedial coursework at the postsecondary level (if applicable)	n/a
6	State’s Race to the Top Assessment Memorandum of Understanding (MOU) (if applicable)	n/a
7	Evidence that the SEA has submitted high-quality assessments and academic achievement standards to the Department for peer review, or a timeline of when the SEA will submit the assessments and academic achievement standards to the Department for peer review (if applicable)	71-73
8	A copy of the average statewide proficiency based on assessments administered in the 2010–2011 school year in reading/language arts and mathematics for the “all students” group and all subgroups (if applicable).	74-78
9	Table 2: Reward, Priority, and Focus Schools	79-85
10	A copy of any guidelines that the SEA has already developed and adopted for local teacher and principal evaluation and support systems (if applicable).	n/a
11	Evidence that the SEA has adopted one or more guidelines of local teacher and principal evaluation and support systems	n/a
12	New Mexico Public Education Department Strategic Plan	86-109
13	A-F School Grading Act	109-117
14	New Mexico Effective Teaching Task Force Final Report and Recommendations	118-169
15	Value Added Model for A-F	170-173
16	Individual Student Growth Model	174-176
17	Point Calculations for A-F School Grading Model	177-179
18	Turnaround Principles, 2011	180-183
19	Descriptors of Turnaround Supports	184-196
20	AIR Toward More Effective School Districts	197-222
21	Curriculum Audit, November 2011	223-274
22	Guskey 5 Levels of PD	275-278
23	IES Practice Guide Turning Around Chronically Low-Performing Schools	279-328
24	SIOP Protocol	329-338
25	References	339-341

## COVER SHEET FOR ESEA FLEXIBILITY REQUEST

Legal Name of Requester: New Mexico Public Education Department	Requester's Mailing Address: 300 Don Gaspar Santa Fe, NM 87501
State Contact for the ESEA Flexibility Request	
Name: Leighann Lenti	
Position and Office: Director of Policy, Office of the Secretary	
Contact's Mailing Address: 300 Don Gaspar Santa Fe, NM 87505	
Telephone: 505-412-2285	
Fax: 505-827-6520	
Email address: Leighann.Lenti@state.nm.us	
Chief State School Officer (Printed Name): Hanna Skandera	Telephone: 505-827-6688
Signature of the Chief State School Officer:  X	Date: November 14, 2011
The State, through its authorized representative, agrees to meet all principles of the ESEA Flexibility.	

**WAIVERS**

By submitting this flexibility request, the SEA requests flexibility through waivers of the ten ESEA requirements listed below and their associated regulatory, administrative, and reporting requirements by checking each of the boxes below. The provisions below represent the general areas of flexibility requested; a chart appended to the document titled *ESEA Flexibility Frequently Asked Questions* enumerates each specific provision of which the SEA requests a waiver, which the SEA incorporates into its request by reference.

- 1. The requirements in ESEA section 1111(b)(2)(E)-(H) that prescribe how an SEA must establish annual measurable objectives (AMOs) for determining adequate yearly progress (AYP) to ensure that all students meet or exceed the State's proficient level of academic achievement on the State's assessments in reading/language arts and mathematics no later than the end of the 2013–2014 school year. The SEA requests this waiver to develop new ambitious but achievable AMOs in reading/language arts and mathematics in order to provide meaningful goals that are used to guide support and improvement efforts for the State, LEAs, schools, and student subgroups.
- 2. The requirements in ESEA section 1116(b) for an LEA to identify for improvement, corrective action, or restructuring, as appropriate, a Title I school that fails, for two consecutive years or more, to make AYP, and for a school so identified and its LEA to take certain improvement actions. The SEA requests this waiver so that an LEA and its Title I schools need not comply with these requirements.
- 3. The requirements in ESEA section 1116(c) for an SEA to identify for improvement or corrective action, as appropriate, an LEA that, for two consecutive years or more, fails to make AYP, and for an LEA so identified and its SEA to take certain improvement actions. The SEA requests this waiver so that it need not comply with these requirements with respect to its LEAs.
- 4. The requirements in ESEA sections 6213(b) and 6224(e) that limit participation in, and use of funds under the Small, Rural School Achievement (SRSA) and Rural and Low-Income School (RLIS) programs based on whether an LEA has made AYP and is complying with the requirements in ESEA section 1116. The SEA requests this waiver so that an LEA that receives SRSA or RLIS funds may use those funds for any authorized purpose regardless of whether the LEA makes AYP.
- 5. The requirement in ESEA section 1114(a)(1) that a school have a poverty percentage of 40 percent or more in order to operate a schoolwide program. The SEA requests this waiver so that an LEA may implement interventions consistent with the turnaround principles or interventions that are based on the needs of the students in the school and designed to enhance the entire educational program in a school in any of its priority and focus schools, as appropriate, even if those schools do not have a poverty percentage of 40 percent or more.
- 6. The requirement in ESEA section 1003(a) for an SEA to distribute funds reserved under that section only to LEAs with schools identified for improvement, corrective action, or restructuring. The SEA requests this waiver so that it may allocate section 1003(a) funds to its

LEAs in order to serve any of the State's priority and focus schools.

- 7. The provision in ESEA section 1117(c)(2)(A) that authorizes an SEA to reserve Title I, Part A funds to reward a Title I school that (1) significantly closed the achievement gap between subgroups in the school; or (2) has exceeded AYP for two or more consecutive years. The SEA requests this waiver so that it may use funds reserved under ESEA section 1117(c)(2)(A) for any of the State's reward schools.
- 8. The requirements in ESEA section 2141(a), (b), and (c) for an LEA and SEA to comply with certain requirements for improvement plans regarding highly qualified teachers. The SEA requests this waiver to allow the SEA and its LEAs to focus on developing and implementing more meaningful evaluation and support systems.
- 9. The limitations in ESEA section 6123 that limit the amount of funds an SEA or LEA may transfer from certain ESEA programs to other ESEA programs. The SEA requests this waiver so that it and its LEAs may transfer up to 100 percent of the funds it receives under the authorized programs among those programs and into Title I, Part A.
- 10. The requirements in ESEA section 1003(g)(4) and the definition of a Tier I school in Section I.A.3 of the School Improvement Grants (SIG) final requirements. The SEA requests this waiver so that it may award SIG funds to an LEA to implement one of the four SIG models in any of the State's priority schools.

Optional Flexibility:

An SEA should check the box below only if it chooses to request a waiver of the following requirements:

- The requirements in ESEA sections 4201(b)(1)(A) and 4204(b)(2)(A) that restrict the activities provided by a community learning center under the Twenty-First Century Community Learning Centers (21st CCLC) program to activities provided only during non-school hours or periods when school is not in session (*i.e.*, before and after school or during summer recess). The SEA requests this waiver so that 21st CCLC funds may be used to support expanded learning time during the school day in addition to activities during non-school hours or periods when school is not in session.



**ASSURANCES**

By submitting this application, the SEA assures that:

- 1. It requests waivers of the above-referenced requirements based on its agreement to meet Principles 1 through 4 of the flexibility, as described throughout the remainder of this request.
- 2. It will adopt English language proficiency (ELP) standards that correspond to the State's college- and career-ready standards, consistent with the requirement in ESEA section 3113(b)(2), and that reflect the academic language skills necessary to access and meet the new college- and career-ready standards, no later than the 2013–2014 school year. (Principle 1)
- 3. It will develop and administer no later than the 2014–2015 school year alternate assessments based on grade-level academic achievement standards or alternate assessments based on alternate academic achievement standards for students with the most significant cognitive disabilities that are consistent with 34 C.F.R. § 200.6(a)(2) and are aligned with the State's college- and career-ready standards. (Principle 1)
- 4. It will develop and administer ELP assessments aligned with the State's ELP standards, consistent with the requirements in ESEA sections 1111(b)(7), 3113(b)(2), and 3122(a)(3)(A)(ii). (Principle 1)
- 5. It will report annually to the public on college-going and college credit-accumulation rates for all students and subgroups of students in each LEA and each public high school in the State. (Principle 1)
- 6. If the SEA includes student achievement on assessments in addition to reading/language arts and mathematics in its differentiated recognition, accountability, and support system and uses achievement on those assessments to identify priority and focus schools, it has technical documentation, which can be made available to the Department upon request, demonstrating that the assessments are administered statewide; include all students, including by providing appropriate accommodations for English Learners and students with disabilities, as well as alternate assessments based on grade-level academic achievement standards or alternate assessments based on alternate academic achievement standards for students with the most significant cognitive disabilities, consistent with 34 C.F.R. § 200.6(a)(2); and are valid and reliable for use in the SEA's differentiated recognition, accountability, and support system. (Principle 2)
- 7. It will report to the public its lists of reward schools, priority schools, and focus schools at the time the SEA is approved to implement the flexibility, and annually thereafter, it will publicly recognize its reward schools. (Principle 2)
- 8. Prior to submitting this request, it provided student growth data on their current students and the students they taught in the previous year to, at a minimum, teachers of reading/language arts and mathematics in grades in which the State administers assessments in those subjects in a manner that is timely and informs instructional programs, or it will do so no later the deadline required under the State Fiscal Stabilization Fund. (Principle 3)

- 9. It will evaluate and, based on that evaluation, revise its own administrative requirements to reduce duplication and unnecessary burden on LEAs and schools. (Principle 4)
- 10. It has consulted with its Committee of Practitioners regarding the information set forth in its request.
- 11. Prior to submitting this request, it provided all LEAs with notice and a reasonable opportunity to comment on the request and has attached a copy of that notice (Attachment 1) as well as copies of any comments it received from LEAs (Attachment 2).
- 12. Prior to submitting this request, it provided notice and information regarding the request to the public in the manner in which the State customarily provides such notice and information to the public (*e.g.*, by publishing a notice in the newspaper; by posting information on its website) and has attached a copy of, or link to, that notice (Attachment 3).
- 13. It will provide to the Department, in a timely manner, all required reports, data, and evidence regarding its progress in implementing the plans contained throughout this request.

**If the SEA selects Option A or B in section 3.A of its request, indicating that it has not yet developed and adopted all guidelines for teacher and principal evaluation and support systems, it must also assure that:**

- 14. It will submit to the Department for peer review and approval a copy of the guidelines that it will adopt by the end of the 2011–2012 school year. (Principle 3)

**CONSULTATION**

An SEA must meaningfully engage and solicit input from diverse stakeholders and communities in the development of its request. To demonstrate that an SEA has done so, the SEA must provide an assurance that it has consulted with the State’s Committee of Practitioners regarding the information set forth in the request and provide the following:

1. A description of how the SEA meaningfully engaged and solicited input on its request from teachers and their representatives.

**Consultation**

Since taking office in January 2011, Governor Martinez and the Public Education Department (PED) have advanced a bold reform agenda: “Kids First, New Mexico Wins”. While there are multiple components to this agenda, two in particular are directly related to New Mexico’s flexibility request: 1) Real Accountability, Real Results and 2) Rewarding Effective Teachers and School Leaders.

Real Accountability, Real Results is now being implemented through New Mexico’s A-F School Grading Act, signed and passed during the 2011 legislative session. What is included in this request is directly aligned to the A-F School Grading Act and reflective of multiple conversations amongst various stakeholders. Upon passage of the legislation, PED immediately began engaging stakeholders to garner input on the regulations and school grading model that would be utilized. Since April 2011, PED has met nine times with the New Mexico Coalition of School Administrators on the A-F regulation and model and has attended and presented at nine New Mexico School Boards Association regional meetings. Additionally, PED provided a 30 day open comment period and held two public hearings (October 31, 2011 and November 2, 2011) on the proposed regulation and model

(<http://www.ped.state.nm.us/calendar/2011/Notice%20-%20Public%20Hearing%20Scheduled%20on%20Grading%20Public%20Schools.pdf>).

Rewarding Effective Teachers and School Leaders was jump started in April 2011 when Governor Martinez formed a Task Force to make recommendations on how to redesign New Mexico’s current evaluation system. The 15 member Task Force met throughout the summer. Each of the ten Task Force meetings was open to the public and there was an opportunity provided for both written and public comment

(<http://www.ped.state.nm.us/press/2011/Teacher%20Task%20Force%20-%20August%20202,%202011%20meeting%20notice.pdf>).

PED also created a webpage that included all reading materials and presentations reviewed by the Task Force members (<http://www.ped.state.nm.us/ttf/index.html>).

In addition to what is described above, PED senior staff will be visiting twenty five districts by the end 2011 and will be presenting the A-F regulation and model, as well as the Task Force recommendations, which have formed the basis of the policy proposal included in section 3.A and 3.B of this request. These district visits will allow for additional stakeholder PED to garner additional feedback from key stakeholders.

2. A description of how the SEA meaningfully engaged and solicited input on its request from other diverse communities, such as students, parents, community-based organizations, civil rights organizations, organizations representing students with disabilities and English Learners, business organizations, and Indian tribes.

### **Engagement of Stakeholders**

Specific to the waiver request, PED has taken several concrete actions to solicit stakeholder input. First, PED launched a webpage (<http://www.ped.state.nm.us/skandera/waiver/index.html>) that included not only the initial notice of our intent to pursue a waiver, put also a letter that was distributed to all superintendents and principals on September 28 notifying them of PEDs intent to pursue a waiver, as well as details on who to provide questions and input to (<http://www.ped.state.nm.us/skandera/waiver/Letter%20to%20superintendents%20and%20principals.pdf>).

Second, a front page story in the Albuquerque Journal on September 24, 2011 clearly articulated the need for flexibility and the state's intention to apply for the waiver. Third, each of the meetings described above directly influenced the policies outlined in this proposal.

Fourth, prior to the submission of this request, PED hosted stakeholder conference calls in which we described the components of our request, as well as answered questions and solicited feedback. Invited to those calls where:

- New Mexico Coalition of School Administrators;
- New Mexico School Boards Association;
- New Mexico Business Roundtable;

- New Mexico’s Committee of Practitioners;
- District Bilingual Directors;
- District Native American Directors;
- SIG Superintendents; and
- Assessment and Accountability Advisory Council.

Taken in total, PED has consulted on numerous occasions with stakeholders on the development of the policies that are described in this request. As implementation precedes, PED remains committed to continuing an open dialogue to not only build support, but to also solicit input on ideas as we continue to serve New Mexico’s students.

## EVALUATION

The Department encourages an SEA that receives approval to implement the flexibility to collaborate with the Department to evaluate at least one program, practice, or strategy the SEA or its LEAs implement under principle 1, 2, or 3. Upon receipt of approval of the flexibility, an interested SEA will need to nominate for evaluation a program, practice, or strategy the SEA or its LEAs will implement under principles 1, 2, or 3. The Department will work with the SEA to determine the feasibility and design of the evaluation and, if it is determined to be feasible and appropriate, will fund and conduct the evaluation in partnership with the SEA, ensuring that the implementation of the chosen program, practice, or strategy is consistent with the evaluation design.

Check here if you are interested in collaborating with the Department in this evaluation, if your request for the flexibility is approved.

## OVERVIEW OF SEA’S REQUEST FOR THE ESEA FLEXIBILITY

Provide an overview (about 500 words) of the SEA’s request for the flexibility that:

1. explains the SEA’s comprehensive approach to implement the waivers and principles and describes the SEA’s strategy to ensure this approach is coherent within and across the principles; and
2. describes how the implementation of the waivers and principles will enhance the SEA’s and its LEAs’ ability to increase the quality of instruction for students and improve student achievement.

### Overview of Request

Through the “Kids First, New Mexico Wins” plan (See Attachment 12), the New Mexico

Public Education Department (PED) has taken a key first step by clearly articulating the expectation that all students in New Mexico have the potential to reach high levels of achievement, regardless of background. Further, by implementing key initiatives such as the A-F School Grading Act and redesigning the states teacher and school leader evaluation system, New Mexico is consistently placing children at the center of all initiatives. New Mexico's request for flexibility meets each of the principles outlined, and the state is prepared and ready to implement what is included in this request. Further, each principle articulated allows New Mexico to create coordination and consistency across the policies outlined in this request.

**Principle 1: College- and Career-Ready Expectations for All Students**

Since 1999, New Mexico has had content standards and assessments aligned to those standards in place. The standards were the first step in the development of an aligned system of standards and overtime, assessments. The current content standards laid a critical foundation, they did not include the depth and breadth necessary to ensure New Mexico students were prepared to compete with their peers in both college and career.

In October 2010, New Mexico adopted the Common Core State Standards (CCSS). The CCSS were adopted in order to increase the rigor of New Mexico standards and better prepare New Mexico students for college and careers after high school. These standards are aligned with college and work expectations and provide a consistent understanding of what students are expected to know and be able to do, regardless of what state they live in. The development of the CCSS was a state-led process involving state leaders, teachers, and content experts and draws upon the best state standards and most effective models from around the world. The CCSS ready students to compete in the global economy.

PED is planning for full implementation of the CCSS in 2014- 2015. Full implementation means that students will be assessed on the CCSS. As a first step, experts at the Southwest Comprehensive Center are performing a detailed alignment study between the current New Mexico state standards and the CCSS. Based on the results, NMPED will determine planning steps for full implementation.

Beginning during spring 2012, PED will use conferences, a Common Core website, and other communication tools to increase awareness on the transition to the CCSS. Professional

development on the CCSS for Math and English Language Arts (ELA) teachers for grades K-3 will begin during the summer of 2012, and grades K-3 will teach to the CCSS beginning in fall 2012. Math and ELA teachers in grades 4-8 will receive professional development on the CCSS during summer 2013, and begin teaching to the CCSS in fall 2013. During summer 2013, grades 9-12 will receive professional development on the CCSS, and begin teaching to the CCSS during fall 2013. The CCSS will be fully implemented and assessed in all grades through assessments provided by the Partnership for Assessment of Readiness for College and Careers (PARCC) consortium during the 2014-2015 school year.

**Principle 2: State-Developed Differentiated Recognition, Accountability, and Support**

Signed and passed during the 2011 legislative session, the A-F School Grading Act ushered in a new school accountability era (See Attachment 13). Under the A-F School Grading Act, each public school in New Mexico will be given a grade of A, B, C, D, or F annually. The goals of A-F are simple:

- Measure schools based on both proficiency and growth;
- Meaningfully differentiate levels of success;
- Avoid holding schools accountable for characteristics beyond their control; and
- Provide meaningful data to champion success and identify areas of improvement.

While AYP provides specific goals, it fails to capture both proficiency and growth, it does not adequately differentiate among schools, and it has often narrowed the focus to students nearing proficiency.

Moving to a singular accountability system is of the utmost importance. As New Mexico has already passed legislation to establish a new, differentiated accountability system, and the regulations will be completed within the next 30 days, New Mexico intends to provide school grades to all schools in New Mexico in June 2012. If this flexibility request is approved, the school grades will meet the requirements of the state system, as well as the federal system, therefore eliminating the need to release AYP designations as well as school grades for the 2011-2012 school year.

The A-F School Grading Act specified that both measures of proficiency and growth are to be included when calculating a school's grade. Proficiency in both reading and math is

included in New Mexico's school grading model. Further, New Mexico remains committed to continuing disaggregating data by student subgroups and supporting low-performing schools in the implementation of interventions aligned to the specific needs of students.

Growth was specifically defined as learning a year's worth of knowledge in one year's time as demonstrated by student performance on the New Mexico Standard's Based Assessment in reading and mathematics. As such, the school grading model includes growth measures for students moving from one performance level to a higher performance level, students who remain proficient or advanced, as well as growth for students who remain in beginning step or nearing proficient but move a certain number of scale score points. Additionally, the legislation specifies that the state must also look explicitly at the bottom 25% of students within a school.

New Mexico will also be measuring cohort growth in addition to individual school growth. We feel it is important to capture a complete picture of a school, and measuring cohort growth will further differentiate among schools.

The legislation specified that graduation rates and measures of college and career readiness be included for high schools. As such, the models for elementary and middle schools and high schools vary. The model for elementary and middle schools includes:

- Proficiency;
- Growth;
- Growth of the lowest quartile;
- Attendance; and
- Opportunity to Learn Survey.

The model for high schools includes:

- Proficiency;
- Growth;
- Growth for the lowest quartile;
- Graduation rate and growth on graduation rate;
- College and career readiness indicators (PSAT, ACT, AP, Dual enrollment, career-technical certification programs, etc);
- Attendance; and



- Opportunity to learn student survey.

Each schools grade is based on measures of proficiency, growth, and additional indicators. While each school will be provided with an overall grade, New Mexico will also provide a separate grade for proficiency and a grade for growth. For example, a school could receive a B in growth, but a D in proficiency, therefore the school’s overall grade would be a “C”. This is critical as it will better allow the state to differentiate among schools and target interventions in a manner that specifically aligns to a schools area of need.

### **Principle 3: Supporting Effective Instruction and Leadership**

Research has clearly demonstrated the importance of the teacher in the classroom and the importance of leadership in each school. (Rivkin, Hanushek, & Kain, 2005) In fact, our teachers are our biggest “change agents” when it comes to improved student achievement. When it comes to student learning, the difference between an average teacher and an exemplary teacher is noteworthy. To underscore this belief, in April 2011, Governor Martinez established an Effective Teaching Task Force via Executive Order (<http://www.governor.state.nm.us/uploads/FileLinks/1e77a5621a1544e28318ba93fcd47d49/E O-2011-024.pdf>). The charge of the Task Force was to make policy recommendation to the Governor in for key areas:

- Identify measures of student achievement – representing at least 50 percent of the teacher evaluation – which shall be used for evaluating educator performance;
- Identify demonstrated best practices of effective teachers and teaching, which should comprise the remaining basis for such evaluation;
- How these measures of effective practice should be weighted; and
- How the State can transition to a performance-based compensation system, whereby acknowledging student growth and progress.

See Attachment 14 for the final Task force report and recommendations.

Using this as the foundation, the Task Force found that any redesigned teacher and school leader evaluation system *must* include multiple measures that prioritize student learning, as well as observations and other possible measures that effectively capture a true picture of teacher effectiveness. A rigorous and comprehensive system will not only provide a holistic view of a teacher’s true impact on their students, but also encourage flexibility and buy-in at

the local and school level.

Further, any new evaluation framework to measure teachers and school leaders must better enable districts to address and improve school personnel policies concerning professional development, promotion, compensation, performance pay, and tenure. Further, the framework should identify teachers and school leaders who are most effective at helping students succeed, provide targeted assistance and professional development opportunities for teachers and school leaders, inform the match between teacher assignments and student and school needs and inform incentives for effective teachers and school leaders

The need for a more nuanced and robust system is clear. In a recent 2010 sample of twenty-five percent of New Mexico's teachers, 99.998 percent of these teachers received a rating of "meets competency" on their evaluations (versus "does not meet competency") (Public Education Department data, 2010). Yet we are not seeing proportional success in terms of New Mexico student achievement. This suggests a lack of alignment between the system that measures teacher performance and the system that measures student learning outcomes.

## PRINCIPLE 1: COLLEGE- AND CAREER-READY EXPECTATIONS FOR ALL STUDENTS

### 1A ADOPT COLLEGE-AND CAREER-READY STANDARDS

Select the option that pertains to the SEA and provide evidence corresponding to the option selected.

#### Option A

The State has adopted college- and career-ready standards in at least reading/language arts and mathematics that are common to a significant number of States, consistent with part (1) of the definition of college- and career-ready standards.

- i. Attach evidence that the State has adopted the standards, consistent with the State's standards adoption process. (Attachment 4)

#### Option B

The State has adopted college- and career-ready standards in at least reading/language arts and mathematics that have been approved and certified by a State network of institutions of higher education (IHEs), consistent with part (2) of the definition of college- and career-ready standards.

- i. Attach evidence that the State has adopted the standards, consistent with the State's standards adoption process. (Attachment 4)
- ii. Attach a copy of the memorandum of understanding or letter from a State network of IHEs certifying that students who meet these standards will not need remedial coursework at the postsecondary level. (Attachment 5)

### 1.B TRANSITION TO COLLEGE-AND CAREER-READY STANDARDS

Provide the SEA's plan to transition to and implement no later than the 2013–2014 school year college- and career-ready standards statewide in at least reading/language arts and mathematics for all students and schools and include an explanation of how this transition plan is likely to lead to all students, including English Learners, students with disabilities, and low-achieving students, gaining access to and learning content aligned with such standards. The Department encourages an SEA to include in its plan activities related to each of the italicized questions in the corresponding section of the document titled *ESEA Flexibility Review Guidance*, or to explain why one or more of those activities is not necessary to its plan.

#### Adoption of College and Career Ready Standards

Since 1999, New Mexico has had content standards in place. PEDs Assessment and

Accountability Bureau (A&A) coordinates the development and implementation of New Mexico's statewide assessment program, which is designed to measure student attainment of New Mexico's Core Curriculum Content Standards. The A&A works collaboratively with school districts, charter schools, Bureau of Indian Education, and State-educational institutions to collect and report information about student assessments in order to inform instruction, increase student learning, and help parents and the public assess the effectiveness of their schools.

The mission of the Assessment and Accountability Bureau is to develop valid and reliable assessment instruments, to administer these assessments under standardized and secure conditions, and to score and report the results of these assessments accurately, efficiently, and effectively given the constraints of available resources. The work of A&A satisfies both New Mexico and Federal regulations, including the requirements of New Mexico's school assessment and accountability laws and the requirements of the Federal No Child Left Behind/Elementary and Secondary Education Act (NCLB/ESEA). See Attachment X for additional details.

A&A administers the following assessments:

- **Standards Based Assessment (SBA):** The SBA test approximately 165,000 students in reading, writing, and mathematics (grades 3 – 8 and 11), science (grades 4, 7, and 11) and in reading, writing, mathematics, science, and social studies (grade 11).
- **New Mexico Alternate Performance Assessment (NMAPA):** The NMAPA is the alternate to the SBA. Students in grade-bands 3 – 4, 5 – 6, 7 – 8, and 11 – 12, may take the NMAPA, though not all are required to. The NMAPA is only for students with documented significant cognitive disabilities and adaptive behavior deficits who require extensive support across multiple settings (such as home, school, and community).
- **Assessing Comprehension and Communication on English State-to-State for English Language Learners (ACCESS for ELLs):** ACCESS for ELLs is a secure large-scale English language proficiency assessment given to Kindergarten – 12<sup>th</sup> graders who have been identified as ELLs. It is given annually to monitor

students' progress in acquiring English.

Building on this foundation, New Mexico adopted the Common Core State Standards (CCSS) in October 2010. The CCSS were adopted in order to increase the rigor of New Mexico standards and better prepare New Mexico students for college and careers after high school. PED is currently developing an implementation plan for transitioning the state to the CCSS, due to be completed by January 31, 2012. Beginning during spring 2012, PED will use conferences, a Common Core website, and other communication tools to increase awareness on the transition to the CCSS. Professional development on the CCSS for Math and English Language Arts (ELA) teachers for grades K-3 will begin during the summer of 2012, and grades K-3 will teach to the CCSS beginning in fall 2012. Math and ELA teachers in grades 4-8 will receive professional development on the CCSS during summer 2013, and begin teaching to the CCSS in fall 2013. During summer 2013, grades 9-12 will receive professional development on the CCSS, and begin teaching to the CCSS during fall 2013. The CCSS will be fully implemented and assessed in all grades through assessments provided by the Partnership for Assessment of Readiness for College and Careers (PARCC) consortium during the 2014-2015 school year.

#### **Transition of the Common Core State Standards in New Mexico**

After adopting the Common Core State Standards (CCSS) in 2010, PED received a CCSS Planning Grant from the W.K. Kellogg Foundation in order to create an implementation plan for transitioning to the CCSS. The implementation plan, due for completion in January 2011, will encompass a detailed timeline and budget for the transition, as well plans for communication, professional development, curriculum and instruction, and a plan to evaluate the success of implementation.

PED has made substantial progress in developing our transition plan to the CCSS. We have established a Planning Committee composed of educators, administrators, parents, and members of the business community from around the state. This committee has met four times, and has received input from districts on curriculum mapping, professional development, and communication plans in order to create a set of recommendations for the implementation plan.

We have also established a smaller Framework Development Team in order to help draft

the implementation plan framework and ultimately the implementation plan. This team is composed of Planning Committee members and local and national experts on implementing the CCSS, including West Ed. and the Advanced Programs Initiative in New Mexico. Additionally, the Framework Development Team includes educators with experience in bilingual education and Indian education, in order to ensure that our implementation plan is relevant and appropriate for all New Mexican students. This team will be meeting frequently during November 2011 and January 2012 in order to complete the implementation plan.

This work will be informed by an alignment study between the CCSS and the current New Mexico standards that West Ed. has performed for NMPED. This study was completed in October and will be used to determine how we proceed with curriculum mapping and determining what professional development and technical support is required for educators to teach the new CCSS.

In addition to this work, we have developed and administrated a Transition to Common Core State Standards Planning Survey to all our districts and state administrated charter schools. The results from this survey will provide critical information on the needs of districts in order to prepare their teachers for the transition, and their technical needs in order to administer new, computer-based assessments provided by PARCC (Partnership for Assessment of Readiness for College and Careers). This information will contribute to the relevancy and accuracy of the professional development, assessment, and communications sections of our implementation plan. Lastly, we have established a CCSS webpage, and begun work developing pertinent resources and updates on the transition to be made available for stakeholders.

Upon the completion of our transition plan in January 2012, PED will use the plan to solicit funding from multiple sources to support our implementation process. Implementation will begin in spring and summer 2012 with increased communication on the transition and professional development on the CCSS for grades K-3. Grades K-3 will begin teaching to the CCSS in fall 2012, followed by grades 4-8 in fall 2013. Grades 9-12 will begin teaching to the CCSS in fall 2013, and grades 3-11 will be fully assessed on the CCSS during spring 2015.

### 1.C DEVELOP AND ADMINISTER ANNUAL, STATEWIDE, ALIGNED, HIGH-QUALITY ASSESSMENTS THAT MEASURE STUDENT GROWTH

Select the option that pertains to the SEA and provide evidence corresponding to the option selected.

<p><b>Option A</b></p> <p><input checked="" type="checkbox"/> The SEA is participating in one of the two State consortia that received a grant under the Race to the Top Assessment competition.</p> <p>i. Attach the State’s Memorandum of Understanding (MOU) under that competition. (Attachment 6)</p>	<p><b>Option B</b></p> <p><input type="checkbox"/> The SEA is not participating in either one of the two State consortia that received a grant under the Race to the Top Assessment competition, and has not yet developed or administered statewide aligned, high-quality assessments that measure student growth in reading/language arts and in mathematics in at least grades 3-8 and at least once in high school in all LEAs.</p> <p>i. Provide the SEA’s plan to develop and administer annually, beginning no later than the 2014–2015 school year, statewide aligned, high-quality assessments that measure student growth in reading/language arts and in mathematics in at least grades 3-8 and at least once in high school in all LEAs, as well as set academic achievement standards for those assessments.</p>	<p><b>Option C</b></p> <p><input type="checkbox"/> The SEA has developed and begun annually administering statewide aligned, high-quality assessments that measure student growth in reading/language arts and in mathematics in at least grades 3-8 and at least once in high school in all LEAs.</p> <p>i. Attach evidence that the SEA has submitted these assessments and academic achievement standards to the Department for peer review or attach a timeline of when the SEA will submit the assessments and academic achievement standards to the Department for peer review. (Attachment 7)</p>
--	---	--

n/a

## PRINCIPLE 2: STATE-DEVELOPED DIFFERENTIATED RECOGNITION, ACCOUNTABILITY, AND SUPPORT

### 2.A DEVELOP AND IMPLEMENT A STATE-BASED SYSTEM OF DIFFERENTIATED RECOGNITION, ACCOUNTABILITY, AND SUPPORT

- 2.A.i Provide a description of the SEA’s differentiated recognition, accountability, and support system that includes all the components listed in Principle 2, the SEA’s plan for implementation of the differentiated recognition, accountability, and support system no later than the 2012–2013 school year, and an explanation of how the SEA’s differentiated recognition, accountability, and support system is designed to improve student achievement and school performance, close achievement gaps, and increase the quality of instruction for students.

#### **Introduction to New Mexico’s Model**

The Elementary and Secondary Education Act (ESEA) has had several tangible effects on education and the monitoring of schools. There have been both intended and unintended consequences. While ESEA monitoring requirements under NCLB has set clear and concrete goals and firmly established that all students need to be considered, there is now opportunity to build upon these strengths and develop a school accountability system that further enhances policy makers ability to fairly and accurately monitor schools. The literature (Linn, 1998; Baker, Linn, Herman, and Koretz, 2002; Choi, Goldschmidt, and Yamashiro, 2005; Baker, Goldschmidt, Martinez, and Swigert, 2003) is clear that in order to effectively monitor schools for interventions and reward, several pieces must be in place in order to create a coherent, comprehensive, unbiased, and fair system. Differentiating among schools for the purposes of providing support where needed and recognition where warranted should, to the extent possible, avoid confounding factors beyond school control with factors for which schools ought to be held accountable (Goldschmidt, 2006).

We address the four elements (coherence, comprehensive, unbiased, and fair) that are the basis for the New Mexico school accountability system that enhances our ability to differentiate school performance in a more nuanced way than under the current ESEA system. A coherent system is one that seamlessly links together the elements of the system and incorporates stakeholders’ beliefs regarding what schools ought to be held accountable for. Hence, a coherent system collects elements that individually and jointly lead to the correct inferences about schools



and the correct motivations for improvement. This is realized by considering validity evidence that supports inference based on school grades; a notion similar to content and construct validity evidence (Messick, 1995; Mehren, 1997). That is, each element of the system should logically relate to better school performance (content validity evidence) and overall, the accumulation of elements should adequately represent the domain of interest (i.e. school performance). Hence, we directly link the New Mexico A-F School Grading System to the AMOs (which we term School Growth Targets, or SGTs). We detail below (in 2.B.) how basing SGTs on school grades captures exactly the types of school performance and growth that policy makers intended, but does so without creating a secondary set of (potentially) conflicted indicators of school performance. The A-F Grading System is also consistent in methodology to the portion of the highly effective teacher evaluation system that will be based on student assessment results. This is an extremely important concept as: one, it holds schools accountable in a manner similar to teachers (based to some degree on student achievement growth); two, it allows for similar types of inferences about schools and teachers; three, it provides for similar nomenclature, which helps teachers, school administrators, parents, and other stakeholders place meaning on school and teacher performance; and four, it creates consistent and coherent incentives for improvement (i.e. teachers' improvement leads directly to school improvement, and conversely, where school grades play a role in teacher evaluation, school grades are based on factors to which all teachers contribute).

### **Components of New Mexico's Model**

The notion of comprehensive system is linked with coherence in that a coherent set of elements that forms the basis for making inferences about school performance should be comprehensive and is consistent with the idea of basing school inferences on multiple measures (Baker, et. al. 2002). Tables one and two summarize<sup>1</sup> the elements in the New Mexico school grading system.

---

<sup>1</sup> Attachment X3 details how a school receives points in each category.

Table 1:

A-F School Grades, Elementary and Middle Schools			Points	
<u>Proficiency Math &amp; Reading</u>	Status	% Proficient	25	40
All Students	Status	Conditioned, 3 Yrs	15	
All Students	School Growth	Conditioned, 3 Yrs	10	
Highest 3 Quartiles	Student Growth	Conditioned, 3 Yrs	20	
Lowest 1 Quartile	Student Growth	Conditioned, 3 Yrs	20	30
<u>Attendance</u>	Status	Average , All Students	3	3
<u>Opportunity to Learn</u>	Status	Average Score	5	5
Total			100	
<u>Student/Parent Engagement</u>	Bonus	District Option	( +5)	

Table 2:

A-F School Grades: High Schools			Points	
<u>Proficiency Math &amp; Reading</u>	Status	% Proficient	25	40
All Students	Status	Conditioned, 3 Yrs	15	
Highest 3 Quartiles	School Growth	Conditioned, 3 Yrs	10	20
Lowest 1 Quartile	School Growth	Conditioned, 3 Yrs	10	
<u>Graduation</u>	Status, 4 Year	% Graduating	8	17
	Status, 5 Year	% Graduating	4	
	School Growth	Conditioned, 3 Yrs	5	
<u>College &amp; Career Readiness</u> (AP, ACT, PSAT, Dual Credit, Career Preparation)	Participation	% All HS Students	5	15
	Success	% Meeting Benchmarks	10	
<u>Attendance</u>	Status	Average , All Students	3	3
<u>Opportunity to Learn</u>	Status	Average Score	5	5
Total			100	
<u>Student/Parent Engagement</u>	Bonus	<u>District Option</u>	( +5)	

We also consider bias and fairness. There is considerable agreement that monitoring schools based on unconditional mean school performance or the percentage of student's proficient does not hold schools accountable for processes under school control and tends to place large diverse schools at a disadvantage (Novak and Fuller, 2003). Static average student performance measures tend to confound input characteristics (i.e. student enrollment characteristics) of schools with actual school performance (Goldschmidt, Roschewski, Choi, Autry, Hebbler, Blank, & Williams, 2005; Choi, Goldschmidt, and Yamashiro, 2005; Meyer, 1997; Goldstein & Spiegelhalter, 1996) and are unduly influenced by factors outside of school control more than

actual processes facilitated by schools (Hanushek, Raymond, 2002; Baker, Goldschmidt, Martinez, and Swigert, 2003; Meyer, 1997). Hence, the New Mexico school grading model, and the corresponding SGTs were carefully developed to reduce bias in attributions of school performance, and we monitored carefully fairness – in that all schools must have equal opportunity to do well on the elements of the school grading system. We monitor bias considering the extent to which school grades are influenced by the background characteristics of enrolled students.

For, example, the correlation between the percent of students meeting the previous NCLB AYP requirements and the percentage of students who are classified as free and reduced lunch eligible (FRL), is  $-.57$  (truncated to some extent by the generally high proportion of FRL students in New Mexico). Our goal in developing the A-F School Grading System was to reduce the undue influences of student enrollment characteristics on school grades. We accomplished this by using both growth models and conditional performance estimates, which to some extent level circumstances faced by schools throughout the state, a process generally accepted and recommended in the literature Choi, et. al., 2005; Aitkin & Longford, 1986; Goldstein, & Spiegelhalter, 1996; Willms, & Raudenbush, 1989; Hanushek, 1979; Hanushek, Rivkin, & Taylor, 1996; Meyer, 1997; Heck, 2000).

We are also concerned with fairness; that is, not disadvantaging schools and limiting opportunities to demonstrate high performance or changes in performance. Hence, we monitored closely whether larger schools are disadvantaged or importantly, whether schools with high status levels (i.e. a high percentage of students proficient) would limit the amount of growth a school could exhibit. We present evidence related to both bias and fairness in appendix XX

A system that merely counts the percentage proficient students is limited because it reduces the amount of information available and ignores performance changes within categories that can be quite large (Thum, 2003; Goldschmidt and Choi, 2007). Moreover, basing inferences about schools on static measures ignores that learning is a cumulative process and that schools often face challenges related to the input characteristics of its students (Hanushek, 1979; Choi, et. al., 2005; Goldschmidt, 2006). For example, some schools consistently receive an extremely high proportion ( $>75\%$ ) of students who are English language Learners (ELL). While there may be debate as to the length of time it takes an ELL to acquire academic language skills – and the expectation should be that each student does so and graduates college and career ready - the

system should provide incentives for a school to educate those students by recognizing the achievement gains along the performance continuum.

We next provide detail related to the New Mexico School Grading System summarized in tables one and two.

The underlying framework for the New Mexico A-F School Grading System is that schools ought to be monitored based three general factors: one, current performance, or status; two, achievement growth; and three, other factors considered important outcomes and/or that contribute meaningfully to desired outcomes.

Status consists of two elements: percent proficient and a conditioned estimate of status based on Wilms and Raudenbush (1989) and Choi, Goldschmidt, and Martniez (2004)<sup>2</sup>. This conditioning uses the difference between observed and expected outcomes and would be considered a value added model (VAM). We use the estimated current year status as the conditional status estimate for a school. This effectively accounts for variation in student enrollment characteristics, for which schools have no control. This is evidenced by the correlations presented in table three, which indicates that variation in schools' student background has effectively been accounted for.

Table 3:

Correlations - Does VAM <sup>1</sup> work?			
<u>School Percent</u>	<u>VAM status</u>	<u>School Growth</u>	<u>Bottom Quartile Growth</u>
African Amer.	-0.050	-0.017	0.034
Hispanic	-0.063	-0.004	0.044
Asian	0.055	0.145	0.141
Native Amer.	-0.001	-0.051	-0.063
Female	0.011	0.030	0.038
FRL	-0.079	-0.097	-0.056
SWD	-0.058	-0.069	-0.036
ELL	-0.044	-0.074	-0.033

*Notes: 1) based on HS results (elementary/middle results are similar, but exclude bottom quartile growth (this is captured differently in elementary and middle school – see text).*

Hence, this portion of a schools status grade is unaffected by its enrollment characteristics.

<sup>2</sup> The Model is presented in Attachment X

A school's growth score also consists of two elements. We include both a school growth component and an individual student growth component<sup>3</sup>. It is in the growth component that New Mexico explicitly considers subgroups in the calculation of school grades. Careful examination of New Mexico data reveals that simply using the traditional race/ethnic, language, disability, and/or economic status does not fully identify schools with improvement needs. As table 4 indicates, by identifying the bottom quartile of students in each school, we explicitly consider how large the performance gap is for the poorest performing students and how this gap is changing over time, irrespective of student classification. This directly identifies the greatest need based on actual performance, rather than classifications that furthers a deficit model by labeling students as poor performers simply because their background characteristics. Moreover, by definition, every school has a bottom quartile and by explicitly placing extra weight on these students' growth, we incentive continuous improvement.

Table 4:

Performance Gaps of various student groups

	Percent of students	Performance Gaps <sup>1</sup>	
		Math	Reading
African American <sup>2</sup>	2.3	-6.3	-5.4
Hispanic	59.7	-5.6	-5.5
Asian	1.4	3.1	1.0
American Indian	9.9	-7.3	-7.6
Economically Disadv. (FRL)	69.6	-6.2	-6.2
ELL	20.2	-9.5	-10.6
SWD	13.1	-14.1	-16.1
Bottom Quartile	25.0	-15.1	-14.1

Notes: 1) State assessment scale is 0-80 (sd ~ 10.5).

2) Race/ethnicity comparisons are vs. White.

Remaining gaps are vs. students not in the classification.

We emphasize that school grade results will be disaggregated by the traditional NCLB

<sup>3</sup> Like most states, New Mexico currently assess students once in HS, so individual student growth is not part of the grade calculation. However, New Mexico has adopted common core standards and is governing state in the PARCC consortium, which intends to develop assessment for grades 3-11. Hence, the A-F school grading model framework is prepared to include individual student growth at the student level once assessments become available.

subgroups and, importantly, that this information will be paramount in identifying interventions for Priority and Focus schools.

The growth of the bottom quartile at each school is included in both the elementary/middle school and the high school. In high school the growth estimate is based on the VAM model depicted in Attachment 15. In elementary and middle school, the growth for the bottom quartile is identified in the individual student growth model described next.

The second element of growth is based on an individual student growth model (Raudenbush and Bryk, 2002, Willet and Singer, 2003, Goldschmidt, et. al., 2005). The threat of potential confounding factors (PCFs) in non-randomized cross-sectional designs (Campbell & Stanley, 1963), and the limitations of pre-post designs (Bryk & Wesiburg, 1977; Raudenbush & Bryk, 1987; Raudenbush, 2001) in making inferences about school, program, or teacher effects (i.e. change in student outcomes due to a hypothesized cause) are also increasingly understood. These and other related methodological challenges lead many to consider the advantages of examining growth trajectories to make inferences about change (Rogosa, Brandt, & Zimowski, 1982; Willet, Singer, & Martin, 1998; Raudenbush & Bryk, 2002). The New Mexico model is detailed in Attachment 16.

Research indicates that growth models are well suited to monitor school performance over time and provide a more robust picture of schools' ability to facilitate student achievement than simple static comparisons. (Choi et. al., 2005). Growth models are a subset of the more general longitudinal models that examine how outcomes change as a function of time (Singer and Willet, 2003); these model are more flexible than traditional repeated measures designs because data need not be balanced nor complete (Singer and Willett, 2003; Raudenbush and Bryk, 2002). This latter point is important as the growth mode is robust to student mobility and can include students in a school's estimate of growth whether or not the student has a complete set of data<sup>4</sup>. New Mexico uses three years to estimate growth for a student, which logically falls within the tested spans of elementary and middle school<sup>5</sup>. As multiple authors have reported, static results tend to reflect student input characteristics (Goldschmidt, Roschewski, Choi, Autry, Hebbler, Blank, & Williams, 2005; Choi, et. al., 2005; Meyer, 1997) and factors outside of school control

---

<sup>4</sup> A simple gain model, for example is limited because if a student is missing either assessment a gain cannot be calculated.

<sup>5</sup> And will in high school once the PARC assessments come on line in 2014-15.

more than actual processes facilitated by schools (Hanushek, Raymond, 2002; Baker, Goldschmidt, Martinez, and Swigert, 2003; Meyer, 1997).

As noted above, student performance is a process that accumulates over time (Hanushek, 1979) and results ignoring this are unlikely to accurately identify performance due to processes under school or teacher control. A growth model explicitly connects student performance from one test occasion to the next.

There may be some debate as to what constitutes the optimal psychometric characteristics for assessments to be used in systems desiring to use growth models (Briggs & Weeks, 2009; Yen, 1986;). A key element for considering the use and interpretation of results based on growth models is that the outcome must have constant meaning over time (Raudenbush, 2001). Hence, the scale is important in drawing conclusions from individual growth curves (Yen, 1986). Theoretically, the optimal metric to use when examining change is a vertically equated IRT-based scale score that is on an interval scale and is comparable across grades (Hambleton & Swaminathan, 1987). Scores represent content mastery on a continuum and may be used to measure absolute academic progress over time. Different scaling methods affect results (Briggs and Weeks, 2011) and there is some concern that vertical equating using IRT does not guarantee an equal interval scale (Ballau, 2009). Also, equating is generally designed to compare contiguous grade pairs (Yen, 1986) and scales may be less meaningful as the grade span increases. However, previous research also indicates that the metric may be less important for relative decisions and inferences about schools based on growth models (Goldschmidt, Choi, Martinez, and Novack, 2010). The New Mexico assessments are based on a vertically moderated scale which form strong basis for incorporating growth into the accountability system<sup>6</sup>. Growth must be considered with respect to some reference. Some have argued that a good reference may be typical growth (Betebenner, 2009). New Mexico basis its growth on the notion of a year's worth of growth as identified, a priori, by the vertical articulation of standards across grades. This notion reduces the issues noted above related to scaling across more than contiguous grade spans. Hence, a year's worth of growth can be considered as moving from proficient one year to the next. In the New Mexico model, an estimated growth coefficient of 0 (zero) relates to a year's worth of growth, and a positive coefficient indicates that students are growing faster, while a negative coefficient indicates a student is losing ground. This concept is

---

<sup>6</sup> We note that the school growth VAM model we use is not dependent on scale (Choi, et. al., 2004).



less important for monitoring schools (Goldschmidt, et. al., 2010), but is important when considering AMOs (SGT in New Mexico).

Previous research has also addressed statistical issues, and compared the effects of model specification (particularly with respect to student background characteristics) in some detail (Tekwe, Carter, Ma, Algina, Lucas, Roth, Ariet, Fisher, & Resnick, 2004; Ballou, Sanders, & Wright, 2004; McCaffrey, Sass, Lockwood, & Mihaly, 2009; McCaffrey, Lockwood, Koretz, Louis, & Hamilton, 2004; Wright, 2010; Goldschmidt, et. al., 2010; Lockwood, & McCaffrey, 2007; Wright, 2008) and we used this previous research to provided significant guidance for the model selection and specifications we developed for the A-F grading system. Also, we emphasize that schools grades are explicitly based on status and growth and schools will receive these grades separately (along with other factor grades as well). Hence, a school could be an “A” school in growth and a “C” school in status, which would (depending on the other factor, which is only 10% in elementary and middle school) result in a school being given an overall grade of “B.”

Finally, we turn to the other factor in the school grading model. This consists of a student opportunity to learn survey (similar to those used in the MET study and by Wu, Goldschmidt, Boscardin and Sankar, 2009). The intent of this survey is to provide information related to average school opportunities to learn the materials, as these have been consistently demonstrated to be related to student performance, and provide a tangible mechanism for assisting in the process of school improvement. We also include student attendance and in high school we include two critical elements: graduation and college and career readiness. We consider college and career readiness in a manner that, again, incentives school to appropriately motivate students, while attempting to minimize unintended consequences. Hence, schools receive points for participation in college and career readiness activities (detailed in appendix X3). But schools receive double the points for success (also defined in appendix X3). While there are substantial complexities involved in calculating school grades (including estimating individual student growth trajectories and school growth VAM models), the tradeoff is that these model provide a significantly more nuanced examination of school performance. Consistent with the literature on school accountability (Linn, 1998; Baker, et. al., 2002; Goldschmidt, et. al., 2005; Choi, et. al., 2005; Goldschmidt and Choi, 2007; Thum, 2003), The New Mexico A-F school grading system uses multiple measures, incorporates growth, incorporates the full range of student achievement,

and specifically monitors the progress of the lowest achieving students in each school.

Table 2 on pages 45 – 56 includes a *preliminary* list of Reward, Priority, and Focus Schools. As PED will be finalizing the A-F School Grading Act rule in December and releasing final baseline data to all schools, the state will share a final list of Reward, Priority, and Focus Schools with the US Department of Education at that time.

2.A.ii Select the option that pertains to the SEA and provide the corresponding information, if any.

**Option A**

The SEA only includes student achievement on reading/language arts and mathematics assessments in its differentiated recognition, accountability, and support system and to identify reward, priority, and focus schools.

**Option B**

If the SEA includes student achievement on assessments in addition to reading/language arts and mathematics in its differentiated recognition, accountability, and support system and to identify reward, priority, and focus schools, it must:

- a. provide the percentage of students in the “all students” group that performed at the proficient level on the State’s most recent administration of each assessment for all grades assessed; and
- b. include an explanation of how the included assessments will be weighted in a manner that will result in holding schools accountable for ensuring all students achieve college- and career-ready standards.

n/a

**2.B SET AMBITIOUS BUT ACHIEVABLE ANNUAL MEASURABLE OBJECTIVES**

Select the method the SEA will use to set new ambitious but achievable annual measurable objectives (AMOs) in at least reading/language arts and mathematics for the State and all LEAs, schools, and subgroups that provide meaningful goals and are used to guide support and improvement efforts. If the SEA sets AMOs that differ by LEA, school, or subgroup, the AMOs for LEAs, schools, or subgroups that are further behind must require greater rates of annual progress.

**Option A**

Set AMOs in annual equal

**Option B**

Set AMOs that increase in

**Option C**

Use another method that is

<p>increments toward a goal of reducing by half the percentage of students in the “all students” group and in each subgroup who are not proficient within six years. The SEA must use current proficiency rates based on assessments administered in the 2010–2011 school year as the starting point for setting its AMOs.</p> <p>i. Provide the new AMOs and an explanation of the method used to set these AMOs.</p>	<p>annual equal increments and result in 100 percent of students achieving proficiency no later than the end of the 2019–2020 school year. The SEA must use the average statewide proficiency based on assessments administered in the 2010–2011 school year as the starting point for setting its AMOs.</p> <p>i. Provide the new AMOs and an explanation of the method used to set these AMOs.</p>	<p>educationally sound and results in ambitious but achievable AMOs for all LEAs, schools, and subgroups.</p> <p>i. Provide the new AMOs and an explanation of the method used to set these AMOs.</p> <p>ii. Provide an educationally sound rationale for the pattern of academic progress reflected in the new AMOs in the text box below.</p> <p>iii. Provide a link to the State’s report card or attach a copy of the average statewide proficiency based on assessments administered in the 2010–2011 school year in reading/language arts and mathematics for the “all students” group and all subgroups. (Attachment 8)</p>
--	--	--

### **New Mexico’s School Growth Targets (SGT)**

Given the A-F School Grading System (described in 2ai). We base each school’s SGT (formerly AMO) on the school grade. Our target is the recommended 90<sup>th</sup> percentile of current performance. It is important that we set rigorous but obtainable goals (Linn, 1998) and the underlying question is whether the 90 percentile of current performance is an appropriate long term target. Given that New Mexico has an A-F System, a target that aims for every school to be an A creates a meaningless measure that loses its ability to differentiate among schools their performance. Hence, we want a system where the long term goal meets the original intents of ESEA.

Unpacking the 90 percentile target is paramount in demonstrating that the A-F school grading system can serve as both the mechanism for monitoring school performance, but also

generating SGTs for schools. This aspect is important because the A-F system is comprehensive, and using it as a basis for SGTs maintains coherence for stakeholders. We again turn to the notion of validity evidence that corroborates the notion that a school at the 90 percentile is school performance worth emulating. We consider elementary/middle and high school in turn.

A school at the 90<sup>th</sup> percentile on the school grading metric has an average of approximately 47 on the New Mexico state assessment. Given the state average school size (to determine the standard deviation and estimate how many students are scoring above proficient) this implies that approximately 75% of students in math<sup>7</sup> are proficient. Also, a school at the 90<sup>th</sup> percentile on the school grading metric demonstrates, on average, a growth rate that is slightly above a year's worth of growth. In fact, this growth implies that about 12.5% of students would be proficient within a three year time frame. Hence, this equates to roughly 88% of elementary or middle school students either being on track or at proficient or above. These same calculations for reading indicates 100% of students, attending a school with a school grade at the 90<sup>th</sup> percentile are either proficient or on track to proficient.

Next we can examine how many points (out of a 100) a school will need to earn to be at the 90<sup>th</sup> percentile. Overall for all grade levels this equates to about 72 (out of 100 points). Hence, a school would be “average” on the overall school grade, and this relates to about average (75 or a C) on status and about 83 or (a B on growth). This is exactly where the system ought to place schools. If status is influenced by factors beyond school control (albeit less in the New Mexico A-F system), then tenable expectations are warranted in terms of status, but to compensate, we must have higher expectations for growth.

For high school a school at the 90<sup>th</sup> percentile based on the current distribution of school grades would exhibit the following average performance on the grading elements: A four year graduation rate of 92%; a five year graduation rate of 93%; an attendance rate of 97.5 percent. Proficient or on target to proficiency (only a single additional year) of 83%<sup>8</sup> in mathematics and 100% in reading. Importantly, students in the bottom quartile would demonstrate growth with an effect size that is about 2.0 – indicating top performing schools are improving the

---

<sup>7</sup> The means are slightly different in reading, but the estimated percent proficient would be about 89%.

<sup>8</sup> We will have to target the 95<sup>th</sup> percentile to reach this status level in mathematics.

outcomes of the poorest performing students quite well and are substantively (statistically  $p < .01$ ) closing the achievement gap<sup>9</sup>. The SGT for high schools would also be calculated in a like manner as elementary and middle schools.

Given that our aim is to move all schools to the current 90<sup>th</sup> percentile based on the current distribution of grades), we need to establish meaningful, rigorous, but obtainable targets. The New Mexico goal is to have all schools improve so that their grade would be equivalent to the 90<sup>th</sup> percentile score in the base year. We believe that a growth effect size of about 0.15 is both substantively meaningful and obtainable for schools. We accomplish this, on average, given the current distribution of school performance and calculating SGTs in the following manner:

$$SGT_j = (Target_j - CSG_j)/10.$$

Where *Target<sub>j</sub>* is the current average score for a school at the 90<sup>th</sup> percentile on the school grading system. There are  $j=3$  targets: 1) school grade points 2) growth- reading top three quartile of students; 3) growth-reading bottom quartile of students; 4) growth-math top three quartile of students; 5) growth- math bottom quartile of students. We present a tangible example below.

#### Example of A School's SGT

	POINTS_ELEM	Bottom qrtile Growth Math	Bottom qrtile Growth Read	Top 3 qrtiles Growth Math	Top 3 qrtiles Growth Read
School A	43.0	3.0	4.5	4.0	4.0
TARGET	77.0	5.0	9.0	8.0	9.0
SGT	3.4	0.2	0.5	0.4	0.5

Metric is school grade points.

## 2.C REWARD SCHOOLS

2.C.i Describe the SEA's methodology for identifying highest-performing and high-progress schools as reward schools.

<sup>9</sup> In fact, elementary, middle and high schools in New Mexico are closing the achievement, on average,  $p < .01$ , but the rate of gap closing varies significantly as well,  $p < .01$ ).

**Identification of Reward Schools**

New Mexico proposes that using the A-F grading system as the mechanism to identify schools and to maintain coherence. Moreover, as described above, the school grades translate directly into tangible differences among schools on multiple indicators. Hence, we use the 95% percentile of performance on the overall school grade, as Reward Schools would be scoring above the statewide target of the 90<sup>th</sup> percentile set through the SGTs. We again turn to the base year distribution and use this distribution as a basis for identifying the highest performing schools. The highest performing schools then are the schools that receive “A/A” (status/growth) ratings and would be considered the highest performing Reward schools. However, schools with “A/B” or “B/A” grades will also be considered Reward school based on either high progress or high performance. We will also recognize schools that have “A” growth (but not “B” status) outside of the Reward designation as these are schools that face challenges related to the preparedness of students as they enter the school, but the school facilitates strong achievement growth – and hence warrant recognition.

2.C.ii Provide the SEA’s list of reward schools in Table 2.

2.C.iii Describe how the SEA will publicly recognize and, if possible, reward highest-performing and high-progress schools.

**Recognition of Reward Schools**

Reward Schools will be recognized and rewarded in several ways. First, PED will annually release the list of Reward Schools on our website, as well as announce who the reward schools are in a press release. Second, each Reward School will receive a letter of recognition highlighting their individual achievements.

Third, PED is looking to used Reward Schools as a model of reform. As such, Reward School leaders will be asked to mentor leaders in lower achieving schools. The state is actively seeking private funding to provide stipends to the school leaders in reward schools to allow them to effectively undertake mentoring activities.

Fourth, as funding is available, PED will look to provide high-performing and high-progress schools with monetary rewards. Initially, PED will consider using a portion of the state’s 1003(a) set-aside to provide a subset of schools with the highest overall performance and progress with monetary rewards.

Lastly, PED will partner with districts to identify areas of flexibility that could be provided to Reward Schools. As Reward schools will have already made tremendous progress with all students they serve, providing additional autonomy to allow them to continue to use innovation to make gains will potentially allow them to achieve at even higher levels.

## 2.D PRIORITY SCHOOLS

2.D.i Describe the SEA’s methodology for identifying a number of lowest-performing schools equal to at least five percent of the State’s Title I schools as priority schools.

### Identification of Priority Schools

Consistent with identifying high performing schools, we rely on the New Mexico A-F Grading System to identify Priority Schools. We use the 2010-2011 base year distribution of grades to select those schools that fall at or below the 5% percentile of performance in the state. This corresponds generally to schools that receive “F/F” (status/growth) grades, but we also include “F/D” and “D/F” schools if their overall point total warrant inclusion (fall in the bottom 5<sup>th</sup> percentile). A school once identified remains a Priority School no less than two years (even if in the subsequent year one or both of its grades change). In subsequent years, Priority schools will be identified using a two year entry rule (i.e. a school that is an “F/F”, “F/D”, or “D/F” and maintains those grades for a second consecutive year). We will use this process separately for elementary and middle school and high school. For high schools, we deviate slightly. We again use the current year “F/F” as a starting point, but then inversely rank schools based on the graduation rate. Hence, lowest graded schools that are particularly weak in graduation rates will be selected to Priority status.

2.D.ii Provide the SEA’s list of priority schools in Table 2.

2.D.iii Describe the meaningful interventions aligned with the turnaround principles that an LEA with priority schools will implement.

### Interventions in Priority Tools

New Mexico has multiple tools in place that align to the Turnaround Principles and are currently being used in schools in need of improvement. Building on that foundation, New Mexico will partner with Priority Schools and their district leaders to support them as they implement intervention strategies aligned to their individual area of need. Further, with the

flexibility granted under this waiver, districts will be able to utilize their 20% set-aside to support Priority Schools as they undertake meaningful interventions.

PED annually reviews and approves the operating budget of each district and charter school. Additionally, the A-F School Grading Act specified that the state will ensure that the funds being spent in D and F schools are targeted towards proven programs and methods linked to improved student achievement. PED will partner with districts during the budget review process to support their budget development to ensure alignment of tools in Priority Schools to proven strategies.

Once a school is identified as a Priority School, the expectation is that each school, with the support of their district and PED's Priority Schools Bureau, will develop an intervention plan that is systemic, based on data, and is measurable. Included in each intervention plan will be the seven turnaround principles. The state feels strongly that each principle builds upon and supports those preceding and following it.

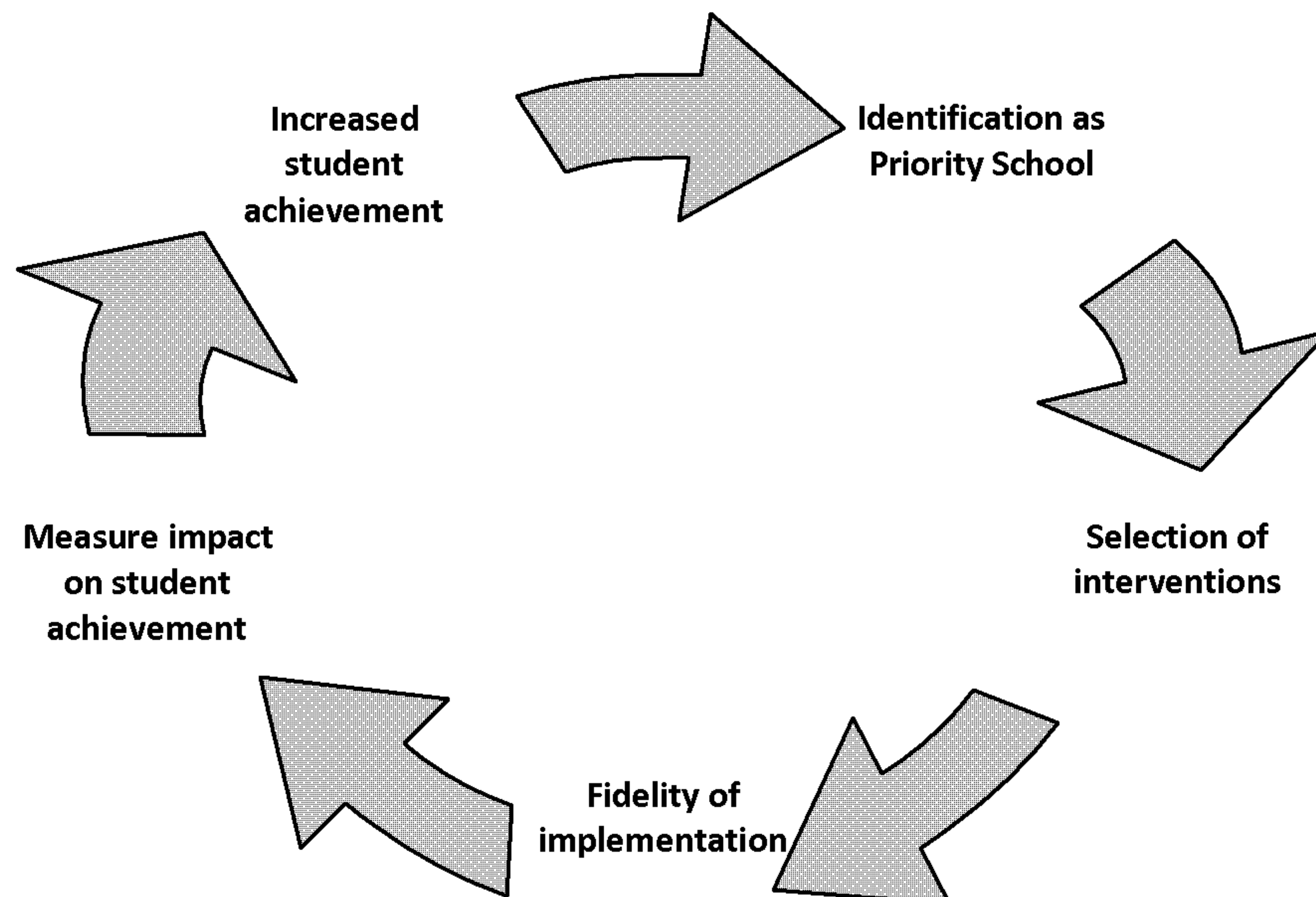
To ensure that interventions being used in Priority Schools are effective, PED will place a command focus on the fidelity of implementation. As schools implement tools such as formative assessments, instructional coaching, or response to intervention, the state expects to see data that reinforces the schools selection of such tools, as well as data to support their continued use. If over time student achievement is not increasing, the expectation is that schools, with the support of their district and the state, will shift funding to tools that do yield a return on investment.

In addition to a focus on fidelity of implementation, PED will also ensure that specific intervention selected by Priority Schools align to the needs of students. For example, if within a Priority School it is found that Hispanic students are struggling more than other subgroups of students, the school will be required to implement an intervention program that address the unique needs of that student group. If, over time, it is found that the achievement of a particular subgroup is not rising despite intervention, PED will support district leadership and Priority Schools as they prepare to use different interventions that will yield a return on investment.

The expectation of all Priority Schools is that they will follow a cycle of continuous improvement which leads to increased student achievement. First, a school is identified. Second, the Priority School, with the support of their LEA and PED selects interventions aligned to the Turnaround Principles and why they are identified as a Priority School. Third, the Priority School begins to implement interventions with fidelity. Fourth, schools measure the impact those interventions, tools, and supports are having on student achievement. And fifth, the



Priority School sees increased student achievement and movement towards meeting their SGT.



Attachments 18 and 19 describe in detail specific tools and professional development that align to each Turnaround Principle. Additionally, Attachments 20 – 24 provide additional details on specific supports and interventions available to Priority schools. After identification as a Priority School, PEDs Priority Schools Bureau will partner with schools identified as they select interventions that align to their needs and WebEPPS plan. Creating alignment within the two systems will increase the likelihood of success in raising student achievement.

The current School Improvement Grant (SIG) allows schools flexibility in replacing the principal if at the school for two or more years. The new Principal has the ability to create a schedule that can vastly impact student achievement (i.e., extend the school day or year, literacy and math blocks of 90-120 minutes per day, provide teachers with collaboration time either during or after the school day). The Principal also has flexibility with budgeting (i.e., planning, creating, and budgeting authority over expenditures). In the recruitment and hiring and retention of teaching staff there is much flexibility in that existing staff are screened to measure the effectiveness of staff who can work within the requirements of the SIG, there is an opportunity for financial incentives, and increased opportunities for career growth. SIG also support a schools effort to change formal policy and informal standard operating procedures that can directly empower their turnaround efforts. PED will look to expand these flexibilities to a

Principal that agrees to serve in a Priority School.

2.D.iv Provide the timeline the SEA will use to ensure that its LEAs that have one or more priority schools implement meaningful interventions aligned with the turnaround principles in each priority school no later than the 2014–2015 school year and provide a justification for the SEA’s choice of timeline.

### **Timeline of Interventions**

Under the current AYP model, all schools currently designated as a school in need of improvement must complete a WebEPSS form. Currently 771 schools are completing and submitting for review to PED a WebEPSS.

Additionally, PED annually reviews and approves the operating budget of each district and charter school. The budget review process occurs in May and June of each calendar year. Because PED will release baseline school grades in December 2011, part of the review process in Spring 2012 will be to look in details at the programs and interventions being used in Priority Schools when districts submit their budgets.

This will allow Priority Schools to begin planning immediately for interventions they will undertake in the 2012-2013 school year. PED will work to ensure that the interventions each priority school undertakes will be detailed as part of their WebEPSS submission. The expectation will be that the interventions align not only to the turnaround principles, but also to why the school is designated as an F/F school.

2.D.v Provide the criteria the SEA will use to determine when a school that is making significant progress in improving student achievement exits priority status and a justification for the criteria selected.

### **Exiting Priority School Status**

In order to no longer be considered a Priority School (F/F), a school must receive a grade of D/F, F/D, or higher for two consecutive years. If a school moves from Priority to Focus status, they will be required to meet the intervention criteria detailed in section 2.E.iii. It is only when a school receives an overall grade of C or higher will they no longer be designated as Priority, Focus, or Strategic (as outlined in section 2.F).

The business rules to exit Priority School status are aligned to requirements set forth for PED in the A-F School Grading Act. The legislation specified that “ensure that a local school

board or governing body of a charter school is prioritizing resources of a public school rated D or F toward proven programs and methods that are linked to improved student achievement until the public school earns a grade of C or better for two consecutive years”.

## 2.E FOCUS SCHOOLS

2.E.i Describe the SEA’s methodology for identifying a number of low-performing schools equal to at least 10 percent of the State’s Title I schools as “focus schools.”

### Identification of Focus Schools

The method for identifying Focus Schools continues logically from the methodology for identifying Reward and Priority schools. These schools form the next level of school grades and are made up of the D/F and F/D schools, but whose overall grade places them in the decile of performance above Priority schools. Again we apply the same two year into the category and two year out of the category rule as for Priority schools. In this case, we use the initial cut of 28 points<sup>10</sup> on the school grade. Any school below this cut for two consecutive years will become a Focus School. We again consider elementary and middle separately from high school and use graduation rates for high school designation. Table 2F summarizes how the school grading model differentiates the two major components of the elementary school model and naturally picks up weaknesses in status growth and growth in the lowest quartile of students (as well as gaps in performance between the lowest quartile subgroup and the rest of their classmates).

Table 2F

Summary of Elementary and Middle Assessment Performance by Category

<u>Designation</u>		<u>Total</u>	<u>Status</u>	<u>Bottom</u>	<u>top three</u>
		<u>Points</u>		<u>Quartile</u>	<u>Quartile</u>
				<u>Growth</u>	<u>Growth</u>
Reward	Mean	80.51	31.55	15.08	17.82
	N	32	32	32	32
	Std. Deviation	3.53	2.91	2.50	1.75
Priority	Mean	14.53	7.61	5.86	1.90
	N	32	32	32	32
	Std. Deviation	3.25	2.96	2.72	1.60
Focus	Mean	24.00	10.91	6.64	5.30
	N	62	62	62	62
	Std. Deviation	2.16	2.90	2.98	3.08
Total	Mean	46.30	18.61	9.91	10.05
	N	602	602	602	602

<sup>10</sup> This cut score will increase in a consistent manner along with SGTs. Hence, this cut score will increase by 3 points each year until it reaches 60%.

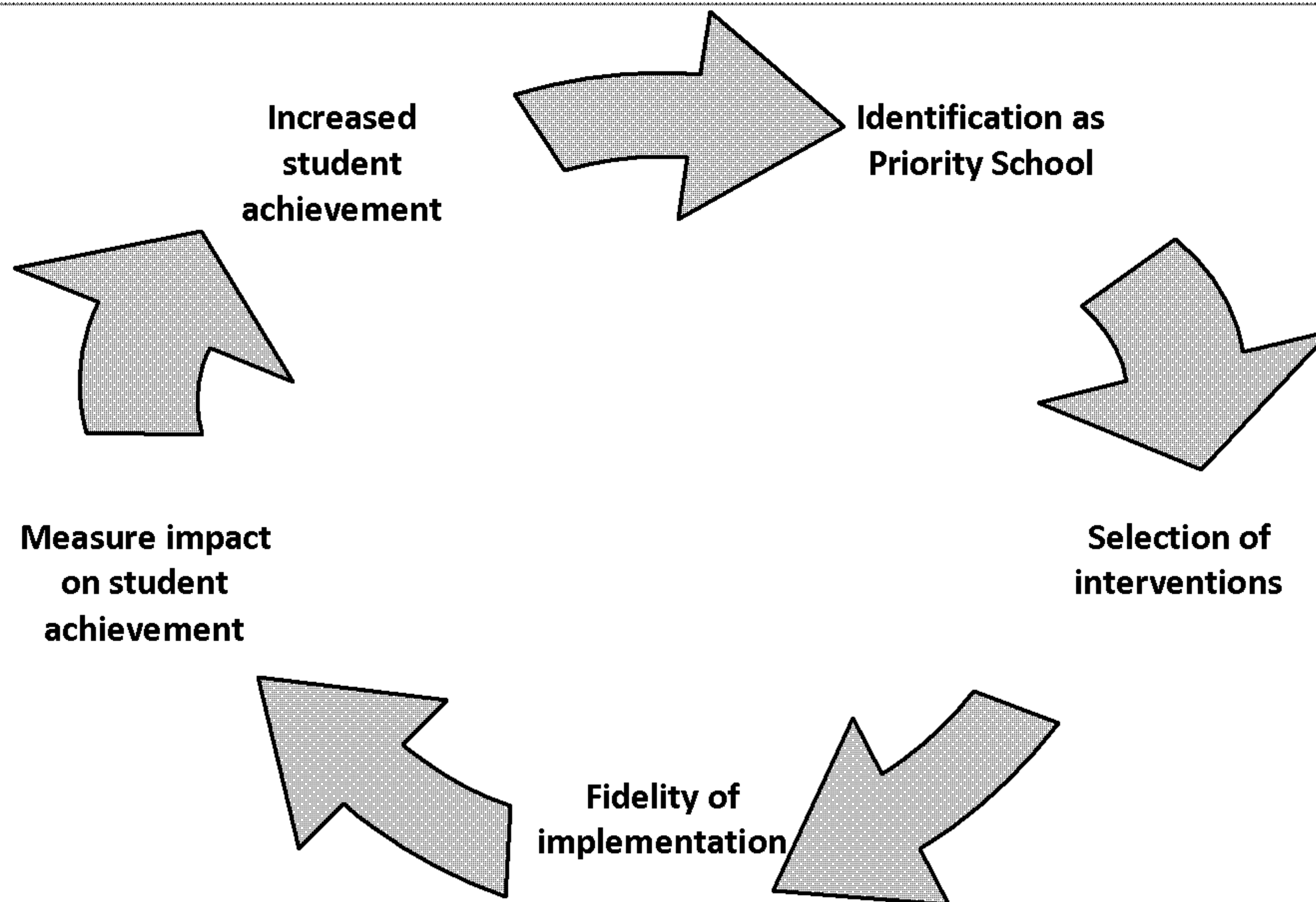
- 2.E.ii Provide the SEA’s list of focus schools in Table 2.
- 2.E.iii Describe the process and timeline the SEA will use to ensure that its LEAs that have one or more focus schools will identify the specific needs of the SEA’s focus schools and their students and provide examples of and justifications for the interventions focus schools will be required to implement to improve the performance of students who are the furthest behind.

### **Interventions in Focus Schools**

To adequately address the reason why a school has been identified as a Focus School, and to ensure that the academic needs of students in the school are met, Focus Schools must select four of the seven Turnaround Principles to implement. LEAs will be required to approve the principles selected and provide assurances to PED that they are aligned to the reasons why the school is identified as a focus school. While schools will have discretion, all focus schools must commit to use data to inform instruction.

Because all schools will receive baseline grades by the end of this calendar year (2011) and know if they are likely to be identified as a focus school once grades are given in summer 2012, the expectation is that all focus schools must immediately plan for and implement interventions aligned to the turnaround principles.

As Focus Schools prepare to align interventions, LEAs and PED will support Focus Schools as they prepares to align interventions as to why a school as identified. The budget review process and WebEPSS will be used to support the alignment of interventions to a schools designation as a focus school. Additionally, Focus Schools will be expected to follow the same cycle of improvement as Priority Schools.



In addition what is shown above, PED will work to ensure that specific interventions selected by Focus Schools are student focused and align to the needs of students. For example, if within a Focus School it is found that Native American students are struggling more than other subgroups of students, the school will be required to implement an intervention program that address the unique needs of that student group. If, over time, it is found that the achievement of a particular subgroup is not rising despite intervention, PED will support district leadership and Focus Schools as they implement different, more targeted tools and interventions.

Attachments 18 and 19 describe in detail specific tools and professional development that align to each Turnaround Principle. After identification as a Focus School, PEDs Priority Schools Bureau will partner with districts that have schools identified as they select interventions that align to their needs and WebEPPS plan. Creating alignment within the two systems will increase the likelihood of success in raising student achievement.

The current School Improvement Grant (SIG) allows schools flexibility in replacing the principal if at the school for two or more years. The new Principal has the ability to create a schedule that can vastly impact student achievement (i.e., extend the school day or year, literacy and math blocks of 90-120 minutes per day, provide teachers with collaboration time either during or after the school day). The Principal also has flexibility with budgeting (i.e.,

planning, creating, and budgeting authority over expenditures). In the recruitment and hiring and retention of teaching staff there is much flexibility in that existing staff are screened to measure the effectiveness of staff who can work within the requirements of the SIG, there is an opportunity for financial incentives, and increased opportunities for career growth. SIG also support a schools effort to change formal policy and informal standard operating procedures that can directly empower their turnaround efforts. PED will look to expand these flexibilities to a Principal that agrees to serve in a Focus School.

2.E.iv Provide the criteria the SEA will use to determine when a school that is making significant progress in improving student achievement and narrowing achievement gaps exits focus status and a justification for the criteria selected.

### **Exiting Focus School Status**

In order to no longer be considered a Focus School (F/D or D/F), a school must receive a grade of D/C, C/D, or higher for two consecutive years. If a school moves from Focus to Strategic status, they will be required to align interventions to the reason they are identified as a Strategic School. It is only when a school receives an overall grade of C or higher will they no longer be designated as a Focus or Strategic School (as outlined in section 2.F).

The business rules to exit Focus School status are aligned to requirements set forth for PED in the A-F School Grading Act. The legislation specified that “ensure that a local school board or governing body of a charter school is prioritizing resources of a public school rated D or F toward proven programs and methods that are linked to improved student achievement until the public school earns a grade of C or better for two consecutive years”.

**TABLE 2: REWARD, PRIORITY, AND FOCUS SCHOOLS**

Provide the SEA's list of reward, priority, and focus schools using the Table 2 template. Use the key to indicate the criteria used to identify a school as a reward, priority, or focus school.

**TABLE 2: REWARD, PRIORITY, AND FOCUS SCHOOLS**

School Identifier	Priority	Focus	Reward
1			A B
2			A
3			A B
4			A B
5			A B
6			A B
7			B
8			B
9			A B
10			A B
11			A
12			A B
13			A
14			A B
15			B
16			A B
17			A
18			B
19			A
20			B



School Identifier	Priority	Focus	Reward
21			B
22			AB
23			AB
24			AB
25			B
26			AB
27			A
28			AB
29			AB
30			AB
31			AB
32			AB
33			AB
34			A
35			B
36			A
37			AB
38		G	
39		G	
40		G	
41		G	
42		G	
43		G	
44		G	
45		G	
46		G	

School Identifier	Priority	Focus	Reward
1			AB
2			A
3			AB
4			AB
5			AB
6			AB
7			B
8			B
9			AB
10			AB
11			A
12			AB
13			A
14			AB
15			B
16			AB
17			A
18			B
19			A
20			B
21			B
22			AB
23			AB
24			AB
25			B
26			AB
27			A

School Identifier	Priority	Focus	Reward
28			AB
29			AB
30			AB
31			AB
32			AB
33			AB
34			A
35			B
36			A
37			AB
38		G	
39		G	
40		G	
41		G	
42		G	
43		G	
44		G	
45		G	
46		G	
47		G	
48		I	
49		I	
50		I	
51		I	
52		F	
53		I	
54		F	

School Identifier	Priority	Focus	Reward
55		I	
56		I	
57		I	
58		I	
59		I	
60		I	
61		I	
62		I	
63		I	
64		I	
65		I	
66		I	
67		I	
68		I	
69		I	
70		I	
71		I	
72		I	
73		I	
74		I	
75		I	
76		I	
77		I	
78		F	
79		F	
80		I	
81		I	

School Identifier	Priority	Focus	Reward
82		I	
83		I	
84		I	
85		F	
86		I	
87		I	
88		I	
89		F	
90		I	
91		I	
92		I	
93		I	
94		I	
95		I	
96		I	
97		I	
98		I	
99		I	
100		F	
101		I	
102		I	
103		I	
104		I	
105		I	
106		I	
107		I	
108		I	

School Identifier	Priority	Focus	Reward
109		I	
110	C		
111	C		
112	C		
113	C		
114	C		
115	C		
116	C		
117	C		
118	C		
119	C		
120	C		
121	C		
122	C		
123	C		
124	C		
125	C		
126	C		
127	C		
128	C		
129	C		
130	C		
131	C		
132	C		
133	C		
134	C		
135	C		

School Identifier	Priority	Focus	Reward
136	C		
137	C		
138	C		
139	C		
140	C		
141	C		
142	C		
143	C		
144	C		
145	C		
146	C		
47		G	
48		I	
49		I	
50		I	
51		I	
52		F	
53		I	
54		F	
55		I	
56		I	
57		I	
58		I	
59		I	
60		I	
61		I	
62		I	

School Identifier	Priority	Focus	Reward
63		I	
64		I	
65		I	
66		I	
67		I	
68		I	
69		I	
70		I	
71		I	
72		I	
73		I	
74		I	
75		I	
76		I	
77		I	
78		F	
79		F	
80		I	
81		I	
82		I	
83		I	
84		I	
85		F	
86		I	
87		I	
88		I	
89		F	



School Identifier	Priority	Focus	Reward
90		I	
91		I	
92		I	
93		I	
94		I	
95		I	
96		I	
97		I	
98		I	
99		I	
100		F	
101		I	
102		I	
103		I	
104		I	
105		I	
106		I	
107		I	
108		I	
109		I	
110	C		
111	C		
112	C		
113	C		
114	C		
115	C		
116	C		

School Identifier	Priority	Focus	Reward
117	C		
118	C		
119	C		
120	C		
121	C		
122	C		
123	C		
124	C		
125	C		
126	C		
127	C		
128	C		
129	C		
130	C		
131	C		
132	C		
133	C		
134	C		
135	C		
136	C		
137	C		
138	C		
139	C		
140	C		
141	C		
142	C		
143	C		

School Identifier	Priority	Focus	Reward
144	C		
145	C		
146	C		

**Key:**

A: High Performing

E: SIG School

B: High Growth

F: Large Gaps

C: Low performing, Low Growth

G: Low Performing Subgroups

D: Low Graduation Rate Growth

H: Low Graduation Rate

I: Low Performing, Low Growth

**Total # of Reward Schools: 37****Total # of Priority Schools: 37****Total # of Focus Schools: 72**

**2.F PROVIDE INCENTIVES AND SUPPORTS FOR OTHER TITLE 1 SCHOOLS**

- 2.F Describe how the SEA's differentiated recognition, accountability, and support system will provide incentives and supports to ensure continuous improvement in other Title I schools that, based on the SEA's new AMOs and other measures, are not making progress in improving student achievement and narrowing achievement gaps, and an explanation of how these incentives and supports are likely to improve student achievement and school performance, close achievement gaps, and increase the quality of instruction for students.

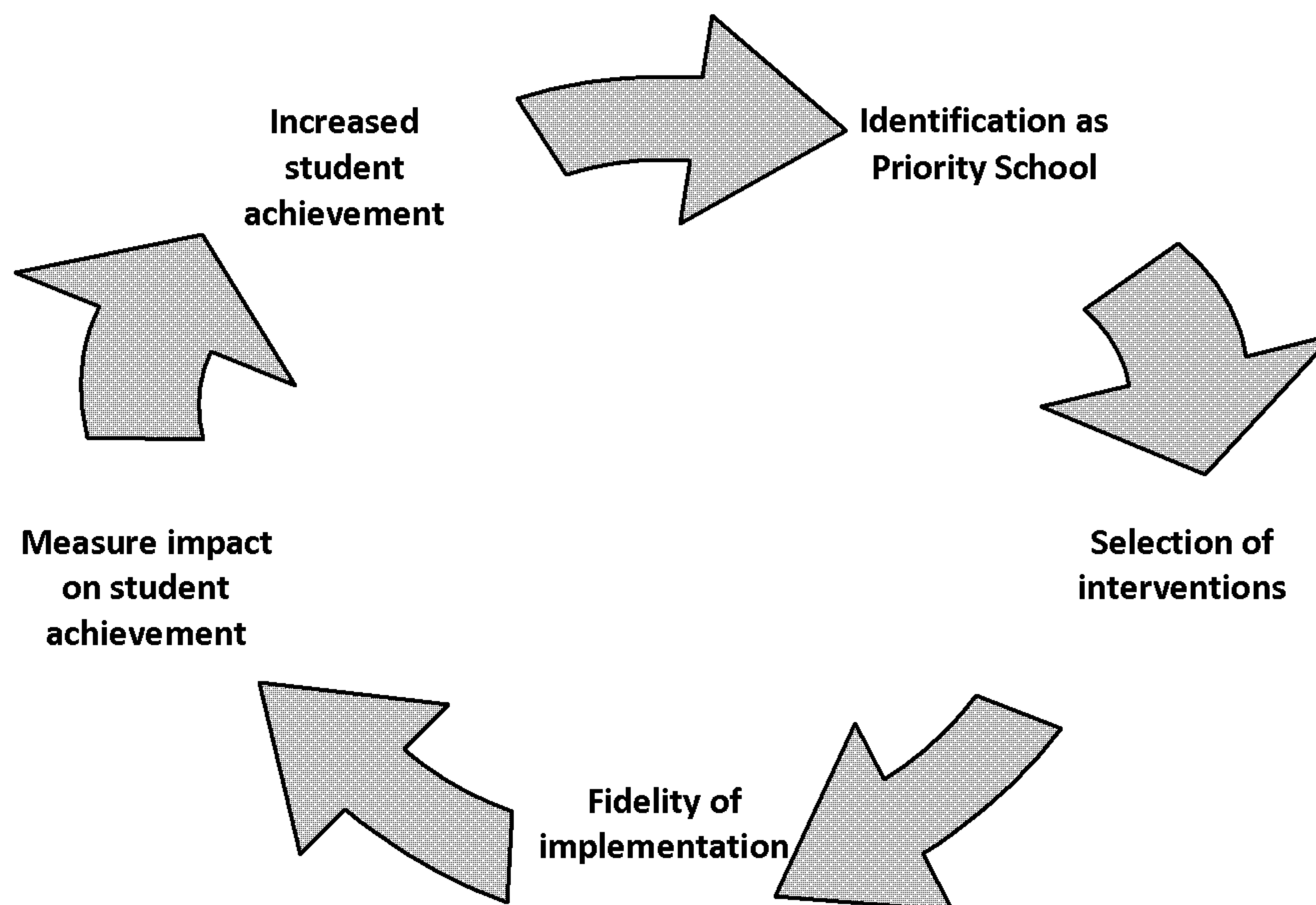
**Identification and Support of Strategic Schools**

In addition to Reward, Priority, and Focus Schools, the state will also identify Strategic Schools. The method for identifying Strategic Schools continues logically from the methodology for identifying Reward, Priority, and Focus Schools. These schools form the next level of school grades that include a D grade on at least one measure (proficiency or growth). For example, a school could receive a C for proficiency, but a D in growth, therefore leading to its identification as a Strategic School. Again we apply the same two year into the category and two year out of the category rule as for Priority and Focus Schools. We again consider elementary and middle separately from high school and use graduation rates for high school designation.

LEAs will be required to support Strategic Schools as they complete their WebEPSS submission and align interventions to support the needs of students in those schools. As with Priority and Focus Schools, the expectation is that any intervention or support selected is done so with the needs of students in mind. Placing a command focus on effective instruction will be the only way a school meets their SGT. Schools rated as Strategic are at risk of easily slipping in the either the Focus or Priority category. As such, fidelity of implementation will be closely monitored and prioritized. Because PED annually reviews and approves the operating budget of each district and charter school, PED will partner with districts during the budget review process to support their budget development to ensure alignment of tools in Strategic Schools to proven strategies.

Building the capacity of LEAs to support Strategic Schools is crucial to the overall success on New Mexico's differentiated accountability system. Because Strategic Schools sit on the balance of more intensive focus versus meeting their SGTs, supporting LEAs as they guide the intervention selection and implementation process will help to build capacity within LEAs.

As is the case with Priority and Focus Schools, Strategic Schools are expected to follow a cycle of continuous improvement to guide their use and implementation of interventions.



The current School Improvement Grant (SIG) allows schools flexibility in replacing the principal if at the school for two or more years. The new Principal has the ability to create a schedule that can vastly impact student achievement (i.e., extend the school day or year, literacy and math blocks of 90-120 minutes per day, provide teachers with collaboration time either during or after the school day). The Principal also has flexibility with budgeting (i.e., planning, creating, and budgeting authority over expenditures). In the recruitment and hiring and retention of teaching staff there is much flexibility in that existing staff are screened to measure the effectiveness of staff who can work within the requirements of the SIG, there is an opportunity for financial incentives, and increased opportunities for career growth. SIG also support a schools effort to change formal policy and informal standard operating procedures that can directly empower their turnaround efforts. PED will look to expand these flexibilities to a Principal that agrees to serve in a Strategic School.

## 2.G BUILD SEA, LEA, AND SCHOOL CAPACITY TO IMPROVE STUDENT LEARNING

- 2.G Describe the SEA’s process for building SEA, LEA, and school capacity to improve student learning in all schools and, in particular, in low-performing schools and schools with the largest achievement gaps, including through:
- i. timely and comprehensive monitoring of, and technical assistance for, LEA implementation of interventions in priority and focus schools;
  - ii. holding LEAs accountable for improving school and student performance, particularly for turning around their priority schools; and
  - iii. ensuring sufficient support for implementation of interventions in priority schools, focus schools, and other Title I schools identified under the SEA’s differentiated recognition, accountability, and support system (including through leveraging funds the LEA was previously required to reserve under ESEA section 1116(b)(10), SIG funds, and other Federal funds, as permitted, along with State and local resources).
- Explain how this process is likely to succeed in improving SEA, LEA, and school capacity.

### **Developing and Sustaining Capacity**

The New Mexico Public Education Department (PED) has built capacity in LEAs and schools with Technical Assistance onsite visits, Professional Development Trainings, and through the use of Accountability and Progress Monitoring Tools developed internally with an emphasis on scientifically research based best practices. Districts and schools participate in Exemplary Leadership Training, Data Dialogue Training, Fixsen Implementation School Indicators (school self assessment tool) Training and in turn have the tools and training necessary to train district and school leadership teams.

The tools along with professional development trainings, regular onsite technical assistance visits are necessary to improve student learning in all schools, specifically in the Priority and Focus Schools.

PEDs Priority Schools Bureau (with a timeline of every 4-6 weeks) will provide progress monitoring and support during the onsite visits to Priority and Focus Schools. The visits will consist of collaboration with District and School Leadership Teams, review of current assessment data and analysis of how the data is used to improve instruction, classroom observations and observation of Professional Learning Communities. School leadership teams will be trained in intervention strategies and best practices that align with the Seven Principles:

- Provide Strong Leadership;

- Ensure that teachers are effective and able to improve instruction;
- Redesign the school day, week, or year;
- Strengthen the schools instructional program;
- Use data to inform instruction;
- Establish a school environment that improves safety; and
- Engage families and communities.

LEAs will be held accountable for improving school and student performance through the use of the Curriculum Audit Handbook developed internally in collaboration with the Southwest Comprehensive Center. The purpose of the Curriculum Audit Handbook is to examine whether the school district is able to demonstrate its control of programs, resources and personnel. The Curriculum Audit Handbook can be utilized in a district with a disproportionate number of Priority/Focus Schools.

Priority and Focus Schools will undergo an Instructional Audit (IA) with PED and District Leadership trained on the tool in advance of the onsite visit to the school. The purpose of the Instructional Audit is to examine the systems put in place and supported by the school leadership that increase teacher effectiveness and enhance student learning through professional dialogue. It provides a tool by which an auditor or auditors (PED/District Leadership team) can compile data for feedback to a school about the instructional practices that were observed during the school visitation.

Priority Schools will utilize their school improvement plan (WebEPSS) to reflect the 7 Turnaround Principles. Strategies, action steps and interventions listed in the plan will support and indicate progress on the 7 Turnaround Principles.

Focus Schools will utilize their School Improvement Plan (WebEPSS) to reflect 4 of the 7 Turnaround Principles. Strategies, action steps and interventions listed in the plan will support and indicate progress on the 4 chosen Turnaround Principles. Strategic Schools will also utilize their WebEPSS plan to support and reflect the Turnaround Principles they are implementing.

Priority and Focus Schools will be assigned to a PED Support Specialist and go through a self evaluation using the Fixsen Implementation Drives and Rubric of Implementation Indicators. The review process begins by identifying where a school falls in the

implementation stages. Professional development, training and targeted assistance will begin once the results of the Instructional Audit and Fixsen Implementation Stages are identified. The PED Support Specialist will begin the onsite technical assistance process and provide district/school leadership teams with the intervention strategies, and researched based practices as indicated from the results of the IA and Implementation Indicators. Furthermore, PED will guide the facilitation and coordination of the Regional Education Centers (REC) throughout the State. The coordination intends to use RECs to help build internal District and School capacity in a differentiated approach.

PED personnel will continue to stay current with latest best practices through on-going professional development internally. Focus remains on the 7 Turnaround Principles. PED intends to utilize the financial flexibility that is allowed through the Waiver including leveraging funds the District was previously required to reserve under ESEA section 1116(b)(10), SIG funds and other Federal funds as permitted to most effectively support the strategies, and interventions that have been discussed previously in this section.



## PRINCIPLE 3: SUPPORTING EFFECTIVE INSTRUCTION AND LEADERSHIP

### 3.A DEVELOP AND ADOPT GUIDELINES FOR LOCAL TEACHER AND PRINCIPAL EVALUATION AND SUPPORT SYSTEMS

Select the option that pertains to the SEA and provide the corresponding description and evidence, as appropriate, for the option selected.

<b>Option A</b>	<b>Option B</b>	<b>Option C</b>
<p><input checked="" type="checkbox"/> If the SEA has not already developed any guidelines consistent with Principle 3, provide:</p> <ul style="list-style-type: none"> <li>i. the SEA’s plan to develop and adopt guidelines for local teacher and principal evaluation and support systems by the end of the 2011–2012 school year;</li> <li>ii. a description of the process the SEA will use to involve teachers and principals in the development of these guidelines; and</li> <li>iii. an assurance that the SEA will submit to the Department a copy of the guidelines that it will adopt by the end of the 2011–2012 school year (see Assurance 14).</li> </ul>	<p><input type="checkbox"/> If the SEA has already developed and adopted one or more, but not all, guidelines consistent with Principle 3, provide:</p> <ul style="list-style-type: none"> <li>i. a copy of any guidelines the SEA has adopted (Attachment 10) and an explanation of how these guidelines are likely to lead to the development of evaluation and support systems that improve student achievement and the quality of instruction for students;</li> <li>ii. evidence of the adoption of the guidelines (Attachment 11);</li> <li>iii. the SEA’s plan to develop and adopt the remaining guidelines for local teacher and principal evaluation and support systems by the end of the 2011–2012 school year;</li> <li>iv. a description of the process used to involve teachers and principals in the development of the adopted guidelines and the process to continue their involvement in developing any remaining guidelines; and</li> <li>v. an assurance that the SEA will submit to the Department a copy of the remaining guidelines that it will adopt by the end of the 2011–2012 school year (see Assurance 14).</li> </ul>	<p><input type="checkbox"/> If the SEA has developed and adopted all of the guidelines consistent with Principle 3, provide:</p> <ul style="list-style-type: none"> <li>i. a copy of the guidelines the SEA has adopted (Attachment 10) and an explanation of how these guidelines are likely to lead to the development of evaluation and support systems that improve student achievement and the quality of instruction for students;</li> <li>ii. evidence of the adoption of the guidelines (Attachment 11); and</li> <li>iii. a description of the process the SEA used to involve teachers and principals in the development of these guidelines.</li> </ul>

**Overview of Teacher and School Leader Evaluation**

In August 2011, New Mexico, responding to an Executive Order of Governor Susana Martinez, the New Mexico Effective Teaching Task Force submitted recommendations that proposed to overhaul the evaluation system within the state of New Mexico for teachers and school leaders. These recommendations include establishing a differentiated evaluation system for teachers and school leaders that utilizes student achievement as a critical component of the process, reformulating the compensation system to reflect the evaluation process, and enhancing the recruitment and retention of teachers and school leaders through enhanced professional development and incentivized pay for highly effective teachers and school leaders in to serve in high need, low income schools.

New Mexico's initiative to incorporate an objective evaluation system is predicated on the belief that each educator will be equipped with data that is meaningful and relevant in providing actionable information for continuous improvement within the evaluation system, and ultimately, increased student achievement. As New Mexico moves closer to implementing the Common Core Standards and full implementation of the A-F School Grading Act, the development of a uniform, achievement-based evaluation process will enhance our ability to produce a highly marketable, college and career ready student body.

**Teacher Evaluation**

Currently, New Mexico uses a binary evaluation system that rates teachers based on licensure levels. Provisional or Level 1 licenses are issued to beginning teachers for a period of five years. These licenses must be advanced by the end of the fifth year via a successful submission of a portfolio assessment. A failure to successfully advance a Level 1 license will result in the teacher losing their ability to be licensed again for three years. Teachers with Level 1 licenses must be evaluated annually using a uniform evaluation that reflects upon the nine competencies for educators outlined by the state. Teachers at Level 1 receive a base salary of \$30,000.00.

Professional or Level 2 licenses are nine year licenses that do not require advancement, and can be maintained for the duration of a teacher's career after initial advancement from Level 1. Level 2 teachers are required to be evaluated every third year. Teachers at Level 2 receive a base salary of \$40,000.00.

A Level 2 teacher can choose to advance to Level 3 after three “successful” years of teaching with a Level 2 license, earning a Master’s Degree, and successful completion of a portfolio assessment. Level 3 teachers are required to be evaluated every third year, and there is not an ability to advance salary or level once this level is reached.

While Level 1 teachers are evaluated annually, the level of expectation is limited in the evaluation to that of a Level 1 teacher. Teachers with Level 2 licenses are evaluated on the same competencies with slightly enhanced levels of proficiency to be demonstrated. Level 3 teachers are rated using the same competencies as Level 1 and 2 teachers, but areas of leadership are taken into account as part of the overall evaluation. In addition, the expectations of instruction and leadership are expected to “seamlessly integrate strategies, materials, and resources to accommodate diverse student needs.”

In short, the current evaluation system uses the same criteria for all teachers with varying levels of proficiency expectations. Evaluations are not required to include student achievement data as evidence of effectiveness. In addition, annual evaluations are only required of Level 1 teachers, with Level 2 and 3 teachers receiving evaluations tri-annually. In order to improve the evaluation system, PED will propose legislation during the 2012 session to replace the current binary system of evaluation with a five tier system that identifies levels of effectiveness as a measure that determines targeted professional development, employment decisions, and licensure status. The legislation that will be introduced will align to the guidelines set forth in this flexibility package and be based upon the final recommendations of the Task Force. Key components of the legislation will be:

- Multiple measures, including student achievement, to evaluate teachers and school leaders;
- Include five levels of performance – Ineffective, Minimally Effective, Effective, Highly Effective, Exemplary – to differentiate among teachers and school leaders;
- Require annual evaluations of teachers and school leaders;
- Align professional development to evaluation results and provide teachers and school leaders with opportunity to improve their practice; and
- Inform personnel decisions based upon the results of the evaluation.

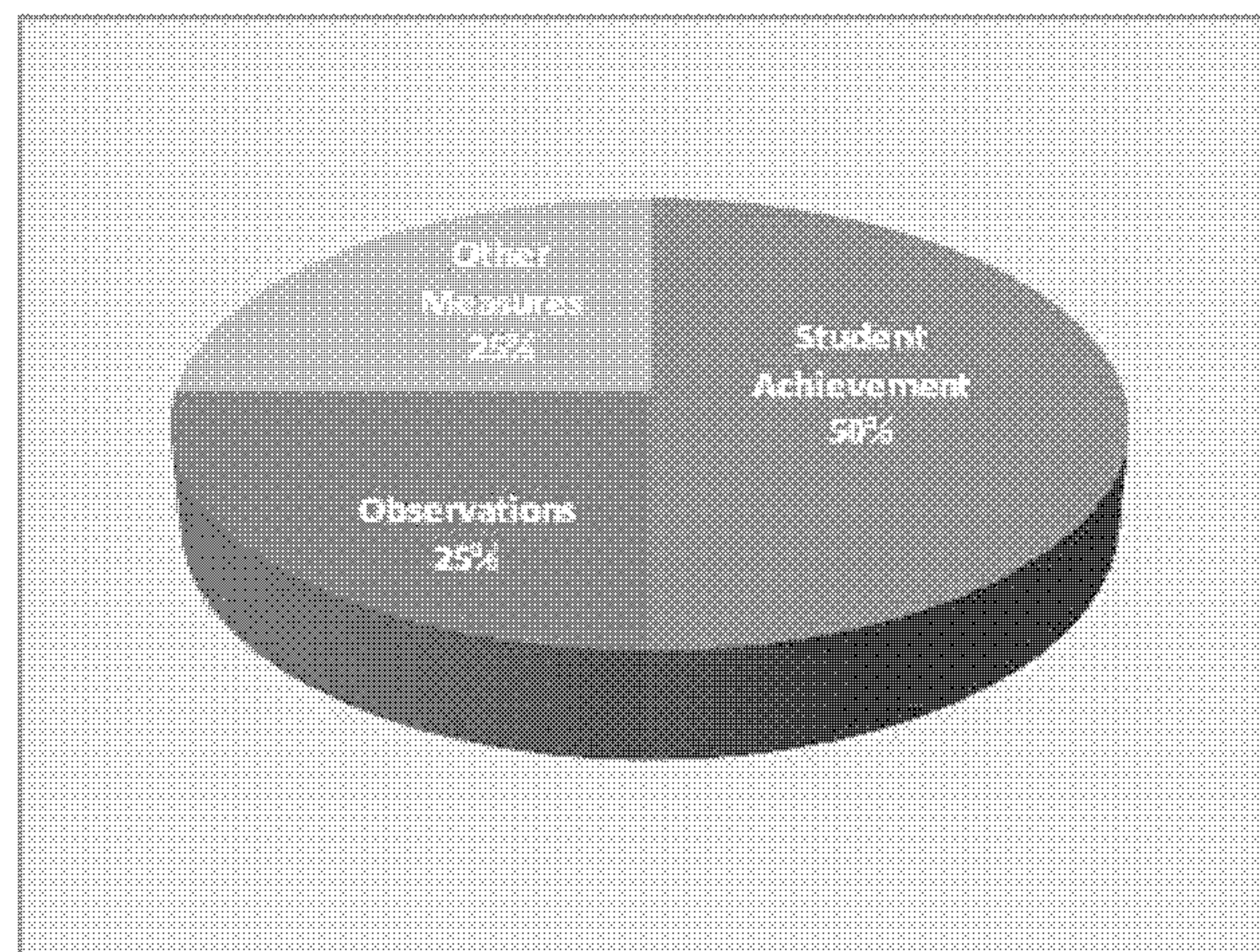
PED feels strongly that the inclusion of multiple measures in a redesigned teacher evaluation system is critical to ensure efficiency, accuracy, and an accurate portrayal of a teacher’s

impact on student learning. The full Task Force report and recommendations, which will be the basis for the legislation, can be found in Attachment 14.

In order to implement this system strategically, the evaluation model will immediately establish a model for teachers in tested subjects and grades, while simultaneously creating a transition model for teachers that are currently teaching in untested subjects and grades. Effectiveness levels will be assigned after careful consideration of multiple measures that includes student achievement data, structured observations, and other proven measures selected by the local districts from a list of options approved by the PED

For teachers in tested subjects and grades, the following evaluation will be implemented, with baseline data being gathered from the 2010-2011 school year:

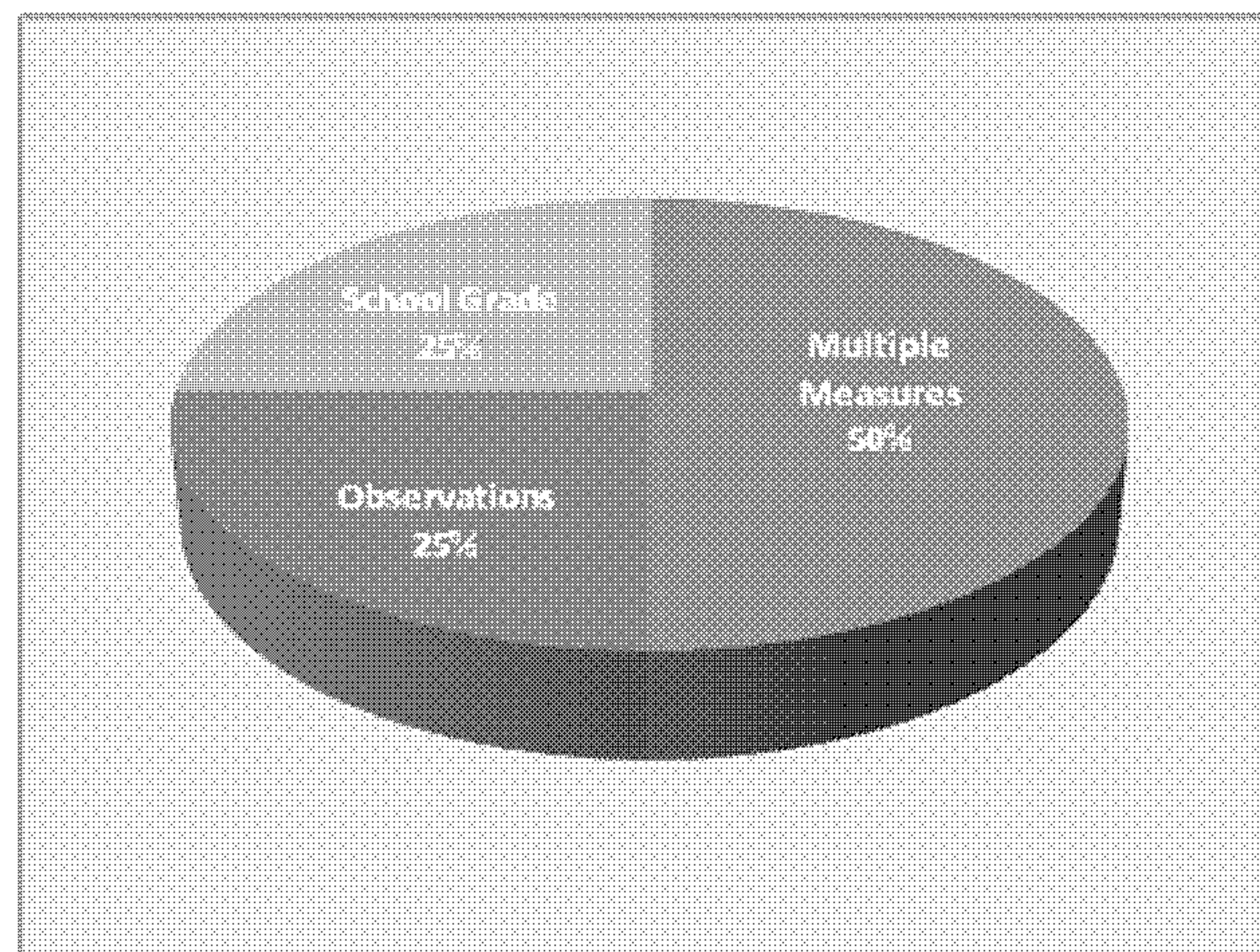
- 50% based on a Value Added Model (VAM) of student achievement;
- 25% based on strategically designed observation model; and
- 25% based on locally adopted (and PED approved) multiple measures.



In establishing the VAM criteria, the PED will establish a rigorous data review process prior to disseminating information to local districts for inclusion in the locally-adopted teacher evaluation process. Teachers will also be provided with their value-added information for purposes of informing instruction, establishing actionable data, and identifying areas for professional development. In addition to providing baseline data, beginning with the 2010-2011 school year, PEDs VAM will seek to use three years of data for every area possible, providing LEAs and teachers with longitudinal data regarding practice and needs.

For teacher in non-tested subjects and grades, the following evaluation will be implemented, with baseline data being gathered from the 2010-2011 school year:

- 25% based on a school's A-F School Grade;
- 25% based on observations; and
- 50% based on locally adopted (and PED approved) multiple measures.



The above criteria will be used as a bridge policy until PED establishes assessments for teachers in all areas. PED will continue to move toward establishing criterion referenced assessments for all areas K-11 by 2014.

In support of the newly developed evaluation system, PED will adhere to the following best practices as part of initial and long term implementation:

- Use of multiple measures carefully determined by LEAs and approved by PED;
- Minimum of four observations per year (minimum of two by the school leader), which may include outside evaluators that are trained in a PED-approved protocol;
- Use of a statewide, uniform observation tool that is locally adopted by LEAs for consistency with PED approved and provided training of uniform observation tool to ensure inter-rater reliability;
- Observations will provide actionable feedback, in a timely manner, and be used to inform individual professional development plans;
- Utilize a matrix that allows for convergence of both quantitative and qualitative data;
- Provide an in-depth post-evaluation conference that provides the teacher with actionable feedback;

As a support mechanism to the evaluation system, New Mexico will phase in a number of

initiatives to recruit, retain, and reward teachers by implementing a diversified pay structure that will rely on effectiveness as measured by student growth, structured observations, and other clear, multiple measures. By providing an advancement structure based on quality of teaching and not number of years of service, teachers will accelerate their compensation advancement according to their effectiveness in the classroom.

Additionally, PED will seek to follow recommendation number 34 from the final Task Force report which would remove ineffective teachers from the classroom after multiple ineffective evaluations and opportunity for improvement. Studies have shown that if we give the most at-risk student the most effective teachers, we would close the achievement gap. Conversely, data shows that if a student is placed in a classroom with a low-performing teacher, the student will struggle to make up learning gains (Hanushek, 2011).

### **School Leader Evaluation**

New Mexico school leaders are currently required to be evaluated annually using the Highly Objective Uniform Statewide Standard of Evaluation for Principals and Assistant Principals (HOUSSE-P). This evaluation requires that site administrators are evaluated using four domains or competencies: instructional leadership, communication, professional development, and operations management. Secondary administrators have an additional competency of scope or responsibility in secondary schools.

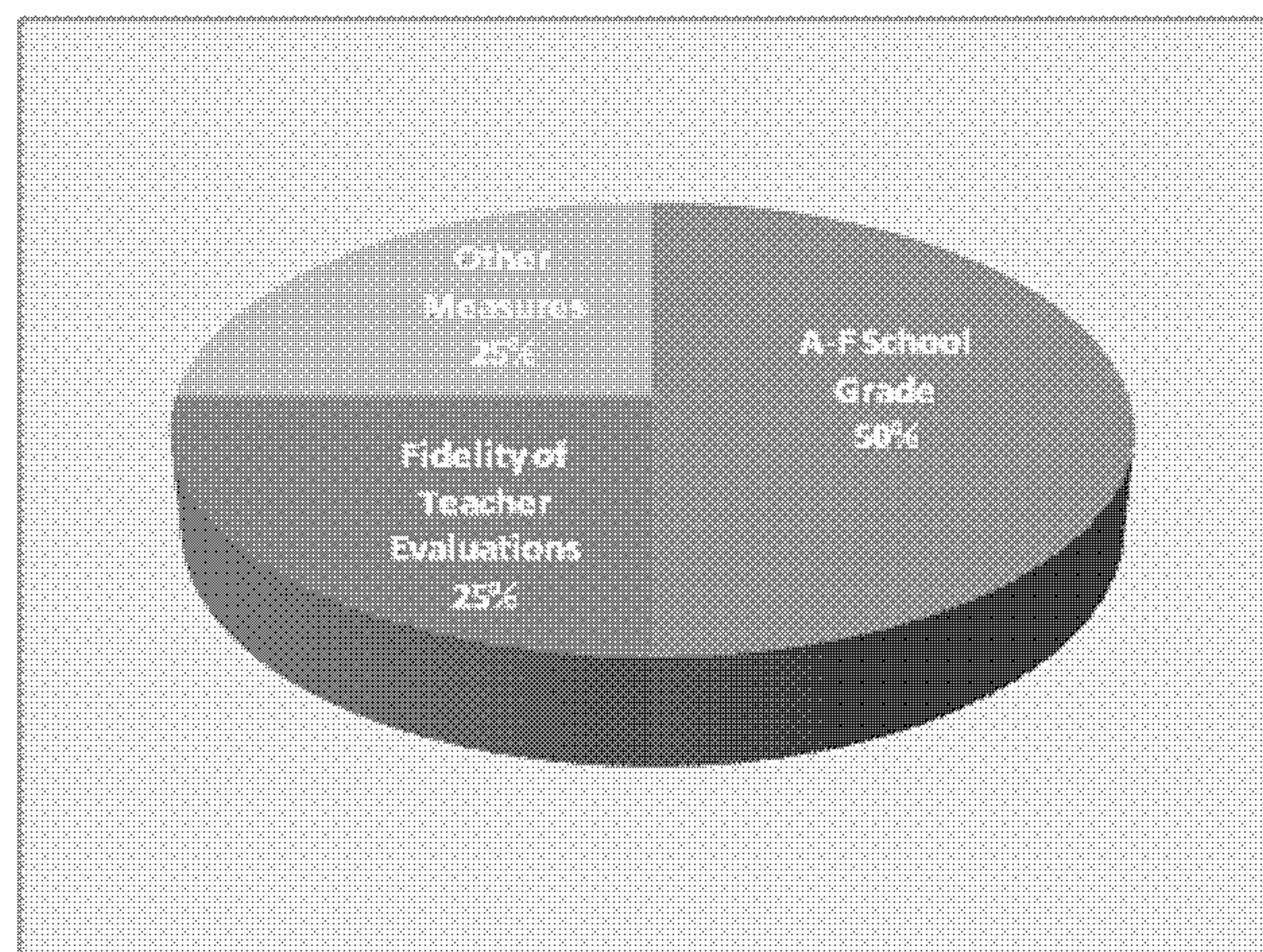
In the administrative evaluation model, only the domain pertaining to secondary school administrators mentions achievement as a component of demonstrating effectiveness. In addition, there is not a criterion regarding achievement data to be used in measuring the administrator's performance. The administrative evaluation does allow for differentiation of skills by respective administrators, though the differentiation of skills (beginning, emerging, proficient, advanced) does not have a clear indicator of administrators that are not making progress.

Similar to that of the teachers, the school leader evaluation must have a more direct correlation to the performance of students and ultimately to their achievement data. Thus, PED will propose legislation that will directly link New Mexico's School Grading formula to the school leader's evaluation.

The formula for determining the school leader's evaluation will comprise of the following:

- 50% based on a school's A-F School Grade;

- 25% fidelity of teacher observations and evaluations; and
- 25% other measures as determined by LEA's (and PED approval).



### Implementation process

As we enter into a new framework for evaluating teachers and school leaders, New Mexico will implement a process that will ensure reliability of data, transparency on the new requirements, and ongoing professional development to all stakeholders. The new evaluation model will require rigorous training in outcome evaluation processes and purposes. Establishing working groups within the state of New Mexico, as well as a Technical Advisory Committee with a national perspective is paramount in our successful transition. Similar to the recruitment of the Task Force that developed the new evaluation recommendations, PED will seek to obtain representation from all statewide stakeholders. Included in this group are the following:

- Teachers;
- Administrators;
- Union representation;
- Local school board members;
- Parents; and
- Business community representation.

The state working groups will serve in an advisory capacity on the development of regulations related to the new evaluation system, as well as provide feedback from around the state. In addition, PED will engage these working groups to provide technical assistance and guidance

to all LEAs as they prepare for implementation. LEAs will be provided with multiple opportunities for assistance through regional and statewide networks.

In the initial implementation, LEAs will be trained with ongoing physical conferences that are geographically located for beneficial participation, as well as ongoing internet-based training that will be provided monthly. PED will partner with LEAs to collect data on the effectiveness of training, frequently asked questions, and logistical requirements.

### **Timeline**

The timeline for the teacher and school leader evaluation began in April 2011 with the establishment of the New Mexico Effective Teaching Task Force. On August 26, 2011, the Task Force finalized its recommendation to Governor Susana Martinez as guidance for proposed legislation in January 2012. In order to successfully implement a redesigned teacher and school leader evaluation system, PED will phase implementation of the new evaluation protocol over two years. This will allow for adequate time to train all LEAs on the new system. The following timeline is proposed:

<b>Key Milestone/Activity</b>	<b>Timeline</b>	<b>Party Responsible</b>	<b>Resources</b>
Pass legislation establishing a dynamic, multi-tiered evaluation system for teacher and school leaders	Completed February 2012	PED; state-legislature	Task Force recommendations
Establish statewide advisory council to support development of regulations aligned to legislation	Spring 2012	PED	
Establish Technical Advisory Committee (TAC) to consult on implementation of new evaluation system	Spring 2012	PED	
Submit to USED final passed legislation that	June 2012	PED	



aligns to the guidelines set forth in this flexibility package			
Initiate technical assistance to LEAs on final legislative requirements and rule development	June 2012	PED	Regional Education Collaboratives (RECs)
Preliminary data runs to establish baseline and determine statistical formula	June – August 2012	PED	
Finalize regulation and statistical model for evaluations	December 2012	PED	TAC; statewide advisory council
Training and technical assistance to LEAs on final regulations and full system	January 2013 – August 2013	PED	TAC; statewide advisory council; RECs
Begin phased implementation of new teacher and school leader evaluation system	2013-2014	PED; LEAs	TAC; statewide advisory council; RECs
Continue phased implementation of teacher and school leader evaluation system	2014-2015	PED; LEAs	TAC; statewide advisory council; RECs
Align compensation system to evaluation system	2015-2016	PED; LEAs	TAC; statewide advisory council

### 3.B ENSURE LEAs IMPLEMENT TEACHER AND PRINCIPAL EVALUATION AND SUPPORT SYSTEMS

- 3.B Provide the SEA's process for ensuring that each LEA develops, adopts, pilots, and implements, with the involvement of teachers and principals, including mechanisms to

review, revise, and improve, high-quality teacher and principal evaluation and support systems consistent with the SEA's adopted guidelines.

### **Implementation of Evaluation Systems in LEAs**

PED recognizes the importance that systemic professional development and technical assistance will plan in ensuring proper implementation of a new teacher and school leader evaluation system. As such, PED is committed to providing multiple training opportunities, both in-person and via technology to all LEAs and schools as they undertake implementation of a redesigned evaluation system.

Once the state passes legislation that outlines the guidelines a redesigned teacher and school leader evaluation system must follow, PED will immediately appoint the statewide advisory council detailed in section 3.A. Development of regulations to implement the evaluation system will directly impact districts and schools, so provide an opportunity for robust and regular feedback is critical.

To ensure reliability and consistency across New Mexico schools, PED anticipates that the state will be responsible for developing the value-added model to measure a teacher's impact on student learning as one of the multiple measures that comprise an evaluation system. In addition to the statewide advisory committee, PED will utilize the expertise of the TAC (described in section 3.A) to guide the modeling. As such, it will be the remaining components of teacher and school leader evaluations systems that LEAs will need to meet the requirements for.

For teachers in tested grades and subjects, the components of their evaluation will include:

- 50% based on a Value Added Model (VAM) of student achievement;
- 25% based on strategically designed observation model; and
- 25% based on locally adopted (and PED approved) multiple measures.

For teacher in untested grades and subjects, the components of their evaluation will include:

- 25% based on a school's A-F School Grade;
- 25% based on observations; and
- 50% based on locally adopted (and PED approved) multiple measures.

Note that this is a bridge policy until additional assessment tools are available to measure the

impact of instruction on student learning.

For school leaders, the components of their evaluation will include:

- 50% based on a school's A-F School Grade;
- 25% fidelity of teacher observations and evaluations; and
- 25% other measures as determined by LEA's (and PED approval).

As districts undertake robust observations systems, they will need to ensure that the protocols they are using meet criteria established by the state. Additionally, LEAs will also need to ensure that they additional multiple measures they select meet the policy criteria established through legislation and regulation. Similar to the statewide advisory council, it is expected that LEAs will engage teachers, school leaders, parents, and other stakeholders as they select additional multiple measures.

PED seeks to implement a teacher and school leader evaluation system that meets the unique needs of district, but is consistent and reliable across and among districts. Balancing consistent use of VAM with locally-adopted measure will lead to this outcome. As the state takes the next steps in implement a dynamic teacher and school leader evaluation system, New Mexico will provide the US Department of Education that it has met the principles outlined per this request.

**ATTACHMENT 1: NOTICE TO LEAs**

**From:** Behrens, Larry, PED  
**Sent:** Wednesday, September 28, 2011 2:26 PM  
**Subject:** New Mexico's NCLB Waiver

Dear Superintendents and Principals,

Last Friday's announcement by President Obama about waivers from No Child Left Behind is an excellent opportunity for New Mexico's students. For the first time, we'll have an accountability system which measures our students not on a pass/fail system, but on a system that recognizes the growth many of our schools make every day. One of the biggest goals for New Mexico's waiver would be to replace the current AYP reporting system with our own A-F school grading system. As many of you know, AYP scores show nearly 87% our schools are failing. We know that's not true and this waiver gives us a chance to prove it.

Along with a waiver for AYP, we expect this will be an excellent opportunity to recognize our most effective teachers. Right now, our teacher evaluation system is graded on a pass/fail system that doesn't acknowledge our greatest teachers. Holding high accountability for our schools is a clear mandate from Washington and an effective system for recognizing teachers must be part of any waiver, including New Mexico's.

Finally, New Mexico's waiver will ask for more flexibility with federal funding for our districts. With more options for our federal dollars our districts can direct more resources to proven strategies in their schools.

Secretary Skandera was invited to the White House to take part in last week's event. Since the announcement, there have been many questions about the process and timing of the waiver. Enclosed are some items I hope will answer most of your questions. The first is a front page article from the Albuquerque Journal featuring Secretary Duncan. The second is the text of a press conference with Secretary Duncan, Secretary Skandera and Colorado Governor John Hickenlooper.

The U.S. Department of Education has also created a website with information on the waiver process:  
<http://www.ed.gov/esea/flexibility> .

We're hopeful these press items will answer many of your questions about the waiver. If not, please feel free to contact Leighann Lenti ([leighann.lenti@state.nm.us](mailto:leighann.lenti@state.nm.us)) at any time.

**Larry Behrens**

Public Information Officer

New Mexico Public Education Department & New Mexico Higher Education Department

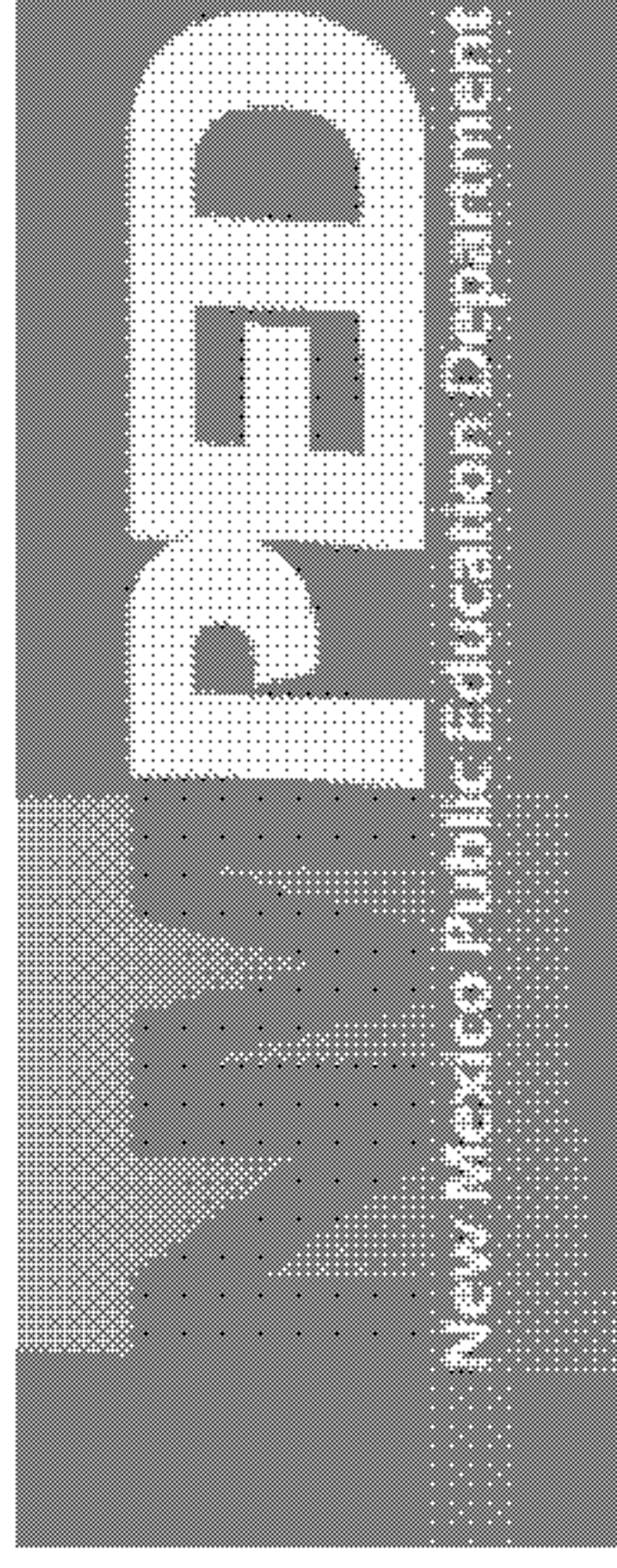
Office: 505-476-0393

(b)(6)

E-Mail: [larry.behrens2@state.nm.us](mailto:larry.behrens2@state.nm.us)

# New Mexico's ESEA Flexibility Request

*November 10, 2011*



Hanna Skandera  
Secretary of Education

# Principles

---

1. **College- and Career-Ready Expectations for All Students**
2. **State-Developed Differentiated Recognition, Accountability, and Support**
3. **Supporting Effective Instruction and Leadership**

# Principle 1: College- and Career-Ready Expectations

---

- **Adopt college- and career-ready standards**
- **Transition to and implement standards no later than 2013-2014**
- **Administer statewide assessments aligned to standards by 2014-2015**



# Principle 1: College- and Career-Ready Expectations

---

- Adopted Common Core State Standards (CCSS) in October 2010
- Developing transition plan *now* to plan for implementation
- Participation in PARCC

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- **Develop and implement a system of differentiated recognition, accountability, and support**
- **Ambitious but achievable AMOs**
- **Identify Reward, Priority, and Focus Schools**

# Principle 2: Differentiated Recognition, Accountability, and Support

---

- A-F School Grading Act
  - Proficiency
  - Growth
  - Other Measures

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- *AMOs that emphasize proficiency and growth*
  - Based on school grades

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- **Reward Schools**
  - Highest-performing and highest-progress schools
  - Public recognition
  - Additional flexibility in academic programs and budget

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- **Priority Schools**
  - 5% of Title I schools in New Mexico
  - Based on school grade
  - Interventions will be aligned to the turnaround principles and why a school is identified as a priority school

# Principle 2: Differentiated Recognition, Accountability

---

- **Focus Schools**
  - 10% of Title I schools in New Mexico
  - Based on school grade
  - Interventions will be aligned to the turnaround principles and why a school is identified as a focus school

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- Turnaround Principles
  - Providing strong leadership
  - Ensuring teachers are effective and able to improve instruction
  - Redesigning the school day, week, or year
  - Strengthening the school's instructional program based on student needs and ensuring that the program is research-based



## **Principle 2: Differentiated Recognition, Accountability, and Support**

---

- **Turnaround Principles Continued**
  - **Using data to inform instruction and for continuous improvement**
  - **Establishing a school environment that improves safety and discipline**
  - **Providing ongoing mechanisms for family and community engagement**

# Principle 3: Supporting Effective Instruction and Leadership

---

- Develop state guidelines for teacher and school leader evaluation and support systems
- Ensure LEAs implement teacher and school leader evaluation and support systems that are consistent with state guidelines

## <sup>16</sup> Principle 3: Supporting Effective Instruction and Leadership

---

- **Federal Guidelines**
  - Will be used for continual improvement and instruction
  - Meaningfully differentiate performance using at least 3 levels
  - Evaluate teachers and school leaders on a regular basis

## Principle 3: Supporting Effective Instruction and Leadership

---

- **Federal Guidelines Continued**
  - Use multiple valid measures in determining performance levels, including as a significant factor *student growth* for all students
  - Provide clear, timely and useful feedback to inform PD
  - Will be used to inform personnel decisions

## **Principle 3: Supporting Effective Instruction and Leadership**

---

- **Establish policy guidelines by the end of 2011-2012**
- **Finalize evaluation system and provide TA to schools and districts on the components of the system in 2012-2013**
- **Implement new evaluation system in 2013-2014**

## Process and Next Steps

---

- **Flexibility request submitted on November 14**
- **Peer reviewed in December**
- **Iterative process**

# Question and Answer

---

- ????

## Further Questions and Information

---

- Leighann Lenti, Director of Policy
  - [Leighann.Lenti@state.nm.us](mailto:Leighann.Lenti@state.nm.us)





Hanna Skandera  
Secretary-Designate

New Mexico  
Public Education Department

300 Don Gaspar  
Santa Fe, New Mexico 87501-2786  
[www.ped.state.nm.us](http://www.ped.state.nm.us)

# Public Notice

For Immediate Release: September 30, 2011

## Public Hearing Scheduled on Grading Public Schools

**Santa Fe** – The New Mexico Public Education Department (NMPED) hereby gives notice that it will conduct a public hearing in Mabry Hall, Jerry Apodaca Education Building, 300 Don Gaspar, Santa Fe, New Mexico, 87501, on October 31, 2011, from 9:30 a.m. to 11:30 a.m. The NMPED will conduct a second public hearing at Alamogordo Public Schools, Board of Education Meeting Room, 1211 Hawaii Avenue, Alamogordo, New Mexico, on November 2, 2011, from 1:00 p.m. to 3:00 p.m.

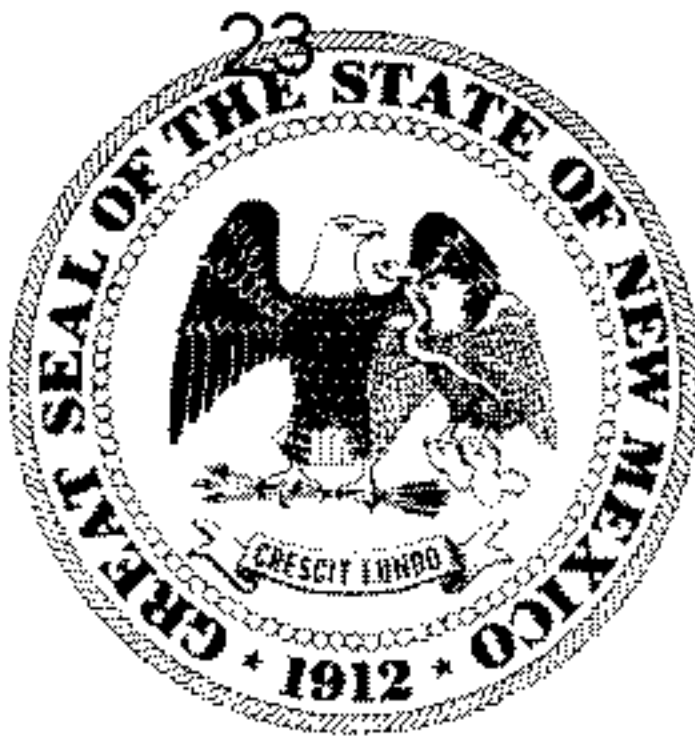
The purpose of the public hearing will be to obtain input on the proposed adoption of a new rule to implement the “A-B-C-D-F Schools Rating Act,” which requires the establishment of an easily understandable system for grading all public schools based upon criteria stated in the rule and also provides options for students enrolled in schools rated F for two of the last four years. The rule would be codified as 6.19.8 NMAC and entitled, “Grading of Public Schools”.

Interested individuals may provide oral or written comments at the public hearing and/or submit written comments to Ms. Mary H. Deets, Administrative Assistant, Office of General Counsel, Public Education Department, Jerry Apodaca Education Building, 300 Don Gaspar, Santa Fe, New Mexico 87501-2786 ([MaryH.Deets@state.nm.us](mailto:MaryH.Deets@state.nm.us)) (505) 827-6641 fax (505) 827-6681. To be considered, written comments must be received no later than 5:00 p.m. on the date of the hearing. However, the submission of written comments as soon as possible is encouraged.

Copies of the proposed rules may be accessed on the Department’s website (<http://ped.state.nm.us/>) under the “Public Meetings and Hearings” link, or obtained from Ms. Deets at the email address or phone number indicated.

Individuals with disabilities who require this information in an alternative format or need any form of auxiliary aid to attend or participate in either of these meetings are asked to contact Ms. Deets as soon as possible. The NMPED requires at least ten (10) days advance notice to provide requested special accommodations.

Following the hearings, the Secretary of Education will review comments from the public and make a decision on the rules. The rules will be formally filed with the State Records and Archives Center and become effective on the date stated in the rules. Individual school districts will then draft local policies that will be approved by their Boards of Education and the Public Education Department.



Hanna Skandera  
Secretary of Education-Designate

New Mexico  
Public Education Department

300 Don Gaspar  
Santa Fe, New Mexico 87501-2786  
[www.ped.state.nm.us](http://www.ped.state.nm.us)

Larry Behrens  
Public Information Officer  
505-476-0393  
[Larry.Behrens2@state.nm.us](mailto:Larry.Behrens2@state.nm.us)

# PRESS RELEASE

For Immediate Release: July 26, 2011

## Community Invited to Teacher Task Force Meeting in Santa Fe August 2 and 3

*Task Force will hear public input from 11:00 a.m. to 1:00 p.m. on Tuesday*

Santa Fe, NM – The New Mexico Public Education Department invites teachers, school district personnel, parents, and members of the community to attend the August 2 and 3, 2011 New Mexico Effective Teaching Task Force Meeting.

The Tuesday, August 2 meeting will be held at the Public Education Department, Mabry Hall, 300 Don Gaspar, Santa Fe, NM, 87501 from 9 am – 5 pm. The Wednesday, August 3 meeting will also be held at the Public Education Department, Mabry Hall from 9 am – 1 pm.

The following subject will be discussed:

- Preservice Training Programs for Teachers.

On Tuesday, August 2, from 11:00 a.m. to 1:00 p.m., the Task Force invites the public to comment on areas related to teacher and school leader evaluation, recruitment, retention, professional development, and compensation. The Task Force will also accept written public input until 5:00 p.m. on Wednesday, August 3, 2011 that is posted at [teacher.evaluation@state.nm.us](mailto:teacher.evaluation@state.nm.us)

The statement of purpose, presentations, and reading materials for the Task Force can be found at: <http://www.ped.state.nm.us/ttf/index.html>

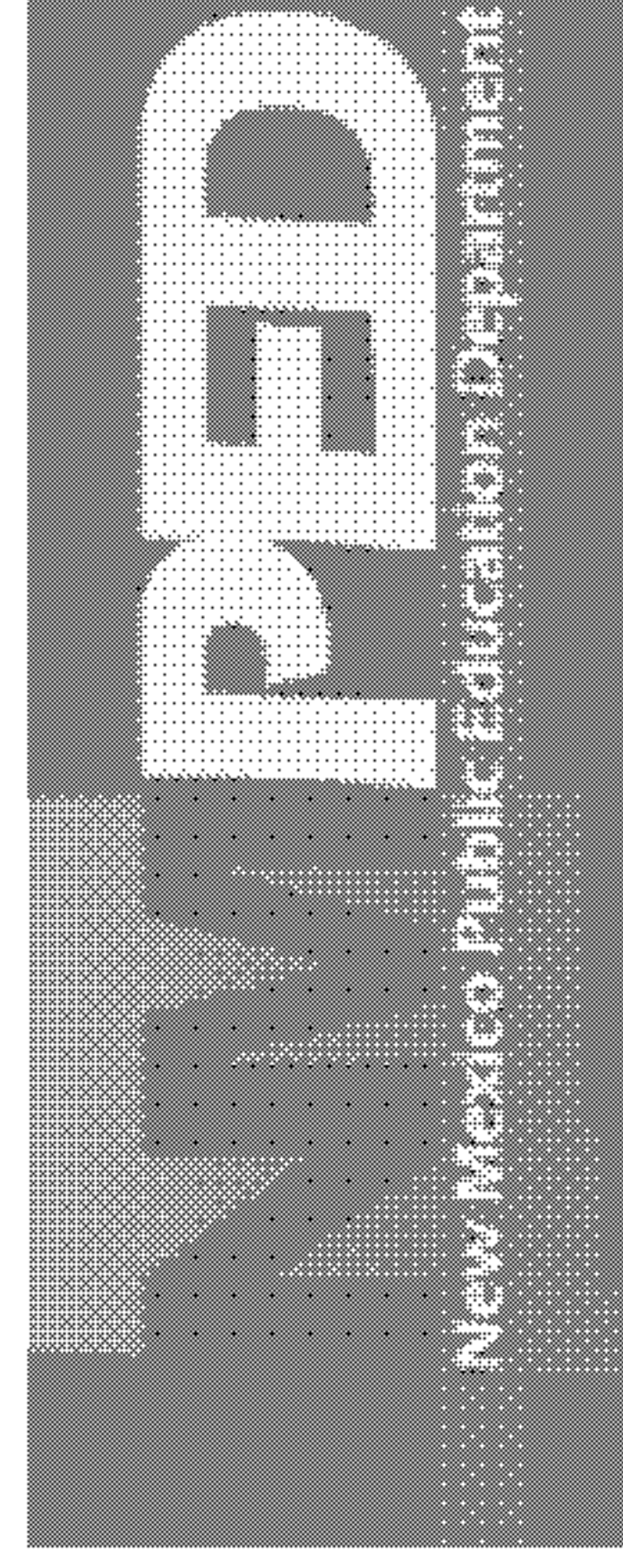
For information contact Leighann Lenti at (505) 827-6688 or via email [leighann.lenti@state.nm.us](mailto:leighann.lenti@state.nm.us).

###

**ATTACHMENT 3: NOTICE AND INFORMATION PROVIDED TO THE PUBLIC REGARDING THE  
REQUEST**

# New Mexico's ESEA Flexibility Request

*November 10, 2011*



Hanna Skandera  
Secretary of Education

# Principles

---

1. **College- and Career-Ready Expectations for All Students**
2. **State-Developed Differentiated Recognition, Accountability, and Support**
3. **Supporting Effective Instruction and Leadership**

# Principle 1: College- and Career-Ready Expectations

---

- **Adopt college- and career-ready standards**
- **Transition to and implement standards no later than 2013-2014**
- **Administer statewide assessments aligned to standards by 2014-2015**

# Principle 1: College- and Career-Ready Expectations

---

- Adopted Common Core State Standards (CCSS) in October 2010
- Developing transition plan *now* to plan for implementation
- Participation in PARCC

## **Principle 2: Differentiated Recognition, Accountability, and Support**

---

- **Develop and implement a system of differentiated recognition, accountability, and support**
- **Ambitious but achievable AMOs**
- **Identify Reward, Priority, and Focus Schools**



# Principle 2: Differentiated Recognition, Accountability, and Support

---

- A-F School Grading Act
  - Proficiency
  - Growth
  - Other Measures

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- AMOs that emphasize proficiency and growth
  - Based on school grades

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- **Reward Schools**
  - Highest-performing and highest-progress schools
  - Public recognition
  - Additional flexibility in academic programs and budget

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- **Priority Schools**
  - 5% of Title I schools in New Mexico
  - Based on school grade
  - Interventions will be aligned to the turnaround principles and why a school is identified as a priority school

## Principle 2: Differentiated Recognition, Accountability

---

- **Focus Schools**
  - 10% of Title I schools in New Mexico
  - Based on school grade
  - Interventions will be aligned to the turnaround principles and why a school is identified as a focus school

## Principle 2: Differentiated Recognition, Accountability, and Support

---

- Turnaround Principles
  - Providing strong leadership
  - Ensuring teachers are effective and able to improve instruction
  - Redesigning the school day, week, or year
  - Strengthening the school's instructional program based on student needs and ensuring that the program is research-based

## **Principle 2: Differentiated Recognition, Accountability, and Support**

---

- **Turnaround Principles Continued**
  - **Using data to inform instruction and for continuous improvement**
  - **Establishing a school environment that improves safety and discipline**
  - **Providing ongoing mechanisms for family and community engagement**

## Principle 3: Supporting Effective Instruction and Leadership

---

- Develop state guidelines for teacher and school leader evaluation and support systems
- Ensure LEAs implement teacher and school leader evaluation and support systems that are consistent with state guidelines



## <sup>38</sup>Principle 3: Supporting Effective Instruction and Leadership

---

- **Federal Guidelines**
  - Will be used for continual improvement and instruction
  - Meaningfully differentiate performance using at least 3 levels
  - Evaluate teachers and school leaders on a regular basis

## Principle 3: Supporting Effective Instruction and Leadership

---

- **Federal Guidelines Continued**
  - Use multiple valid measures in determining performance levels, including as a significant factor *student growth* for all students
  - Provide clear, timely and useful feedback to inform PD
  - Will be used to inform personnel decisions

## **Principle 3: Supporting Effective Instruction and Leadership**

---

- **Establish policy guidelines by the end of 2011-2012**
- **Finalize evaluation system and provide TA to schools and districts on the components of the system in 2012-2013**
- **Implement new evaluation system in 2013-2014**

## Process and Next Steps

---

- **Flexibility request submitted on November 14**
- **Peer reviewed in December**
- **Iterative process**

# Question and Answer

---

- ????

## Further Questions and Information

---

- Leighann Lenti, Director of Policy
  - [Leighann.Lenti@state.nm.us](mailto:Leighann.Lenti@state.nm.us)

**ATTACHMENT 4: ADOPTION OF COLLEGE- AND CAREER-READY STANDARDS**



New Mexico  
Public Education Department

300 Don Gaspar  
Santa Fe, New Mexico 87501-2786  
ped.state.nm.us

Dr. Veronica C. García  
Secretary of Education

Beverly Friedman and Danielle Montoya  
Public Information Officers  
505-827-6661 505-476-0393

[Bev.Friedman@state.nm.us](mailto:Bev.Friedman@state.nm.us) [Danielle.Montoya@state.nm.us](mailto:Danielle.Montoya@state.nm.us)

# NEWS RELEASE

For Immediate Release: June 18, 2010

## Public Hearing Scheduled For K-12 Mathematics and English/Language Arts Common Core Standards That Will Be Implemented in 2011

**Santa Fe** – The New Mexico Public Education Department will conduct a public hearing at Mabry Hall, Jerry Apodaca Building, 300 Don Gaspar, Santa Fe, New Mexico 87501-2786, on July 23, 2010, from 9:00 a.m. to 10:00 a.m. to obtain public input on rules concerning adapting New Mexico's Standards of Excellence in Mathematics and English/ Language Arts to become national Common Core Standards.

Governor Bill Richardson and Secretary Garcia signed a memorandum of agreement in May of 2009 with the National Governors Association (NGA) and the Council of Chief State School Officers (CCSSO) that called for states to work together to develop common standards for English/Language Arts and Mathematics for grades K-12.

To be eligible for the Race to the Top competition, the PED is required to adopt the Common Core Standards for Language Arts and Mathematics by August 2, 2010, for use in New Mexico public schools. PED is conducting a two part adoption process. The public rule hearing is part one where adoption of the Mathematics and English/Language Arts Common Core Standards will be discussed. Once the two rules are adopted, they have will have a delayed implementation date of August 31, 2011 for state public schools. Amending NMAC 6.29.4 and NMAC 6.29.7 will mean that the current Math and Language Arts standards will remain in effect until August 31, 2011 when the Common Core Standards will replace them.

The second part of the process is to work with educators and community members throughout the state to add the common core Benchmarks and Performance Standards and review current New Mexico mathematics and Language Arts K-12 Benchmarks and Performance Standards. Two statewide committees, composed of teachers, school administrators, other professionals in education, parents, and others, have been established to determine which, if any of the current standards will be retained. PED will conduct another public hearing in late fall of 2010 for the adoption of the "new" Benchmarks and Performance Standards for Language Arts and Mathematics. Implementation of these revised, K-12, standards will be required beginning with the 2011-2012 school year.

"New Mexico continues to be recognized for its challenging state Standards of Excellence," said Secretary García. "By participating with the NGA and CCSSO in developing Academic Common Core Standards, we assure that our students will receive a world class education and have the ability to compete at an international level."

Rules that will be discussed at the July 23, 2010 hearing include the following.

Rule Number	Rule Name	Proposed Action
6.29.4 NMAC	Standards for Excellence English Language Arts	Amending
6.29.7 NMAC	Standards for Excellence Math	Amending
6.29.13 NMAC	Language Arts Common Core Standards	New
6.29.14 NMAC	Math Common Core Standards	New



**Public Hearing Scheduled For K-12 Mathematics and English/Language Arts Common Core Standards That Will Be Implemented in 2011 – June 18, 2010 – page 2**

Interested individuals may testify either at the public hearing or submit written comments regarding the proposed rulemaking to Kristine Meurer, Director, School and Family Support Bureau, Public Education Department, CNM Workforce Training Center, 5600 Eagle Rock Ave. NE, Room 201, Albuquerque, NM 87113, Fax (505) 222-4759, e-mail: [Kristine.meurer@state.nm.us](mailto:Kristine.meurer@state.nm.us).

**Public Hearing Scheduled For K-12 Mathematics and English/Language Arts Common Core Standards That Will Be Implemented in 2011- page 2 – June 7, 2010**

Written comments must be received no later than 5:00 p.m. on July 23, 2010. However, submission of written comments as soon as possible is encouraged.

The text of the proposed rulemaking actions may be accessed on the Department's website (<http://ped.state.nm.us>) or obtained from Kristine Meurer, Director, School and Family Support Bureau, Public Education Department, CNM Workforce Training Center, 5600 Eagle Rock Ave. NE, Room 201, Albuquerque, NM 87113, Fax (505) 222-4759, e-mail: [Kristine.meurer@state.nm.us](mailto:Kristine.meurer@state.nm.us). The proposed rules will be made available at least thirty days prior to the hearings.

Individuals with disabilities who require this information in an alternative format or need any form of auxiliary aid to attend or participate in this meeting are asked to contact Kristine Meurer ([kristine.meurer@state.nm.us](mailto:kristine.meurer@state.nm.us)) or (505) 827-4748 as soon as possible. The Department requests at least ten (10) days advance notice to provide requested special accommodations.

###

**TITLE 6            PRIMARY AND SECONDARY EDUCATION**  
**CHAPTER 29       STANDARDS FOR EXCELLENCE**  
**PART 13           ENGLISH LANGUAGE ARTS COMMON CORE STANDARDS**

**6.29.13.1           ISSUING AGENCY:** Public Education Department, hereinafter the department.  
 [6.29.13.1 NMAC - N, 10-29-2010]

**6.29.13.2           SCOPE:** All public schools, state educational institutions and educational programs conducted in state institutions other than the New Mexico military institute.  
 [6.29.13.2 NMAC - N, 10-29-2010]

**6.29.13.3           STATUTORY AUTHORITY:**

A.            Section 22-2-2 NMSA 1978 grants the department the authority and responsibility for the assessment and evaluation of public schools, state-supported educational institutions and educational programs conducted in state institutions other than the New Mexico military institute.

B.            Section 22-2-2 NMSA 1978 directs the department to set graduation expectations and hold schools accountable.

C.            Section 22-2C-3 NMSA 1978 requires the department to adopt academic content and performance standards and to measure the performance of public schools in New Mexico.

[6.29.13.3 NMAC - N, 10-29-2010]

**6.29.13.4           DURATION:** Permanent.

[6.29.13.4 NMAC - N, 10-29-2010]

**6.29.13.5           EFFECTIVE DATE:** October 29, 2010, unless a later date is cited at the end of a section. This rule is filed effective October 29, 2010. School districts and charter schools will not be accountable for the requirements of this rule until July 1, 2012.

[6.29.13.5 NMAC - N, 10-29-2010]

**6.29.13.6           OBJECTIVE:** The New Mexico common core content standards for English language arts are mandated for students in grades K-12. The New Mexico content standards with benchmarks and performance standards for English language arts were adopted in April 1996 as part of 6 NMAC 3.2; they were revised in June 2000. The content standards, benchmarks and performance standards for grades K-4 were again revised in April 2008, and the content standards and performance indicators for Grades 9-12 were again revised in May 2009.

[6.29.13.6 NMAC - N, 10-29-2010]

**6.29.13.7           DEFINITIONS:** "Text" means written language, oral language, digital communications (written, oral, and graphic), and other forms of multimedia communications.

[6.29.13.7 NMAC - N, 10-29-2010]

**6.29.13.8           CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS, Grades K-5.** All public schools, state supported educational institutions and educational programs conducted in state institutions other than the New Mexico military institute are bound by the English language arts common core state standards published by the national governor's association center for best practices and the council of chief state school officers. These standards are available at [www.ped.state.nm.us](http://www.ped.state.nm.us). The English language arts common core state standards published by the national governor's association center for best practices and the council of chief state school officers are incorporated in this rule by reference.

A.            The following standards are additional New Mexico standards that shall be utilized for grades K-5 in conjunction with the common core state standards incorporated by reference in 6.29.13 NMAC.

B.            Reading literature. Key ideas and details.

(1)          Kindergarten students will identify the main topic, retell key details of a text, and make predictions.

(2)          Grade 1 students will:

(a)          identify the main topic, retell key details of a text, and make predictions;

(b)          identify characters and simple story lines from selected myths and stories from around the world.

- (3) Grade 2 students will:
- identify the main topic, retell key details of a text, and make predictions;
  - use literature and media to develop an understanding of people, cultures, and societies to explore self identity.
- (4) Grade 3 students will:
- ask and answer questions and make predictions to demonstrate understanding of a text;
  - develop an understanding of people, cultures, and societies and explore self identity through literature, media, and oral tradition;
  - understand that oral tribal history is not a myth, fable, or folktale, but a historical perspective.
- (5) Grade 4 students will:
- develop an understanding of people, cultures, and societies and explore self identity through literature, media, and oral tradition;
  - understand that oral tribal history is not a myth, fable, or folktale, but a historical perspective.
- (6) Grade 5 students will:
- develop an understanding of people, cultures, and societies and explore self identity through literature, media, and oral tradition;
  - understand that oral tribal history is not a myth, fable, or folktale, but a historical perspective.
- C. Reading literature: Craft and structure. Grade 1 students will recognize repetition and predict repeated phrases.
- D. Reading literature: Integration of knowledge and ideas. Grade 1 students will relate prior knowledge to textual information.
- E. Writing standards: Production and distribution of writing.
- Kindergarten students will apply digital tools to gather, evaluate, and use information.
  - Grade 1 students will apply digital tools to gather, evaluate, and use information.
  - Grade 2 students will:
    - apply digital tools to gather, evaluate, and use information;
    - use digital media and environments to communicate and work collaboratively.
- F. Writing standards: text type and purposes. In grades 3, 4, and 5 students will use digital media environments to communicate and work collaboratively, including at a distance, to support individual learning and to contribute to the learning of others.
- G. Writing standards: research to build and present knowledge.
- Grade 3 students will:
    - gather relevant information from multiple sources, including oral knowledge;
    - apply digital tools to gather, evaluate, and use information.
  - Grade 4 students will:
    - gather relevant information from multiple sources, including oral knowledge;
    - apply digital tools to gather, evaluate, and use information;
    - demonstrate creative thinking, construct knowledge, and develop innovative products and processes using technology.
  - Grade 5 students will:
    - gather relevant information from multiple sources, including oral knowledge;
    - apply digital tools to gather, evaluate, and use information;
    - demonstrate creative thinking, construct knowledge, and develop innovative products and processes using technology.
- H. Speaking and listening standards: presentation of knowledge and ideas.
- Kindergarten students will:
    - demonstrate familiarity with stories and activities related to various ethnic groups and countries;
    - with prompting and support: role play; make predictions; and follow oral and graphic instructions.
  - Grade 1 students will:
    - describe events related to the students' experiences, nations, and cultures;
    - follow simple written and oral instructions.

- (3) Grade 2 students will describe events related to the students' experiences, nations, and cultures.
- (4) Grade 3, 4, and 5 students will:
  - (a) understand the influence of heritage language in English speech patterns;
  - (b) orally compare and contrast accounts of the same event and text;
  - (c) demonstrate appropriate listening skills for understanding and cooperation within a variety

of cultural settings.

I. Language standards: Conventions of standard English. Students in grades K, 1, and 2 will use letter formation, lines, and spaces to create a readable document.

[6.29.13.8 NMAC - N, 10-29-2010]

**6.29.13.9 CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS, Grades 6-8:** All public schools, state supported educational institutions and educational programs conducted in state institutions other than the New Mexico Military institute are bound by the English language arts common core state standards published by the national governors association center for best practices and the council of chief state school officers. The standards are available at [www.ped.state.nm.us](http://www.ped.state.nm.us). The English language arts common core state standards published by the national governors association center for best practices and the council of chief state school officers are incorporated in this rule by reference.

A. The following standards are additional New Mexico standards that shall be utilized in conjunction with the common core state standards incorporated by reference in 6.29.13 NMAC.

B. Reading literature. Key ideas and details.

(1) Grade 6 students will:

(a) analyze how a cultural work of literature, including oral tradition, draws on themes, patterns of events, or character types, and how the differing structure of the text contributes to society, past or present;

(b) analyze works of Hispanic and Native American text by showing how it reflects the heritage, traditions, attitudes, and beliefs of the author and how it applies to society;

(c) compare a cultural value as portrayed in literature with a personal belief or value.

(2) Grade 7 students will:

(a) analyze how a cultural work of literature, including oral tradition, draws on themes, patterns of events, or character types, and how the differing structure of the text contributes to society, past or present;

(b) analyze works of Hispanic and Native American text by showing how it reflects the heritage, traditions, attitudes, and beliefs of the author and how it applies to society;

(c) use oral and written texts from various cultures to cite evidence that supports or negates understanding of a cultural value.

(3) Grade 8 students will:

(a) analyze how a cultural work of literature, including oral tradition, draws on themes, patterns of events, or character types, and how the differing structure of the text contributes to society, past or present;

(b) analyze works of Hispanic and Native American text by showing how it reflects the heritage, traditions, attitudes, and beliefs of the author and how it applies to society;

(c) use oral or written texts from various cultures, cite textual evidence that supports or negates reader inference of a cultural value.

C. Reading literature. Range of reading and level of text complexity. Grade 8 students will, by the end of the year, read and comprehend significant works of 18<sup>th</sup>, 19<sup>th</sup>, and 20<sup>th</sup> century literature including stories, dramas, and poems independently and proficiently.

D. Reading standards for informational text: integration of knowledge and ideas. Students in grades 6, 7, and 8 will:

(1) distinguish between primary and secondary sources;

(2) describe how the media use propaganda, bias, and stereotyping to influence audiences.

E. Speaking and listening standards: presentation of knowledge and ideas. Students in grades 6, 7, and 8 will:

(1) understand the influence of heritage language in English speech patterns;

(2) orally compare and contrast accounts of the same event and text;

(3) demonstrate appropriate listening skills for understanding and cooperation within a variety of cultural settings.

[6.29.13.9 NMAC - N, 10-29-2010]

**6.29.13.10 CONTENT STANDARDS FOR ENGLISH LANGUAGE ARTS, Grades 9-12:** All public schools, state supported educational institutions and educational programs conducted in state institutions other than the New Mexico military institute are bound by the English language arts common core state standards published by the national governors association center for best practices and the council of chief state school officers. These standards are available at [www.ped.state.nm.us](http://www.ped.state.nm.us). The English language arts common core state standards published by the national governor's association center for best practices and the council of chief state school officers are incorporated in this rule by reference. The department, in consultation with relevant stakeholders, shall develop guidelines for the implementation of standards set forth in 6.29.13.10 NMAC.

A. The following standards are additional New Mexico standards that shall be utilized in conjunction with the common core state standards incorporated by reference in 6.29.13 NMAC.

B. Reading literature. Key ideas and details. Students in grades 9, 10, 11, and 12 will:

(1) analyze and evaluate common characteristics of significant works of literature from various genres, including Hispanic and Native American oral and written texts;

(2) cite strong and thorough textual evidence to support analysis of British, world, and regional literatures, including various Hispanic and Native American oral and written texts.

C. Reading standards for informational text: Integration of knowledge and ideas. Students in grades 9, 10, 11, and 12 will:

(1) analyze and evaluate common characteristics of significant works, including Hispanic and Native American oral and written texts;

(2) cite strong and thorough textual evidence to support analysis of significant works, including Hispanic and Native American oral and written texts.

[6.29.13.10 NMAC - N 10-29-2010]

#### **HISTORY OF 6.29.13 NMAC:**

**Pre-NMAC HISTORY:** The material in this part is derived from that previously filed with the State Records Center:

SDE 74-17, (Certificate No. 74-17), Minimum Educational Standards for New Mexico Schools, filed April 16, 1975.

SDE 76-9, (Certificate No. 76-9), Minimum Education Standards for New Mexico Schools, filed July 7, 1976.

SDE 78-9, Minimum Education Standards for New Mexico Schools, filed August 17, 1978.

SBE 80-4, Educational Standards for New Mexico Schools, filed September 10, 1980.

SBE 81-4, Educational Standards for New Mexico Schools, filed July 27, 1981.

SBE 82-4, Educational Standards for New Mexico Schools, Basic and Vocational Program Standards, filed November 16, 1982.

SBE Regulation No. 83-1, Educational Standards for New Mexico Schools, Basic and Vocational Program Standards, filed June 24, 1983.

SBE Regulation 84-7, Educational Standards for New Mexico Schools, Basic and Vocational Program Standards, filed August 27, 1984.

SBE Regulation 85-4, Educational Standards for New Mexico Schools, Basic, Special Education, and Vocational Programs, filed October 21, 1985.

SBE Regulation No. 86-7, Educational Standards for New Mexico Schools, filed September 2, 1986.

SBE Regulation No. 87-8, Educational Standards for New Mexico Schools, filed February 2, 1988.

SBE Regulation No. 88-9, Educational Standards for New Mexico Schools, filed October 28, 1988.

SBE Regulation No. 89-8, Educational Standards for New Mexico Schools, filed November 22, 1989.

SBE Regulation No. 90-2, Educational Standards for New Mexico Schools, filed September 7, 1990.

SBE Regulation No. 92-1, Standards for Excellence, filed January 3, 1992.

#### **History of Repealed Material:**

6.30.2 NMAC, Standards for Excellence, filed November 2, 2000 - Repealed effective June 30, 2009.

#### **NMAC History:**

6 NMAC 3.2, Standards for Excellence, filed October 17, 1996.

6.30.2 NMAC, Standards for Excellence, filed November 2, 2000.

6.29.4 NMAC, English Language Arts; filed September 16, 2009.

6.29.14 NMAC, English Language Arts Common Core Standards; filed October 18, 2010.

**MEMORANDUM OF UNDERSTANDING**  
**For**  
**Race To The Top – Comprehensive Assessment Systems Grant**  
**PARTNERSHIP FOR ASSESSMENT OF READINESS FOR COLLEGE AND**  
**CAREERS MEMBERS**

*August 25, 2011*

**I. Parties**

This Memorandum of Understanding (“MOU”) is made and effective as of this 25 day of August 2011, (the “Effective Date”) by and between the State of New Mexico and all other member states of the Partnership For Assessment of Readiness for College and Careers (“Consortium” or “PARCC”) who have also executed this MOU.

**II. Scope of MOU**

This MOU constitutes an understanding between the Consortium member states to participate in the Consortium. This document describes the purpose and goals of the Consortium, presents its background, explains its organizational and governance structure, and defines the terms, responsibilities and benefits of participation in the Consortium.

**III. Background – Comprehensive Assessment Systems Grant**

On April 9, 2010, the Department of Education (“ED”) announced its intent to provide grant funding to consortia of States for two grant categories under the Race to the Top Fund Assessment Program: (a) Comprehensive Assessment Systems grants, and (b) High School Course Assessment grants. 75 Fed. Reg. 18171 (April 9, 2010) (“Notice”).

The Comprehensive Assessment Systems grant will support the development of new assessment systems that measure student knowledge and skills against a common set of college- and career-ready standards in mathematics and English language arts in a way that covers the full range of those standards, elicits complex student demonstrations or applications of knowledge and skills as appropriate, and provides an accurate measure of student achievement across the full performance continuum and an accurate measure of student growth over a full academic year or course.

**IV. Purpose and Goals**

The states that are signatories to this MOU are members of a consortium (Partnership For Assessment of Readiness for College and Careers) that have organized themselves to apply for and carry out the objectives of the Comprehensive Assessment Systems grant program.

Consortium states have identified the following major purposes and uses for the assessment system results:

- To measure and document students' college and career readiness by the end of high school and progress toward this target. Students meeting the college and career readiness standards will be eligible for placement into entry-level credit-bearing, rather than remedial, courses in public 2- and 4-year postsecondary institutions in all participating states.
- To provide assessments and results that:
  - Are comparable across states at the student level;
  - Meet internationally rigorous benchmarks;
  - Allow valid measures of student longitudinal growth; and
  - Serve as a signal for good instructional practices.
- To support multiple levels and forms of accountability including:
  - Decisions about promotion and graduation for individual students;
  - Teacher and leader evaluations;
  - School accountability determinations;
  - Determinations of principal and teacher professional development and support needs; and
  - Teaching, learning, and program improvement.
- Assesses all students, including English learners and students with disabilities.

To further these goals, States that join the Consortium by signing this MOU mutually agree to support the work of the Consortium as described in the PARCC application for funding under the Race to the Top Assessment Program.

## **V. Definitions**

This MOU incorporates and adopts the terms defined in the Department of Education's Notice, which is appended hereto as Addendum 1.

## **VI. Key Deadlines**

The Consortium has established key deadlines and action items for all Consortium states, as specified in Table (A)(1)(b)(v) and Section (A)(1) of its proposal. The following milestones represent major junctures during the grant period when the direction of the Consortium's work will be clarified, when the Consortium must make key decisions, and when member states must make additional commitments to the Consortium and its work.

- A. The Consortium shall develop procedures for the administration of its duties, set forth in By-Laws, which will be adopted at the first meeting of the Governing Board.
- B. The Consortium shall adopt common assessment administration procedures no later than the spring of 2011.



- C. The Consortium shall adopt a common set of item release policies no later than the spring of 2011.
- D. The Consortium shall adopt a test security policy no later than the spring of 2011.
- E. The Consortium shall adopt a common definition of “English learner” and common policies and procedures for student participation and accommodations for English learners no later than the spring of 2011.
- F. The Consortium shall adopt common policies and procedures for student participation and accommodations for students with disabilities no later than the spring of 2011.
- G. Each Consortium state shall adopt a common set of college- and career-ready standards no later than December 31, 2011.
- H. The Consortium shall adopt a common set of common performance level descriptors no later than the summer of 2014.
- I. The Consortium shall adopt a common set of achievement standards no later than the summer of 2015.

## **VII. Consortium Membership**

### **A. Membership Types and Responsibilities**

- 1. **Governing State:** A State becomes a Governing State if it meets the eligibility criteria in this section.
  - a. The eligibility criteria for a Governing State are as follows:
    - (i) A Governing State may not be a member of any other consortium that has applied for or receives grant funding from the Department of Education under the Race to the Top Fund Assessment Program for the Comprehensive Course Assessment Systems grant category;
    - (ii) A Governing State must be committed to statewide implementation and administration of the assessment system developed by the Consortium no later than the 2014-2015 school year, subject to availability of funds;
    - (iii) A Governing State must be committed to using the assessment results in its accountability system, including for school accountability determinations;

teacher and leader evaluations; and teaching, learning and program improvement;

(iv) A Governing State must provide staff to the Consortium to support the activities of the Consortium as follows:

- Coordinate the state's overall participation in all aspects of the project, including:
  - ongoing communication within the state education agency, with local school systems, teachers and school leaders, higher education leaders;
  - communication to keep the state board of education, governor's office and appropriate legislative leaders and committees informed of the consortium's activities and progress on a regular basis;
  - participation by local schools and education agencies in pilot tests and field test of system components; and
  - identification of barriers to implementation.
- Participate in the management of the assessment development process on behalf of the Consortium;
- Represent the chief state school officer when necessary in Governing Board meetings and calls;
- Participate on Design Committees that will:
  - Develop the overall assessment design for the Consortium;
  - Develop content and test specifications;
  - Develop and review Requests for Proposals (RFPs);
  - Manage contract(s) for assessment system development;
  - Recommend common achievement levels;
  - Recommend common assessment policies; and
  - Other tasks as needed.

(v) A Governing State must identify and address the legal, statutory, regulatory and policy barriers it must change in order for the State to adopt and implement

the Consortium's assessment system components by the 2014-15 school year.

- b. A Governing State has the following additional rights and responsibilities:
- (i) A Governing State has authority to participate with other Governing States to determine and/or to modify the major policies and operational procedures of the Consortium, including the Consortium's work plan and theory of action;
  - (ii) A Governing State has authority to participate with other Governing States to provide direction to the Project Management Partner, the Fiscal Agent, and to any other contractors or advisors retained by or on behalf of the Consortium that are compensated with Grant funds;
  - (iii) A Governing State has authority to participate with other Governing States to approve the design of the assessment system that will be developed by the Consortium;
  - (iv) A Governing State must participate in the work of the Consortium's design and assessment committees;
  - (v) A Governing State must participate in pilot and field testing of the assessment systems and tools developed by the Consortium, in accordance with the Consortium's work plan;
  - (vi) A Governing State must develop a plan for the statewide implementation of the Consortium's assessment system by 2014-2015, including removing or resolving statutory, regulatory and policy barriers to implementation, and securing funding for implementation;
  - (vii) A Governing State may receive funding from the Consortium to defray the costs associated with staff time devoted to governance of the Consortium, if such funding is included in the Consortium budget;
  - (viii) A Governing State may receive funding from the Consortium to defray the costs associated with intra-State communications and engagements, if such funding is included in the Consortium budget.

- (ix) A Governing State has authority to vote upon significant grant fund expenditures and disbursements (including awards of contracts and subgrants) made to and/or executed by the Fiscal Agent, Governing States, the Project Management Partner, and other contractors or subgrantees.

2. **Fiscal Agent:** The Fiscal Agent will be one of the Governing States in the Consortium.

- (i) The Fiscal Agent will serve as the “Applicant” state for purposes of the grant application, applying as the member of the Consortium on behalf of the Consortium, pursuant to the Application Requirements of the Notice (Addendum 1) and 34 C.F.R. 75.128.
- (ii) The Fiscal Agent shall have a fiduciary responsibility to the Consortium to manage and account for the grant funds provided by the Federal Government under the Race to the Top Fund Assessment Program Comprehensive Assessment Systems grants, including related administrative functions, subject to the direction and approval of the Governing Board regarding the expenditure and disbursement of all grant funds, and shall have no greater decision-making authority regarding the expenditure and disbursement of grant funds than any other Governing State;
- (iii) The Fiscal Agent shall issue RFPs in order to procure goods and services on behalf of the Consortium;
- (iv) The Fiscal Agent has the authority, with the Governing Board’s approval, to designate another Governing State as the issuing entity of RFPs for procurements on behalf of the Consortium;
- (v) The Fiscal Agent shall enter into a contract or subgrant with the organization selected to serve as the Consortium’s Project Management Partner;
- (vi) The Fiscal Agent may receive funding from the Consortium in the form of disbursements from Grant funding, as authorized by the Governing Board, to cover the costs associated with carrying out its

responsibilities as a Fiscal Agent, if such funding is included in the Consortium budget;

- (vii) The Fiscal Agent may enter into significant contracts for services to assist the grantee to fulfill its obligation to the Federal Government to manage and account for grant funds;
- (viii) Consortium member states will identify and report to the Fiscal Agent, and the Fiscal Agent will report to the Department of Education, pursuant to program requirement 11 identified in the Notice for Comprehensive Assessment System grantees, any current assessment requirements in Title I of the ESEA that would need to be waived in order for member States to fully implement the assessment system developed by the Consortium.

### **3. Participating State**

- a. The eligibility criteria for a Participating State are as follows:
  - (i) A Participating State commits to support and assist with the Consortium's execution of the program described in the PARCC application for a Race to the Top Fund Assessment Program grant, consistent with the rights and responsibilities detailed below, but does not at this time make the commitments of a Governing State;
  - (ii) A Participating State may be a member of more than one consortium that applies for or receives grant funds from ED for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems grant category.
- b. The rights and responsibilities of a Participating State are as follows:
  - (i) A Participating State is encouraged to provide staff to participate on the Design Committees, Advisory Committees, Working Groups or other similar groups established by the Governing Board;
  - (ii) A Participating State shall review and provide feedback to the Design Committees and to the Governing Board regarding the design plans,

strategies and policies of the Consortium as they are being developed;

- (iii) A Participating State must participate in pilot and field testing of the assessment systems and tools developed by the Consortium, in accordance with the Consortium's work plan; and
- (iv) A Participating State is not eligible to receive reimbursement for the costs it may incur to participate in certain activities of the Consortium.

**4. Proposed Project Management Partner:**

Consistent with the requirements of ED's Notice, the PARCC Governing States are conducting a competitive procurement to select the consortium Project Management Partner. The PARCC Governing Board will direct and oversee the work of the organization selected to be the Project Management Partner.

**B. Recommitment to the Consortium**

In the event that that the governor or chief state school officer is replaced in a Consortium state, the successor in that office shall affirm in writing to the Governing Board Chair the State's continued commitment to participation in the Consortium and to the binding commitments made by that official's predecessor within five (5) months of taking office.

**C. Application Process For New Members**

1. A State that wishes to join the Consortium after submission of the grant application may apply for membership in the Consortium at any time, provided that the State meets the prevailing eligibility requirements associated with its desired membership classification in the Consortium. The state's Governor, Chief State School Officer, and President of the State Board of Education (if applicable) must sign a MOU with all of the commitments contained herein, and the appropriate state higher education leaders must sign a letter making the same commitments as those made by higher education leaders in the states that have signed this MOU.
2. A State that joins the Consortium after the grant application is submitted to the Department of Education is not authorized to re-open settled issues, nor may it participate in the review of proposals for Requests for Proposals that have already been issued.

**D. Membership Opt-Out Process**

At any time, a State may withdraw from the Consortium by providing written notice to the chair of the Governing Board, signed by the individuals holding the same positions that signed the MOU, at least ten (10) days prior to the effective date of the withdrawal, including an explanation of reasons for the withdrawal.

### **VIII. Consortium Governance**

This section of the MOU details the process by which the Consortium shall conduct its business.

#### **A. Governing Board**

1. The Governing Board shall be comprised of the chief state school officer or designee from each Governing State;
2. The Governing Board shall make decisions regarding major policy, design, operational and organizational aspects of the Consortium's work, including:
  - a. Overall design of the assessment system;
  - b. Common achievement levels;
  - c. Consortium procurement strategy;
  - d. Modifications to governance structure and decision-making process;
  - e. Policies and decisions regarding control and ownership of intellectual property developed or acquired by the Consortium (including without limitation, test specifications and blue prints, test forms, item banks, psychometric information, and other measurement theories/practices), provided that such policies and decisions:
    - (i) will provide equivalent rights to such intellectual property to all states participating in the Consortium, regardless of membership type;
    - (ii) will preserve the Consortium's flexibility to acquire intellectual property to the assessment systems as the Consortium may deem necessary and consistent with "best value" procurement principles, and with due regard for the Notice requirements regarding broad availability of such intellectual property except as otherwise protected by law or agreement as proprietary information.

3. The Governing Board shall form Design, Advisory and other committees, groups and teams (“committees”) as it deems necessary and appropriate to carry out the Consortium’s work, including those identified in the PARCC grant application.
  - a. The Governing Board will define the charter for each committee, to include objectives, timeline, and anticipated work product, and will specify which design and policy decisions (if any) may be made by the committee and which must be elevated to the Governing Board for decision;
  - b. When a committee is being formed, the Governing Board shall seek nominations for members from all states in the Consortium;
  - c. Design Committees that were formed during the proposal development stage shall continue with their initial membership, though additional members may be added at the discretion of the Governing Board;
  - d. In forming committees, the Governing Board will seek to maximize involvement across the Consortium, while keeping groups to manageable sizes in light of time and budget constraints;
  - e. Committees shall share drafts of their work products, when appropriate, with all PARCC states for review and feedback; and
  - f. Committees shall make decisions by consensus; but where consensus does not exist the committee shall provide the options developed to the Governing Board for decision (except as the charter for a committee may otherwise provide).
  
4. The Governing Board shall be chaired by a chief state school officer from one Governing State.
  - a. The Governing Board Chair shall serve a one-year term, which may be renewed.
  - b. The Governing States shall nominate candidates to serve as the Governing Board Chair, and the Governing Board Chair shall be selected by majority vote.
  - c. The Governing Board Chair shall have the following responsibilities:
    - (i) To provide leadership to the Governing Board to ensure that it operates in an efficient, effective, and



orderly manner. The tasks related to these responsibilities include:

- (a) Ensure that the appropriate policies and procedures are in place for the effective management of the Governing Board and the Consortium;
  - (b) Assist in managing the affairs of the Governing Board, including chairing meetings of the Governing Board and ensure that each meeting has a set agenda, is planned effectively and is conducted according to the Consortium's policies and procedures and addresses the matters identified on the meeting agenda;
  - (c) Represent the Governing Board, and act as a spokesperson for the Governing Board if and when necessary;
  - (d) Ensure that the Governing Board is managed effectively by, among other actions, supervising the Project Management Partner; and
  - (e) Serve as in a leadership capacity by encouraging the work of the Consortium, and assist in resolving any conflicts.
5. The Consortium shall adhere to the timeline provided in the grant application for making major decisions regarding the Consortium's work plan.
- a. The timeline shall be updated and distributed by the Project Management Partner to all Consortium states on a quarterly basis.
6. Participating States may provide input for Governing Board decisions, as described below.
7. Governing Board decisions shall be made by consensus; where consensus is not achieved among Governing States, decisions shall be made by a vote of the Governing States. Each State has one vote. Votes of a supermajority of the Governing States are necessary for a decision to be reached.
- a. The supermajority of the Governing States is currently defined as a majority of Governing States plus one additional State;
  - b. The Governing Board shall, from time to time as necessary, including as milestones are reached and additional States become

Governing States, evaluate the need to revise the votes that are required to reach a decision, and may revise the definition of supermajority, as appropriate. The Governing Board shall make the decision to revise the definition of supermajority by consensus, or if consensus is not achieved, by a vote of the supermajority as currently defined at the time of the vote.

8. The Governing Board shall meet quarterly to consider issues identified by the Board Chair, including but not limited to major policy decisions of the Consortium.

**B. Design Committees**

1. One or more Design Committees will be formed by the Governing Board to develop plans for key areas of Consortium work, such as recommending the assessment system design and development process, to oversee the assessment development work performed by one or more vendors, to recommend achievement levels and other assessment policies, and address other issues as needed. These committees will be comprised of state assessment directors and other key representatives from Governing States and Participating States.
2. Design Committees shall provide recommendations to the Governing Board regarding major decisions on issues such as those identified above, or as otherwise established in their charters.
  - a. Recommendations are made on a consensus basis, with input from the Participating States.
  - b. Where consensus is not achieved by a Design Committee, the Committee shall provide alternative recommendations to the Governing Board, and describe the strengths and weaknesses of each recommendation.
  - c. Design Committees, with support from the Project Management Partner, shall make and keep records of decisions on behalf of the Consortium regarding assessment policies, operational matters and other aspects of the Consortium's work if a Design Committee's charter authorizes it to make decisions without input from or involvement of the Governing Board.
  - d. Decisions reserved to Design Committees by their charters shall be made by consensus; but where consensus is not achieved decisions shall be made by a vote of Governing States on each Design Committee. Each Governing State on the committee has one vote. Votes of a majority of the Governing States on a Design Committee, plus one, are necessary for a decision to be reached.

3. The selection of successful bidders in response to RFPs issued on behalf of the Consortium shall be made in accordance with the procurement laws and regulations of the State that issues the RFP, as described more fully in Addendum 3 of this MOU.
  - a. To the extent permitted by the procurement laws and regulations of the issuing State, appropriate staff of the Design Committees who were involved in the development of the RFP shall review the proposals, shall provide feedback to the issuing State on the strengths and weaknesses of each proposal, and shall identify the proposal believed to represent the best value for the Consortium members, including the rationale for this conclusion.

### **C. General Assembly of All Consortium States**

1. There shall be two convenings of all Consortium states per year, for the purpose of reviewing the progress of the Consortium's work, discussing and providing input into upcoming decisions of the Governing Board and Design Committees, and addressing other issues of concern to the Consortium states.
  - a. A leadership team (comprised of chief state school officers, and other officials from the state education agency, state board of education, governor's office, higher education leaders and others as appropriate) from each state shall be invited to participate in one annual meeting.
  - b. Chief state school officers or their designees only shall be invited to the second annual convening.
2. In addition to the two annual convenings, Participating States shall also have the opportunity to provide input and advice to the Governing Board and to the Design Committees through a variety of means, including:
  - a. Participation in conference calls and/or webinars;
  - b. Written responses to draft documents; and
  - c. Participation in Google groups that allow for quick response to documents under development.

### **IX. Benefits of Participation**

Participation in the Consortium offers a number of benefits. For example, member States will have opportunities for:

- A. Possible coordinated cooperative purchase discounts;

- B. Possible discount software license agreements;
- C. Access to a cooperative environment and knowledge-base to facilitate information-sharing for educational, administrative, planning, policy and decision-making purposes;
- D. Shared expertise that can stimulate the development of higher quality assessments in an efficient and cost-effective manner;
- E. Cooperation in the development of improved instructional materials, professional development and teacher preparation programs aligned to the States' standards and assessments; and
- F. Obtaining comparable data that will enable policymakers and teachers to compare educational outcomes and to identify effective instructional practices and strategies.

**X. Binding Commitments and Assurances**

**A. Binding Assurances Common To All States – Participating and Governing**

Each State that joins the Consortium, whether as a Participating State or a Governing State, hereby certifies and represents that it:

1. Has all requisite power and authority necessary to execute this MOU;
2. Is familiar with the Consortium's Comprehensive Assessment Systems grant application under the ED's Race to the Top Fund Assessment Program and is supportive of and will work to implement the Consortium's plan, as defined by the Consortium and consistent with Addendum 1 (Notice);
3. Will cooperate fully with the Consortium and will carry out all of the responsibilities associated with its selected membership classification;
4. Will, as a condition of continued membership in the Consortium, adopt a common set of college- and career-ready standards no later than December 31, 2011, and common achievement standards no later than the 2014-2015 school year;
5. Will, as a condition of continued membership in the Consortium, ensure that the summative components of the assessment system (in both mathematics and English language arts) will be fully implemented statewide no later than the 2014-2015 school year, subject to the availability of funds;
6. Will conduct periodic reviews of its State laws, regulations and policies to identify any barriers to implementing the proposed assessment system and

address any such barriers prior to full implementation of the summative assessment components of the system:

- a. The State will take the necessary steps to accomplish implementation as described in Addendum 2 of this MOU.
7. Will use the Consortium-developed assessment systems to meet the assessment requirements in Title I of the ESEA;
  8. Will actively promote collaboration and alignment between the State and its public elementary and secondary education systems and their public Institutions of Higher Education (“IHE”) or systems of IHEs. The State will endeavor to:
    - a. Maintain the commitments from participating public IHEs or IHE systems to participate in the design and development of the Consortium’s high school summative assessments;
    - b. Obtain commitments from additional public IHEs or IHE systems to participate in the design and development of the Consortium’s high school summative assessments;
    - c. Involve participating public IHEs or IHE systems in the Consortium’s research-based process to establish common achievement standards on the new assessments that signal students’ preparation for entry level, credit-bearing coursework; and
    - d. Obtain commitments from public IHEs or IHE systems to use the assessment in all partnership states’ postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator of students’ readiness for placement in non-remedial, credit-bearing college-level coursework.
  9. Will provide the required assurances regarding accountability, transparency, reporting, procurement and other assurances and certifications; and
  10. Consents to be bound by every statement and assurance in the grant application.

**B. Additional Binding Assurances By Governing States**

In addition to the assurances and commitments required of all States in the Consortium, a Governing State is bound by the following additional assurances and commitments:

1. Provide personnel to the Consortium in sufficient number and qualifications and for sufficient time to support the activities of the Consortium as described in Section VII (A)(1)(a)(iv) of this MOU.

#### **XI. Financial Arrangements**

This MOU does not constitute a financial commitment on the part of the Parties. Any financial arrangements associated with the Consortium will be covered by separate project agreements between the Consortium members and other entities, and subject to ordinary budgetary and administrative procedures. It is understood that the ability of the Parties to carry out their obligations is subject to the availability of funds and personnel through their respective funding procedures.

#### **XII. Personal Property**

Title to any personal property, such as computers, computer equipment, office supplies, and office equipment furnished by a State to the Consortium under this MOU shall remain with the State furnishing the same. All parties agree to exercise due care in handling such property. However, each party agrees to be responsible for any damage to its property which occurs in the performance of its duties under this MOU, and to waive any claim against the other party for such damage, whether arising through negligence or otherwise.

#### **XIII. Liability and Risk of Loss**

- A. To the extent permitted by law, with regard to activities undertaken pursuant to this MOU, none of the parties to this MOU shall make any claim against one another or their respective instrumentalities, agents or employees for any injury to or death of its own employees, or for damage to or loss of its own property, whether such injury, death, damage or loss arises through negligence or otherwise.
- B. To the extent permitted by law, if a risk of damage or loss is not dealt with expressly in this MOU, such party's liability to another party, whether or not arising as the result of alleged breach of the MOU, shall be limited to direct damages only and shall not include loss of revenue or profits or other indirect or consequential damages.

#### **XIV. Resolution of Conflicts**

Conflicts which may arise regarding the interpretation of the clauses of this MOU will be resolved by the Governing Board, and that decision will be considered final and not subject to further appeal or to review by any outside court or other tribunal.

#### **XV. Modifications**

The content of this MOU may be reviewed periodically or amended at any time as agreed upon by vote of the Governing Board.

## **XVI. Duration, Renewal, Termination**

- A. This MOU will take effect upon execution of this MOU by at least five States as “Governing States” and will have a duration through calendar year 2015, unless otherwise extended by agreement of the Governing Board.
- B. This MOU may be terminated by decision of the Governing Board, or by withdrawal or termination of a sufficient number of Governing States so that there are fewer than five Governing States.
- C. Any member State of the Consortium may be involuntarily terminated by the Governing Board as a member for breach of any term of this MOU, or for breach of any term or condition that may be imposed by the Department of Education, the Consortium Governing Board, or of any applicable bylaws or regulations.

## **XVII. Points of Contact**

Communications with the State regarding this MOU should be directed to:

*Name: Leighann C. Lenti*

*Mailing Address: 300 Don Gaspar Ave, Room 109, 87501*

*Telephone: (505) 412-2285*

*Fax: (505) 827-6520*

*E-mail: Leighann.Lenti@state.nm.us*

Or hereafter to such other individual as may be designated by the State in writing transmitted to the Chair of the Governing Board and/or to the PARCC Project Management Partner.

## **XVIII. Signatures and Intent To Join in the Consortium**

The State of New Mexico hereby joins the Consortium as a Governing State, and agrees to be bound by all of the assurances and commitments associated with the Governing State membership classification. Further, the State of New Mexico agrees to perform the duties and carry out the responsibilities associated with the Governing State membership classification.

*Signatures required:*



- Each State’s Governor;
- Each State’s chief school officer; and
- If applicable, the president of the State board of education.

Addenda:

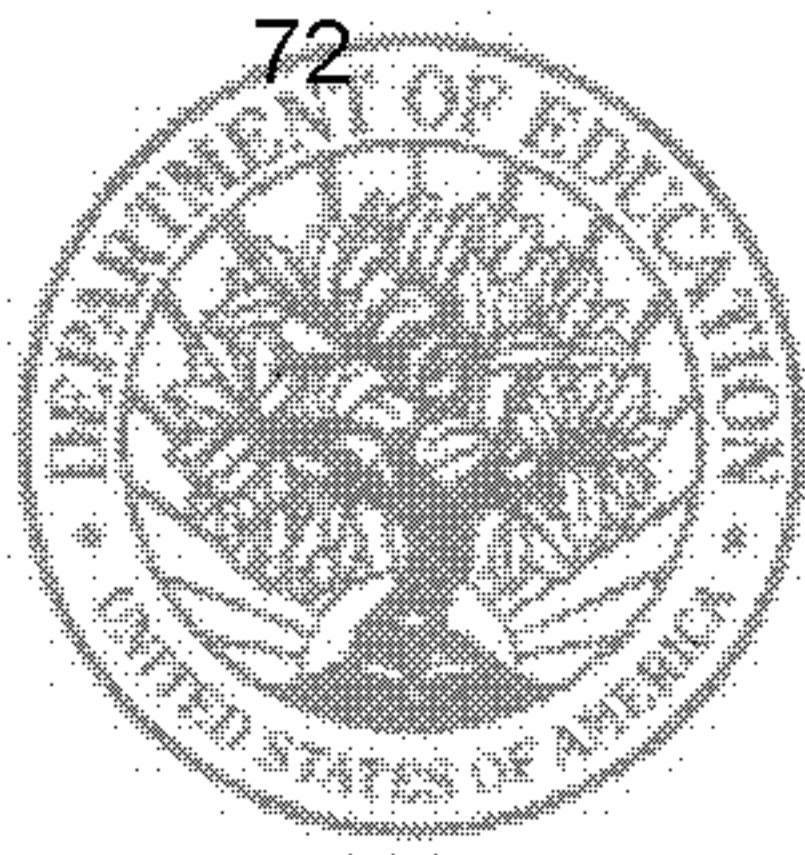
- **Addendum 1:** Department of Education Notice Inviting Applications for New Awards for Fiscal Year (FY) 2010.
- **Addendum 2:** Each State describes the process it plans to follow to ensure that it will be able to implement the assessment systems developed by the Consortium by the 2014-2015 school year, pursuant to Assurance 6 in Section X of this MOU.
- **Addendum 3:** Signature of each State's chief procurement official confirming that the State is able to participate in the Consortium's procurement process.



## STATE SIGNATURE BLOCK

<b>State of:</b>	
<b>Signature of the Governor:</b> 	
<b>Printed Name:</b> Susana Martinez	<b>Date:</b> 8-25-11
<b>Signature of the Chief State School Officer:</b> 	
<b>Printed Name:</b> Hanna Skandera	<b>Date:</b> 8.25.11
<b>Signature of the State Board of Education President (if applicable):</b>	
<b>Printed Name:</b>	<b>Date:</b>

**ATTACHMENT 7: NEW MEXICO'S HIGH-QUALITY ASSESSMENT AND ACADEMIC STANDARDS  
SYSTEM**



72  
UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

THE ASSISTANT SECRETARY

DEC 23 2009

The Honorable Veronica C. Garcia  
Secretary of Education  
State of New Mexico Public Education Department  
300 Don Gaspar  
Santa Fe, New Mexico 87501

Dear Secretary Garcia:

I am pleased to approve New Mexico's general science assessments under Title I, Part A of the *Elementary and Secondary Education Act of 1965* (ESEA), as amended. Combined with New Mexico's previously approved standards and assessments in reading/language arts and mathematics, New Mexico has a fully approved standards and assessment system under Title I of the ESEA. I congratulate you on this significant accomplishment.

In a letter to you on June 9, 2008, we approved your standards and assessment system. However, since that time, you implemented science assessments, evidence of which you were obligated to submit for peer review. My decision regarding New Mexico's general science assessment in grades 3-8 in English and Spanish and grade 11 in English is based on input from peer reviewers external to the U.S. Department of Education (Department) and Department staff who reviewed and carefully considered the evidence submitted by New Mexico in October 2008, June 2009 and September 2009. I have concluded that the evidence provided demonstrates that New Mexico's general science assessments in grades 3-8 in English and Spanish and grade 11 in English satisfy the statutory and regulatory requirements under section 1111(b)(1) and (3) of the ESEA. As a result, New Mexico's standards and assessment system now includes academic content standards in reading/language arts, mathematics, and science; student academic achievement standards in reading/language arts, mathematics, and science; alternate academic achievement standards for students with the most significant cognitive disabilities in reading/language arts, mathematics, and science; general assessments in reading/language arts and mathematics in grades 3 through 8 and one grade in high school and general science assessments for grades 3-8 and 11 and alternate assessments based on alternate academic achievement standards in the corresponding grades in reading/language arts, mathematics, and science. Accordingly, New Mexico's standards and assessment system warrants *Full Approval*. I have enclosed detailed comments from the peer review team that evaluated New Mexico's most recent submissions for your information.

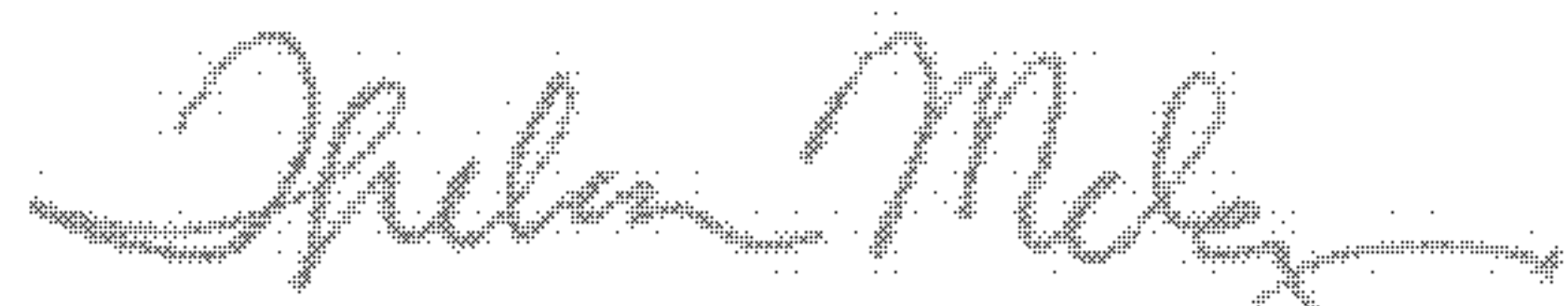
Please be aware that approval of New Mexico's standards and assessment system under the ESEA is not a determination that the system complies with Federal civil rights requirements, including Title VI of the *Civil Rights Act of 1964*, Title IX of the *Education Amendments of*

Page 2 – Honorable Veronica C. Garcia

1972, Section 504 of the *Rehabilitation Act of 1973*, Title II of the *Americans with Disabilities Act*, and requirements under the *Individuals with Disabilities Education Act*. Finally, please remember that, if New Mexico makes significant changes to its standards and assessment system, New Mexico must submit information about those changes to the Department for review and approval.

We have found it a pleasure working with your staff on this review. Please accept my congratulations for New Mexico's approved standards and assessment system in reading/language arts, mathematics, and science. If you have any questions, please do not hesitate to contact Grace A. Ross at [grace.ross@ed.gov](mailto:grace.ross@ed.gov).

Sincerely,



Thelma Meléndez de Santa Ana, Ph.D.

Enclosure

cc: Governor Bill Richardson  
Tom Dauphinee

**ATTACHMENT 8: NEW MEXICO'S 2010-2011 STATEWIDE PROFICIENCY AND SCALE SCORES**

## All Students, School Year 2010-11

READING									
Group	Number Tested	Participation	Beginning Step	Nearing Proficiency	Proficient	Advanced	Invalid Test	Proficient & Above	
<b>All Students</b>	170,818	99.7%	15.8%	34.1%	42.2%	7.6%	0.3%	49.8%	
Female	83,850	99.7%	12.5%	32.5%	45.3%	9.5%	0.2%	54.8%	
Male	86,968	99.6%	19.0%	35.7%	39.2%	5.7%	0.4%	44.9%	
Caucasian	45,262	99.7%	7.9%	24.8%	53.5%	13.6%	0.3%	67.0%	
African American	3,980	99.6%	18.4%	34.7%	40.4%	6.1%	0.4%	46.5%	
Hispanic	102,122	99.7%	18.2%	37.2%	39.0%	5.3%	0.3%	44.3%	
Asian	2,453	99.6%	7.4%	24.5%	48.8%	18.9%	0.4%	67.7%	
American Indian	17,001	99.7%	23.2%	41.4%	31.2%	4.0%	0.3%	35.1%	
Economically Disadvantaged	119,131	99.7%	19.8%	38.3%	36.9%	4.7%	0.3%	41.6%	
Students w Disabilities	22,550	99.0%	50.6%	30.8%	12.4%	5.2%	1.0%	17.6%	
English Language Learners	34,485	99.6%	32.6%	42.6%	22.3%	2.2%	0.3%	24.5%	

## All Students, School Year 2010-11

MATH									
Group	Number Tested	Participation	Beginning Step	Nearing Proficiency	Proficient	Advanced	Invalid Test	Proficient & Above	
<b>All Students</b>	170,848	99.6%	17.9%	40.0%	35.8%	5.9%	0.3%	41.8%	
Female	83,862	99.7%	16.7%	40.8%	36.4%	5.8%	0.2%	42.3%	
Male	86,986	99.6%	19.1%	39.2%	35.2%	6.0%	0.4%	41.3%	
Caucasian	45,269	99.7%	9.7%	31.1%	47.3%	11.6%	0.3%	58.9%	
African American	3,977	99.6%	22.2%	42.6%	31.4%	3.5%	0.3%	35.0%	
Hispanic	102,135	99.6%	20.6%	43.2%	32.2%	3.7%	0.3%	35.9%	
Asian	2,471	99.5%	7.4%	23.7%	47.5%	21.0%	0.4%	68.4%	
American Indian	16,996	99.5%	24.2%	46.6%	26.3%	2.4%	0.5%	28.7%	
Economically Disadvantaged	119,153	99.6%	22.1%	43.7%	30.5%	3.3%	0.3%	33.8%	
Students w Disabilities	22,545	98.9%	48.5%	35.4%	12.2%	2.8%	1.1%	15.0%	
English Language Learners	34,516	99.6%	32.8%	44.9%	20.4%	1.6%	0.4%	22.0%	

## All Students, School Year 2010-11

SCIENCE									
Group	Number Tested	Participation	Beginning Step	Nearing Proficiency	Proficient	Advanced	Invalid Test	Proficient & Above	
<b>All Students</b>	70,746	99.2%	20.9%	36.4%	36.1%	5.9%	0.7%	42.0%	
Female	34,868	99.4%	20.8%	38.7%	34.8%	5.1%	0.6%	40.0%	
Male	35,878	99.1%	21.0%	34.2%	37.3%	6.6%	0.9%	43.9%	
Caucasian	19,217	99.3%	9.1%	26.8%	50.7%	12.7%	0.7%	63.4%	
African American	1,637	99.0%	24.4%	38.4%	32.3%	3.9%	0.9%	36.2%	
Hispanic	41,534	99.2%	24.5%	39.7%	31.7%	3.4%	0.8%	35.0%	
Asian	1,007	99.3%	9.6%	27.2%	48.3%	14.2%	0.7%	62.5%	
American Indian	7,351	99.4%	32.0%	43.6%	22.2%	1.7%	0.6%	23.9%	
Economically Disadvantaged	47,507	99.2%	26.8%	39.8%	29.8%	2.9%	0.7%	32.6%	
Students w Disabilities	8,965	98.2%	48.8%	31.0%	16.3%	2.1%	1.7%	18.4%	
English Language Learners	13,458	99.3%	43.0%	38.9%	16.6%	0.9%	0.6%	17.5%	



## All Students, School Year 2010-2011

Group	MATH			READING			SCIENCE		
	Number Tested	Scaled Score Mean	Scaled Score Std Deviation	Number Tested	Scaled Score Mean	Scaled Score Std Deviation	Number Tested	Scaled Score Mean	Scaled Score Std Deviation
All Students	169,026	37.5	10.76	169,014	39.0	10.9	69,700	37.7	10.2
Female	83,204	37.8	10.5	83,200	40.5	10.5	34,457	37.5	9.8
Male	85,822	37.3	11.0	85,814	37.6	11.0	35,243	37.9	10.5
Caucasian	44,793	41.7	10.4	44,785	43.2	10.2	18,950	42.6	9.7
African American	3,938	35.4	11.2	3,940	37.8	11.3	1,609	36.1	10.5
Hispanic	101,117	36.1	10.4	101,096	37.7	10.6	40,921	36.1	9.7
Asian	2,438	44.8	11.5	2,417	44.2	11.0	995	42.7	10.3
American Indian	16,740	34.4	10.0	16,776	35.5	10.5	7,225	33.7	9.1
Economically Disadvantaged	117,736	35.5	10.4	117,750	36.9	10.7	46,727	35.4	9.8
Students w Disabilities	20,751	27.6	11.3	20,728	27.1	11.8	8,189	29.5	10.6
English Language Learners	34,106	32.2	10.4	34,091	32.6	10.6	13,241	31.4	9.4

**ATTACHMENT 9: TABLE 2: REWARD, PRIORITY, AND FOCUS SCHOOLS**

**Table 2**

School Identifier	Priority	Focus	Reward
1			AB
2			A
3			AB
4			AB
5			AB
6			AB
7			B
8			B
9			AB
10			AB
11			A
12			AB
13			A
14			AB
15			B
16			AB
17			A
18			B
19			A
20			B
21			B
22			AB
23			AB
24			AB
25			B
26			AB
27			A

**Table 2**

School Identifier	Priority	Focus	Reward
28			AB
29			AB
30			AB
31			AB
32			AB
33			AB
34			A
35			B
36			A
37			AB
38		G	
39		G	
40		G	
41		G	
42		G	
43		G	
44		G	
45		G	
46		G	
47		G	
48		I	
49		I	
50		I	
51		I	
52		F	
53		I	
54		F	
55		I	

**Table 2**

School Identifier	Priority	Focus	Reward
56		I	
57		I	
58		I	
59		I	
60		I	
61		I	
62		I	
63		I	
64		I	
65		I	
66		I	
67		I	
68		I	
69		I	
70		I	
71		I	
72		I	
73		I	
74		I	
75		I	
76		I	
77		I	
78		F	
79		F	
80		I	
81		I	
82		I	
83		I	

**Table 2**

School Identifier	Priority	Focus	Reward
84		I	
85		F	
86		I	
87		I	
88		I	
89		F	
90		I	
91		I	
92		I	
93		I	
94		I	
95		I	
96		I	
97		I	
98		I	
99		I	
100		F	
101		I	
102		I	
103		I	
104		I	
105		I	
106		I	
107		I	
108		I	
109		I	
110	C		
111	C		

**Table 2**

School Identifier	Priority	Focus	Reward
112	C		
113	C		
114	C		
115	C		
116	C		
117	C		
118	C		
119	C		
120	C		
121	C		
122	C		
123	C		
124	C		
125	C		
126	C		
127	C		
128	C		
129	C		
130	C		
131	C		
132	C		
133	C		
134	C		
135	C		
136	C		
137	C		
138	C		
139	C		

**Table 2**

School Identifier	Priority	Focus	Reward
140	C		
141	C		
142	C		
143	C		
144	C		
145	C		
146	C		

**KEY:**

A: High Performing

E: SIG School

B: High Growth

F: Large Gaps

C: Low performing, Low Growth

G: Low Performing Subgroups

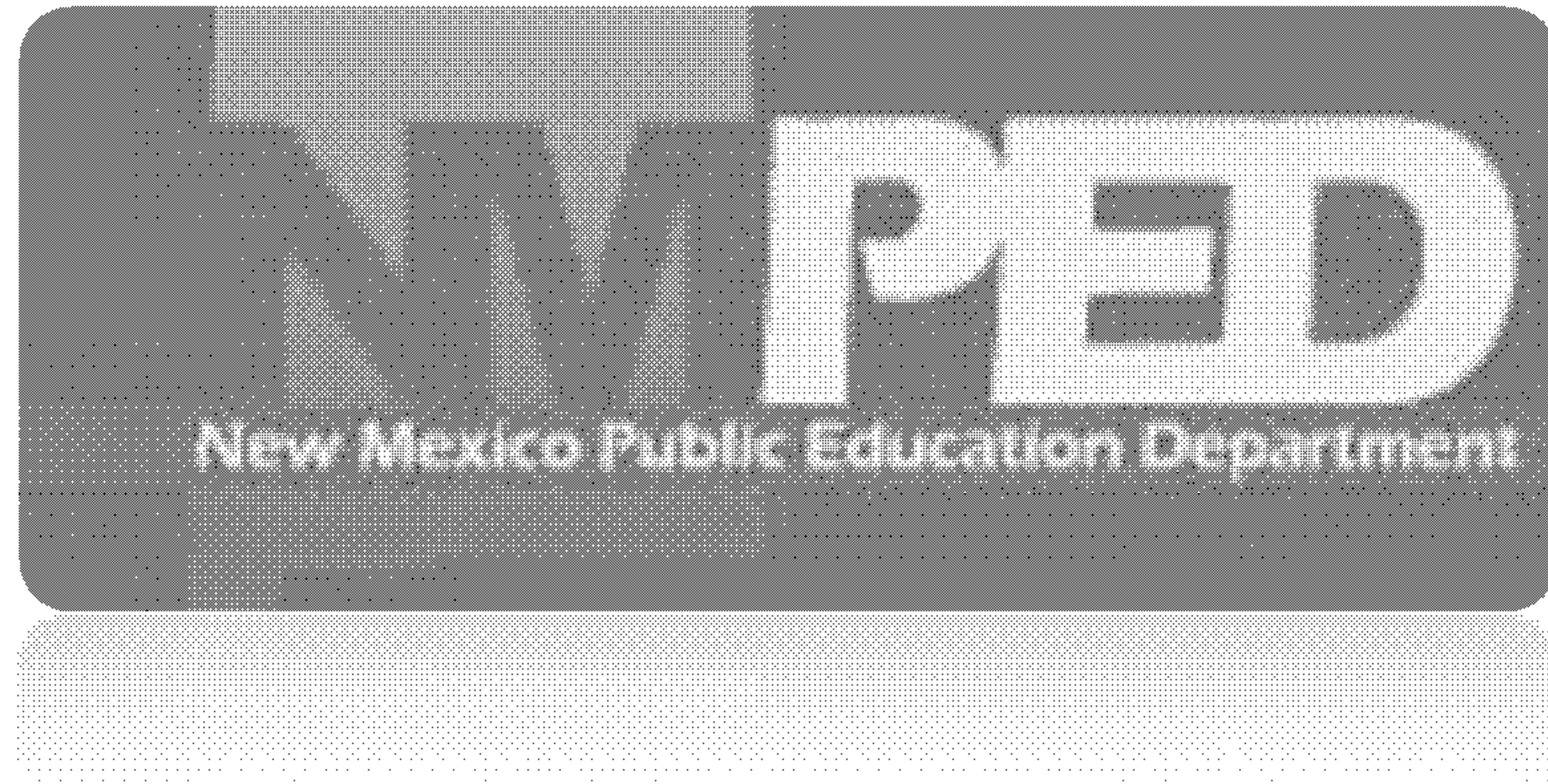
H: Low Graduation Rate

D: Low Graduation Rate Growth

I: Low Performing, Low Growth

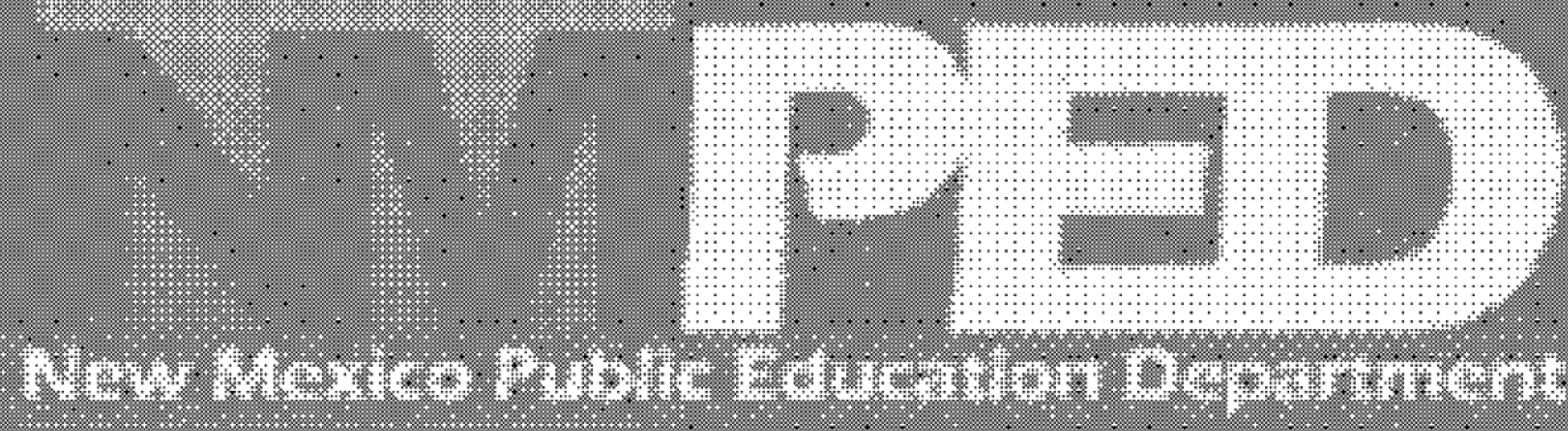


**ATTACHMENT 12: NEW MEXICO PUBLIC EDUCATION DEPARTMENT STRATEGIC PLAN**



# **Strategic Plan 2011**

## **Kids First, New Mexico Wins**



## Contents

Vision..... 2

Mission..... 2

Current State..... 2

Future State ..... 4

2011 Strategic Efforts and Achievements..... 4

Strategic Lever 1: Smarter Return on New Mexico’s Investment..... 6

Strategic Lever 2: Real Accountability. Real Results. .... 11

Strategic Lever 3: Ready for Success Initiative..... 14

Strategic Lever 4: Rewarding Effective Educators and Leaders..... 17

Strategic Lever 5: Effective Options for Parents ..... 19

PED Senior Team Contact Information ..... 21

## Vision

Bold, visionary reform that puts students first in every decision will increase student achievement and prepare our kids for success in colleges and careers. We call on every educator, student, parent, community member and public servant to share in the responsibility for the success of our children and, ultimately, the future of the great state of New Mexico. When we put our kids first, New Mexico will win.

## Mission

A focus on students means an emphasis on five strategic imperatives:

- Expect a smarter return on New Mexico's investment
- Require real accountability for real results
- Ensure our students are ready for success
- Reward effective educators and leaders
- Provide effective options for parents

## Current State

With approximately 330,000 students in grades K–12, New Mexico's demographics are distinctive: 57% of the state's K–12 students are Hispanic, 29% are White, 11% are Native American, 3% are African American, and 1% are Asian or of other ethnicity. New Mexico is ranked 36<sup>th</sup> in overall population size, has the fifth largest land mass in the U.S. (121,665 square miles), and ranks 45<sup>th</sup> in the nation in population density. Further, with only 6.3 people per square mile, New Mexico faces unique challenges in educating students in rural areas, particularly on vast Indian reservations. New Mexico's majority-minority status presents our state with a unique opportunity to lead the way in increasing academic success for every student and closing the achievement gap.

According to the New Mexico Standards-Based Assessment (NMSBA) results, nearly 52% of 11<sup>th</sup> graders are not proficient in reading and almost 62% are not on grade level in mathematics<sup>1</sup>. Currently, only 67% of students graduate high school, hampering their life-long potential for success. For example, in 2010, the unemployment rate for dropouts was almost 15%. For those having earned their diploma it was about 10% and for college graduates it was 5%. Beyond simply having a job, the difference in earnings between dropouts and high school graduates is \$10,000 per year<sup>2</sup>.

<sup>1</sup> New Mexico Public Education Department

<sup>2</sup> Bureau of Labor Statistics, Current Population Survey. Data are 2010 annual averages for males age 25 and over. Earnings are for full-time wage and salary workers.

On a national scale, only 20% of New Mexico's 4<sup>th</sup> graders are proficient in reading and only 26% demonstrated proficiency in mathematics. Those results come from the National Assessment of Educational Progress (NAEP), which is a test issued to a sample of students all over the country. According to the NAEP, New Mexico is ranked 49<sup>th</sup> in fourth grade reading<sup>3</sup> and according to the National Quality Counts Report<sup>4</sup> (NQCR), New Mexico received an "F" in K–12 student success. Additionally, according to the Diploma Counts Report<sup>5</sup>, New Mexico is ranked 49<sup>th</sup> in graduation rates, yet our investment in education is near the middle of the pack in national comparisons. Further, today 99.998% of New Mexico's teachers "meet competency" on annual evaluations. However, our student achievement results are not reflective of this standard<sup>6</sup>.

Despite these challenges, the students and teachers of New Mexico are making progress. In 2009, New Mexico Hispanic 4<sup>th</sup> graders ranked 13<sup>th</sup><sup>7</sup> in the nation on NAEP mathematics. New Mexico ranks 25<sup>th</sup> in the nation in the percent of students earning college degrees, which pays big rewards as the difference in earnings between high school graduates and college graduates is almost \$50,000 per year<sup>8</sup>. New Mexico has demonstrated success as the NQCR rated our standards, assessment, and accountability system with an A-<sup>9</sup>.

We know that our students can achieve and compete with the best and the brightest across the nation and demographics cannot be an excuse. The challenge for our communities is to believe that success is possible for our students regardless of the circumstances. Once this is realized, New Mexico will demonstrate it can be successful. When we put kids first, New Mexico will win.

The students, educators, and parents of New Mexico are ready for reform. They have delivered a mandate to change the culture of education in the state, placing more priority on student achievement and a much better return on \$2.4 billion dollars in taxpayer investment.

<sup>3</sup> U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2007 and 2009 Mathematics and Reading Assessments.

<sup>4</sup> [http://www.edweek.org/media/ew/qc/2011/QualityCounts2011\\_PressRelease.pdf](http://www.edweek.org/media/ew/qc/2011/QualityCounts2011_PressRelease.pdf)

<sup>5</sup> [http://www.edweek.org/media/ew/dc/2010/DC10\\_PressKit\\_FINAL.pdf](http://www.edweek.org/media/ew/dc/2010/DC10_PressKit_FINAL.pdf)

<sup>6</sup> New Mexico Public Education Department

<sup>7</sup> U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2007 and 2009 Mathematics and Reading Assessments.

<sup>8</sup> Bureau of Labor Statistics, Current Population Survey. Data are 2010 annual averages for males age 25 and over. Earnings are for full-time wage and salary workers.

<sup>9</sup> Bureau of Labor Statistics, Current Population Survey. Data are 2010 annual averages for males age 25 and over. Earnings are for full-time wage and salary workers.

## Future State

Since Governor Martinez took office and made the pledge to prioritize education and the economy, the New Mexico Public Education Department (PED) has renewed its commitment to serving the state of New Mexico. Many first steps toward that commitment have taken place, indicating success is possible for our students. To date, the PED has accomplished the following:

## 2011 Strategic Efforts and Achievements

### Smarter Return on New Mexico's Investment

- Led the effort to protect classroom dollars in all 89 New Mexico school districts and charter schools. Statewide, budgeted expenditures for direct classroom instruction increased by nearly 0.5% while budgeted expenditures for administration decreased a little more than 0.6%.
- Included language in the General Appropriations Act ([House Bill 2](#)) to align proven strategies for student success with expenditures in education across the state.
- Reorganized the PED to better serve taxpayers and students despite budget cuts of nearly 25%.
- Improved the timely dissemination of financial data to districts resulting in a 50% decrease in turnaround time to process and distribute district reimbursements.
- Provided high-quality technical assistance, both fiscal and programmatic, to guide districts in developing budgets aligned with proven education programs while maximizing the return on the state's investment.
- Decreased licensure backlog by 50% from 10 weeks to 5 weeks.

### Real Accountability. Real Results.

- Worked with the New Mexico Legislature to implement Governor Martinez's new A-F school grading system which recognizes proficiency and growth of all students and schools.
- Applied for the Race to the Top Early Learning Challenge Fund of \$50 million in partnership with the Children Youth and Families Department (CYFD).
- Developed a legislative initiative to end 3<sup>rd</sup> grade social promotion and support struggling readers with early interventions.
- Reduced testing time by nearly 40% and negotiated to deliver testing results four weeks earlier than the previous year.
- Raised the bar and expectations when it comes to accurate data reporting through initial audits of data in districts.

### **Ready for Success Initiative**

- Increased communication and collaboration across the bureaus within the Student Success Division through increased frequency of communication and cross training.
- Facilitated the transition to the Common Core Standards for Priority Schools through the use of instructional resources for reading and math.
- Significantly enhanced collaboration between the Indian Education Bureau and the Student Success Division to ensure alignment of instructional standards for all Native American students.
- Initiated the development of a culture-based education model to comply with the New Mexico Indian Education Act to engage the Native American students to improve student performance.
- Engaged the Bilingual Directors in a process that identified high-need educational challenges for bilingual/ELL students, such as, instructional support, professional development, leadership and communication to improve student performance.

### **Rewarding Effective Educators and Leaders**

- Appointed and convened the 15-member New Mexico Effective Teaching Task Force.
- Facilitated the development of teacher and school leader evaluation system recommendations and delivered to the Governor.
- Established more direct outreach to districts to assist with staffing concerns.
- Increased collaboration to enhance effective professional development.
- Applied and received a no-cost extension of Transition-to-Teaching grant.
- Launched a partnership with Southern Regional Education Board (SREB) and University of New Mexico Institute for Professional Development to improve school leadership.

### **Effective Options for Parents**

- Partnered with the National Association of Charter School Authorizers (NACSA) to create a more vigorous charter application review and vetting process.
- Presented training in collaboration with NACSA to Public Education Commission (PEC) and local district authorizer on authorizing best practices.
- Worked with Superintendent of Farmington Municipal Schools to assist and guide with best practices for reviewing of new charter application.
- Began process of identifying additional resources to further online learning courses to expand IDEAL-NM and other distance learning opportunities.
- Initiated a review of Charter Schools Bureau operations for efficiency and improvement of client services.

New Mexico's children deserve these efforts and so much more. The opportunity to change the culture of education is a golden chance to change the future for not only the students, for the entire state of New Mexico. The PED's vision is to make sure the hardship and the challenges students face today are no longer passed on to future generations. The time to deliver on that promise is now.

## Strategic Lever 1: Smarter Return on New Mexico's Investment

To protect students in these challenging economic times, Governor Martinez prioritized classroom spending over bureaucracy. Legislation passed in the 2011 regular session increases transparency in school spending, authorizing the PED to partner with local school districts to align their budgets to proven student success strategies. The following innovative goals will continue to propel New Mexico towards this strategy:

Goal	Public Performance Measure	Data Validation	Accountability
1. Improve management and expenditures of state and federal dollars to align with proven strategies for student success with expenditures in education across the state.	X	OBMS, SHARE, budget review process	PED Senior Team, Program Managers, Financial Managers, District Superintendents
2. Increase percent/dollars to the classroom in chart of accounts category 1000.	X	OBMS, STARS, budget review process	Paul Aguilar (Deputy Secretary, Finance and Operations)
3. Increase percent/dollars to the classroom in the following chart of accounts: direct instruction (1000), support services students (2100), and support services instruction (2200).	X	OBMS, STARS, budget review process	Paul Aguilar (Deputy Secretary, Finance and Operations)
4. Obtain private funding investments to increase overall educational funding.	X	SHARE	Leighann Lenti (Director of Policy)
5. Seek federal competitive grants to increase overall educational funding.	X	SHARE	Leighann Lenti (Director of Policy)
6. Obtain budget and regulatory flexibility for student achievement effectiveness at the federal level.	X	Federal reporting, STARS, School Report Card	Leighann Lenti (Director of Policy), Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability)
7. Ensure accurate and meaningful data are available.	X	STARS, OBMS	PED Senior Team, Michael Archibeque (Chief Information Officer), District Data Coordinators
8. Identify effective PED programs to serve districts better and retool current programs to improve effectiveness.	X	TBD	PED Senior Team



## Smarter Return on New Mexico's Investment

### 1. Improve Management and Expenditures of State and Federal Dollars

Within the PED, the coordination among bureaus to ensure expenditures are aligned with approved applications and proven instructional strategies is imperative. The department works to keep districts and charter schools informed on the status of revenue available and expended to avoid reverting funds annually. Since districts and charter schools are required to expend their own funding first and then request reimbursement, it is important for the PED to expedite reimbursements to the districts and charter schools.

Externally, districts and charter schools certify to the department that expenditures are aligned with their Educational Plan for Student Success (EPSS). PED program staff work with districts and charter schools to ensure proper planning takes place and that districts align their instructional practices with proven strategies to improve student growth and promote student success.

### 2. Increase Percent/Dollars to the Classroom, Chart of Account Category 1000

The School Budget and Financial Analysis Bureau analysts work with superintendents and business managers to evaluate district and charter school budgets to ensure that budgets are focused on increasing the percent and dollars to the classroom. These increases are then used to implement proven strategies for student success. This involves give-and-take negotiations between districts and the PED to assist districts in identifying areas where funding can be moved into direct instruction line items. PED program staff are also included to ensure districts are providing educational programs that implement proven, successful instructional strategies. In areas where districts have concerns with recommended changes, senior staff is involved in discussions to ensure districts understand the imperative of increasing funding to the classroom to improve student success.

### 3. Increase Percent/Dollars to the Classroom: Direct Instruction (1000), Support Services Students (2100), and Support Services Instruction (2200)

The School Budget and Financial Analysis Bureau analysts work with superintendents and business managers to evaluate district and charter school budgets to ensure that budgets are focused on increasing the percent and dollars to the classroom—support services, students and supplemental services and, instruction. These increases are used to implement proven strategies for student success. This involves give-and-take negotiations between districts and the PED to assist districts in identifying areas where funding can be moved into line items 1000, 2100, and 2200. PED program staff are also included to ensure districts are providing a curriculum that implements proven, successful, instructional strategies. In areas where districts have concerns with recommended changes, senior staff is involved in discussions to ensure districts and charter schools understand the imperative of the department to increase funding.

#### **4. Obtain Private Funding Investments to Increase Overall Educational Funding**

Leveraging private funds that align to New Mexico's education reform agenda will link the funding community to the schools across the state, and allow investment in the kinds of high-impact innovations that otherwise would not be financially feasible. The PED will work to ensure that any private dollars received meet the established goals to guarantee that private donors know that their investments positively impact teaching and learning.

#### **5. Seek Federal Competitive Grants to Increase Overall Educational Funding**

Historically, New Mexico has struggled to successfully compete for federal grants. In order to increase the amount of dollars available to support our key reform goals, the PED will actively pursue competitive dollars that will positively impact teaching and learning.

#### **6. Obtain Budget and Regulatory Flexibility for Student Achievement Effectiveness at the Federal Level**

Through the waiver process developed by the United States Department of Education, New Mexico will seek both regulatory and budgetary flexibility. New Mexico will seek flexibility that will allow the state to have a singular accountability system that recognizes both proficiency and growth, unlike the current pass/fail system. New Mexico will also pursue flexibility to transition to an evaluation system that places the emphasis on teacher effectiveness as measured by student outcomes over teacher qualifications. Additionally, the PED will pursue flexibility to decrease the number of federal reports currently required and expand the allowable uses of funds.

#### **7. Ensure Accurate and Meaningful Data is Available**

To ensure accurate and meaningful data is collected, the PED is committed to establishing a comprehensive Data Quality Program to document data collection processes, track necessary data elements, document the purpose and use of data, identify redundant data, and reduce the reporting burden to the PED. Additionally, the PED will continue to facilitate data sharing, collection, and collaboration with schools, school districts, teachers, principals, administrators, legislators, and the public to ensure accurate and meaningful data are available.

## 8. Identify Effective PED Programs to Serve Districts Better and Retool Current Programs to Improve Effectiveness

### Finance and Budget Division

- Decrease processing time of federal reimbursements to grantees by informing the districts regularly of revenue available and timelines for expenditure.
- Eliminate duplicative or redundant state and federal data collection and reporting requirements.
- Standardize and streamline grant applications.
- Implement electronic submission and approval of waivers.
- Reduce the number of required reports from districts and charter schools.
- Ensure funds are moved quickly into school accounts to keep programs operating and to allow districts and charter schools to pay their bills through the Fiscal Grants Management Bureau.
- Ensure districts and charter schools develop budgets aligned with department and the Governor's priorities and executed appropriately through the School Budget and Financial Accountability Bureau.

### Policy Division

- Streamline and expedite the process under which districts can submit waiver requests and receive decisions from the PED.

### Assessment and Accountability Division

- Provide timely and reliable data for improved data-driven decision making through online reporting tools.

### Educator Quality Division

- Use Title II funding to strategically implement statewide and regional teacher professional development focused on literacy, numeracy, and school leadership.
- Establish criteria for Title II allocation to school districts. Provide technical assistance to districts regarding effective measures established in Title II.
- Amend rules for licensure to structure longevity of a teaching license to a term of three years. Effective measures are tied to continuing licensure.
- Establish an effective online help desk for Licensure Bureau that will serve districts and teachers to expedite license queries.

### Student Success Division

- Enhanced technical support to schools and districts by eliminating silos within the divisions with expanded communication among all bureaus.
- Developed evidence-based best practices will formulate the transformational model as a pilot for 15 School Improvement Grant (SIG) schools and 5 additional schools in designation with emphasis on literacy, math, leadership, and cultural competence.

### Options for Parents Division

- Provide professional development and technical support to local school districts for authorizing best practices and the implementation of Senate Bill 446 (Charter School contracts bill).
- Reorganize the Charter Schools Bureau to become a technical support unit for all charter schools and local district authorizers.

## Strategic Lever 2: Real Accountability. Real Results.

Implementing a transparent school-grading system allows parents, teachers, students, and the community to understand the quality of education in our classrooms, creating a culture of higher expectations and greater achievement. Recognizing excellence and progress while addressing failures are the keys to improving our education system. Without incentives for effectiveness and replacing failure with success, our system of evaluating students is meaningless. To increase accountability and transparency in New Mexico schools, the “Real Accountability. Real Results.” initiative signed into law by Governor Martinez adopts an easy-to-understand system of grading schools.

Goal	Public Performance Measure	Data Validation	Accountability
1. Implementation of successful school-grading system.	X	STARS	Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability), Leighann Lenti (Director of Policy)
2. Pursue federal waiver.	X	Implementation of a singular accountability system that recognizes both proficiency and growth	Leighann Lenti (Director of Policy)
3. Increase A and B schools.	X	STARS, OBMS	Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability), Leighann Lenti (Director of Policy)
4. Decrease D and F schools.	X	STARS, OBMS	Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability), Leighann Lenti (Director of Policy)
5. Create monetary and/or flexibility incentives for schools and districts.	X	STARS, OBMS	Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability), Leighann Lenti (Director of Policy)
6. Increase parent and community involvement.	X	Parent report card, Parent Advisory	Anna Lisa Banegas-Peña, Ed.D. (Director of Student Success)
7. Identify, develop and implement effective turnaround strategies for low performing schools and champion proven strategies in higher-performing schools.	X	More A, B schools and fewer D, F schools annually	Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability), Anna Lisa Banegas-Peña, Ed.D. (Director of Student Success), Leighann Lenti (Director of Policy)

## Strategic Level 2 (continued)

8. Transition to common core.	X	Assessment system in place, structural materials aligned, professional development for teachers conducted	Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability), Anna Lisa Banegas-Peña, Ed.D. (Director of Student Success)
9. Transition to common core assessments.	X	STARS	Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability)

## Real Accountability. Real Results.

### 1. Implementation of Successful School-Grading System

The school-grading system utilizes multiple years of data, incorporating both current performance and individual student growth to hold schools accountable for student learning. The PED will utilize the rule making process in the fall of 2011 to outline the specific criteria that will be used to implement the school grading system. Additionally, the PED will work with districts and schools to provide baseline data in 2011, technical assistance on how grades are calculated, and guidance on activities schools can undertake to improve their grades and outcomes for students.

### 2. Pursue Federal Waiver

The state will also pursue a federal waiver to replace the current pass/fail AYP system with our school-grading system. This will allow New Mexico to have a singular accountability system that recognizes both the proficiency and growth made by our students and schools.

### 3 - 5. Increase A and B Schools. Decrease D and F Schools. Create Monetary and Flexibility Incentives for Schools and Districts

By developing flexibility and, over time, including monetary rewards for A schools, the PED will partner with districts to incentivize the growth of all schools. As part of the federal waiver request, the PED will look to expand how federal resources can be used to not only incentivize growth, but also reward schools. This could include flexibility in the use of funds and less onerous reporting requirements. Additionally, the PED will look to provide tiered support to D and F schools. The most intensive support will be provided to F schools and aligned to their areas of weakness so that they can become high-performing schools.

## **6. Increase Parent and Community Involvement**

Parents are their child's first teacher. PED's role is to arm parents with tools to enhance their role as the first teacher of their child. To do this, the PED has developed robust parent and community training modules designed to aid parents in their role as the first teacher. The modules address key components, such as, effective reading strategies for parents. For parents who do not have access to technology, these modules will be available to parents through their child's school.

## **7. Develop and Implement Effective Turnaround Strategies for Low Performing Schools and Champion Proven Strategies in Higher Performing Schools**

Effectively intervening in our lowest-performing schools and championing the success of our highest-performing schools is the responsibility of every educator, parent, community member and public servant. To accomplish this goal, the PED will pursue budgetary and regulatory flexibility and require the lowest-performing schools to invest their dollars in proven strategies. Additionally, our highest-performing schools will have the opportunity for additional flexibility and, over time, monetary rewards.

## **8. Transition to Common Core**

The Common Core standards are a set of nationally-developed standards that are aligned with 21st century skills that students need in order to be college and career ready. The PED is developing a transition plan to the Common Core. This plan will be built in collaboration with district and charter school administrators, school leaders, teachers, parents, and community stakeholders. The transition plan will be the basis for the PED to pursue both state and private support to implement the plan so that we can prepare all students to be college and career ready.

## **9. Transition to Common Core Assessments**

Full implementation of the Common Core standards (CCS) means that teachers will be teaching towards a mastery of the standards, using materials aligned with the CCS, and that students will be assessed using tests fully aligned to the CCS. This transition includes providing teachers with professional development, and building school, district, and charter school capacity for computer-based assessments. Full implementation also includes implementing new state assessments based on the CCS. By partnering with other states in the Partnership for Assessment of Readiness for College and Career (PARCC) consortium, New Mexico will be able to support the development of high-quality assessments that will best meet the needs of our students and teachers.

## Strategic Lever 3: Ready for Success Initiative

To prepare students to succeed throughout their academic careers, the PED is committed to placing a command-focus on literacy. This focus will include vertical alignment and integration of the core content, curbing the all too common practice of social promotion, and prioritizing research-based strategies for reading interventions. This will ultimately lead to college success and career readiness.

Goal	Public Performance Measure	Data Validation	Accountability
1. Increase the percentage of students who score Proficient and Advanced on the NMSBA.	X	NMSBA Scores –STARS	Anna Lisa Banegas-Peña, Ed.D. (Director of Student Success), Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability)
2. Implement parent and community reading initiatives.	X	TBD	Anna Lisa Banegas-Peña, Ed.D. (Director of Student Success)
3. Increase graduation rates.	X	Graduation rate	Anna Lisa Banegas-Peña, Ed.D. (Director of Student Success), Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability)
4. Implement a 3 <sup>rd</sup> grade “no social promotion” initiative.	X	Higher number of proficient readers and less students retained on an annual basis	Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability), Anna Lisa Banegas-Peña, Ed.D. (Director of Student Success), Leighann Lenti (Director of Policy)
5. Reduce the percentage of students retained in third grade due to literacy level.	X	Significant reduction of students retained in third grade due to literacy level	Anna Lisa Banegas-Peña, Ed.D. (Director of Student Success)



## Ready for Success Initiative

### 1. Increase the Percentage of Students in Proficient and Advanced on the NMSBA

The PED will work with school districts to identify proven strategies for improving student academic growth and assist with providing professional development for local implementation.

### 2. Implement Parent and Community Reading Initiatives

After analyzing current community-based reading initiative programs, the PED will work with school district and charter school staff, parents and, communities to identify proven practices for replication in other districts and communities to increase literacy levels across the state.

### 3. Increase Graduation Rates

The PED will work with school districts and charter schools on interventions and proven strategies that can be implemented to increase the readiness of students to successfully graduate, and be prepared to enter college or career. An unacceptably-high proportion of New Mexico high school graduates are not adequately prepared to competitively enter the work force or seamlessly transition into college or university coursework. The purpose of high-stakes graduation expectations is to provide concrete objectives for students that, upon completion, signals that students have mastered New Mexico standards and are prepared to enter the next stage of their careers. A major component of high expectations is a high stakes exit exam that explicitly assesses students for mastery on standards designed to prepare students with 21<sup>st</sup> century skills. A complimentary goal to the implementation of a high-stakes exit exam is the development of Alternative Demonstrations of Competency (ADC). The ADC must be a rigorous alternative indicator of student skills and knowledge.

### 4. Implement a 3<sup>rd</sup> Grade “No Social Promotion” Initiative

As reading proficiency is one of the key indicators for high school graduation, the PED will implement policies to end the all too common practice of social promotion. Through screening and early intervention, New Mexico will better identify struggling readers and provide support needed so that all children are proficient by third grade. The parents of struggling readers will be notified early in the year in order to provide the opportunity to become engaged in supporting their child.

## **5. Reduce the Percentage of Students Retained in Third Grade Due to Literacy Level**

Adequately assess students' instructional reading level. Ensure standards-based instruction for all students, especially those grades leading to third grade. Develop vertical alignment of early childhood literacy with kindergarten to ensure students are reading on level as they exit the grade. Implement, with fidelity, the state's Response to Intervention framework with differentiated instructional models and integrating cultural competence components.

## Strategic Lever 4: Rewarding Effective Educators and Leaders

To ensure all students have access to great teachers and school leaders, Governor Martinez remains committed to developing an evaluation system that prioritizes student academic gains. Additionally, the Governor is committed to recruit, retain, reward, and incentivize effective teaching and leadership in our schools and districts.

Goal	Public Performance Measure	Data Validation	Accountability
1. Create a comprehensive teacher and school leadership performance-based evaluation system with 50% of the evaluation capturing student achievement, 25% observation, and 25% multiple measures.	X	Student achievement will constitute 50% of the teacher evaluation, 25% observation, 25% multiple measures	Matt Montaña (Director of Educator Quality), Leighann Lenti (Director of Policy), Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability)
2. Create an educational leadership pipeline.	X	Increase annually number of highly effective teachers and school leaders	Matt Montaña (Director of Educator Quality)
3. Work with Higher Education to address teacher preparation program effectiveness.	X	Licensure data systems	Matt Montaña (Director of Educator Quality), Mike Archibeque (Chief Information Officer), Pete Goldschmidt, Ph.D. (Director of Assessment and Accountability)

### Rewarding Effective Educators and Leaders

#### 1. Create a Comprehensive Teacher and School Leadership Performance-Based Evaluation System

The PED is seeking to reform the current teacher and school leader evaluation systems to include standardized and objective criteria that establish a multi-tiered evaluation based upon effectiveness. This system seeks to recruit, retain, reward, and advance teacher and school leader licenses based on level of student achievement and a common PED-approved set of multiple measures. The teacher and school evaluation system will consist of reliable, precise models that allow for valid attribution of effectiveness-based student performance.

## **2. Create an Educational Leadership Pipeline**

The PED will develop a leadership pipeline for school leaders that will provide professional development that meet New Mexico Administrative Code (NMAC) requirements for bi-annual training. The Department will establish a structure that utilizes research-based strategies to define roles of instructional leadership that includes teacher observations and ongoing professional development initiatives that are data driven.

## **3. Work with Higher Education to Address Teacher Preparation Program Effectiveness**

The PED will facilitate data sharing between licensure data bases and STARS to establish a process for evaluating teacher effectiveness as defined in the value-added model and the teacher preparation programs. Accreditation of pre-service programs will be determined based on objective data, as well as required state accreditation visits.

## Strategic Lever 5: Effective Options for Parents

Governor Martinez remains committed to offering parents multiple educational opportunities for their children, including effective charter schools that are held accountable to high standards through implementation of SB446. In addition, robust online learning opportunities will be created to reach out to all areas of New Mexico.

Goal	Public Performance Measure	Data Validation	Accountability
1. Increase number of effective charter schools.	X	Budget review process, school grades, rule implementation	Patty Matthews (Director of Options for Parents)
2. Create robust, statewide virtual school (s).	X	Virtual school course offering, number of students enrolled completing virtual schools	Patty Matthews (Director of Options for Parents)
3. Provide high-quality technical assistance to charter authorizers.	X	Needs assessment completed, training provided	Patty Matthews (Director of Options for Parents)

### Effective Options for Parents

#### 1. Increase Number of Effective Charters Schools

The PED will amend existing processes for new and renewed applications to ensure only quality charter schools are approved or renewed using national best practices. This includes the development of rubrics, templates, guidance, and technical assistance for ensuring that charter schools and authorizers understand their respective obligations and roles. New rules will be adopted and the PED guidance around SB446 will be provided to define and clarify authorizing practices. School grading will be used to inform acceptable standards for charter school sustainability. The effectiveness of the appeal process will be examined as it applies to charter applications and renewal. In addition, professional development opportunities for charter school governing bodies will be created to ensure accountability and compliance.

#### 2. Create Robust, Statewide Virtual School (s)

The PED will conduct a statewide assessment of the utilization of IDEAL-NM and other virtual education programs at districts and charter schools. Using the data collected, the Options for Parents Division will determine how to improve overall utilization of existing resources in areas that will create expanded effective options for parents.

### **3. Provide High-Quality Technical Assistance to Charter Authorizers**

The PED will conduct a statewide assessment of local authorizers to determine areas of need and how to improve the use of existing resources to assist with best practices, which includes the implementation of SB446. The PED will provide at least one training to local district authorizers to inform them of the implementation of SB446.

**PED Senior Team Contact Information**

<b>Name</b>	<b>Title</b>	<b>Email</b>
Hanna Skandera	Secretary of Education	<a href="mailto:Hanna.Skandera@state.nm.us"><u>Hanna.Skandera@state.nm.us</u></a>
Christine Stavem	Chief of Staff	<a href="mailto:Christine.Stavem@state.nm.us"><u>Christine.Stavem@state.nm.us</u></a>
Paul Aguilar	Deputy Secretary of Finance and Operations	<a href="mailto:PaulJ.Aguilar@state.nm.us"><u>PaulJ.Aguilar@state.nm.us</u></a>
Michael Archibeque	Chief Information Officer	<a href="mailto:Michael.Archibeque@state.nm.us"><u>Michael.Archibeque@state.nm.us</u></a>
Dr. Anna Lisa Banegas-Peña	Director of Student Success	<a href="mailto:AnnaLisa.banegaspen@state.nm.us"><u>AnnaLisa.banegaspen@state.nm.us</u></a>
Larry Behrens	Public Information Officer	<a href="mailto:Larry.Behrens2@state.nm.us"><u>Larry.Behrens2@state.nm.us</u></a>
Julia Rosa Emslie	Director of Strategic Initiatives	<a href="mailto:juliarosa.emslie@state.nm.us"><u>juliarosa.emslie@state.nm.us</u></a>
Dr. Pete Goldschmidt	Director of Assessment and Accountability	<a href="mailto:Pete.Goldschmidt@state.nm.us"><u>Pete.Goldschmidt@state.nm.us</u></a>
Leighann Lenti	Director of Policy	<a href="mailto:Leighann.Lenti@state.nm.us"><u>Leighann.Lenti@state.nm.us</u></a>
Patricia Matthews	Director of Parent Options	<a href="mailto:Patricia.Matthews@state.nm.us"><u>Patricia.Matthews@state.nm.us</u></a>
Matthew Montaña	Director of Educator Quality	<a href="mailto:Matthew.Montano1@state.nm.us"><u>Matthew.Montano1@state.nm.us</u></a>

**ATTACHMENT 13: A-F SCHOOL GRADING ACT**



1 AN ACT  
2 RELATING TO PUBLIC SCHOOLS; ENACTING THE A-B-C-D-F SCHOOLS  
3 RATING ACT; PROVIDING FOR A RATING SYSTEM TO GRADE PUBLIC  
4 SCHOOLS IN A WAY EASILY UNDERSTANDABLE BY PARENTS, SCHOOL  
5 PERSONNEL AND THE COMMUNITY; ESTABLISHING CRITERIA FOR RATING  
6 PUBLIC SCHOOLS; PROVIDING SCHOOL OPTIONS; PROVIDING FUNDING  
7 FOR FAILING SCHOOLS TO IMPLEMENT PROGRAMS LINKED TO IMPROVED  
8 STUDENT ACHIEVEMENT; RECONCILING MULTIPLE AMENDMENTS TO THE  
9 SAME SECTION OF LAW IN LAWS 2007.

10

11 BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF NEW MEXICO:

12 SECTION 1. A new section of the Public School Code is  
13 enacted to read:14 "SHORT TITLE.--Sections 1 through 4 of this act may be  
15 cited as the "A-B-C-D-F Schools Rating Act"."16 SECTION 2. A new section of the Public School Code is  
17 enacted to read:18 "DEFINITIONS.--As used in the A-B-C-D-F Schools Rating  
19 Act:20 A. "growth" means learning a year's worth of  
21 knowledge in one year's time, which is demonstrated by a  
22 student's performance on New Mexico standards-based  
23 assessments that shows the student:24 (1) moving from one performance level to a  
25 higher performance level;

1                   (2) maintaining a proficient or advanced  
2 proficient performance level as provided by department rule;  
3 or

4                   (3) remaining in beginning step or nearing  
5 proficient performance level but improving a number of scale  
6 score points as specified by department rule; and

7                   B. "school options" means a right to transfer to  
8 any public school not rated an F in the state or have  
9 children continue their schooling through distance learning  
10 offered through the statewide or a local cyber academy."

11                  SECTION 3. A new section of the Public School Code is  
12 enacted to read:

13                  "RATING CERTAIN SCHOOLS.--Commencing with the 2011-2012  
14 school year, public schools shall be subject to being rated  
15 annually by the department as provided in the A-B-C-D-F  
16 Schools Rating Act."

17                  SECTION 4. A new section of the Public School Code is  
18 enacted to read:

19                  "ANNUAL RATINGS--LETTER GRADES--RATINGS BASED ON  
20 STANDARDS-BASED TESTS--RIGHT TO SCHOOL CHOICE--DISTANCE  
21 LEARNING--RESPONSIBILITY FOR COST--USE OF FUNDS--ADDITIONAL  
22 REMEDY.--

23                  A. All public schools shall be graded annually by  
24 the department.

25                  B. The department shall assign a letter grade of

1 A, B, C, D or F to each public school pursuant to criteria  
2 established by department rules, after input from the  
3 secretary's superintendents' council, that include as a  
4 minimum a combination of the following factors in a public  
5 school's grade:

6 (1) for elementary and middle schools:

7 (a) student proficiency, including  
8 achievement on the New Mexico standards-based assessments;

9 (b) student growth in reading and  
10 mathematics; and

11 (c) growth of the lowest twenty-fifth  
12 percentile of students in the public school in reading and  
13 mathematics; and

14 (2) for high schools:

15 (a) student proficiency, including  
16 achievement on the New Mexico standards-based assessments;

17 (b) student growth in reading and  
18 mathematics;

19 (c) growth of the lowest twenty-fifth  
20 percentile of students in the high school in reading and  
21 mathematics; and

22 (d) additional academic indicators such  
23 as high school graduation rates, growth in high school  
24 graduation rates, advanced placement and international  
25 baccalaureate courses, dual enrollment courses and SAT and

1 ACT scores.

2 C. The New Mexico standards-based assessments used  
3 for rating a school are those administered annually to  
4 students in grades three, four, five, six, seven, eight, nine  
5 and eleven pursuant to Section 22-2C-4 NMSA 1978.

6 D. In addition to any rights a parent may have  
7 pursuant to federal law, the parent of a student enrolled in  
8 a public school rated F for two of the last four years has  
9 the right to transfer the student in the same grade to any  
10 public school in the state not rated F or the right to have  
11 the student continue schooling by means of distance learning  
12 offered through the statewide or a local cyber academy. The  
13 school district or charter school in which the student is  
14 enrolled is responsible for the cost of distance learning.

15 E. The department shall ensure that a local school  
16 board or governing body of a charter school is prioritizing  
17 resources of a public school rated D or F toward proven  
18 programs and methods linked to improved student achievement  
19 until the public school earns a grade of C or better for two  
20 consecutive years.

21 F. The school options available pursuant to the  
22 A-B-C-D-F Schools Rating Act are in addition to any remedies  
23 provided for in the Assessment and Accountability Act for  
24 students in schools in need of improvement or any other  
25 interventions prescribed by the federal No Child Left Behind

1 Act of 2001."

2 SECTION 5. Section 22-8-11 NMSA 1978 (being Laws 1967,  
3 Chapter 16, Section 66, as amended) is amended to read:

4 "22-8-11. BUDGETS--APPROVAL OF OPERATING BUDGET.--

5 A. The department shall:

6 (1) on or before July 1 of each year,  
7 approve and certify to each local school board and governing  
8 body of a state-chartered charter school an operating budget  
9 for use by the school district or state-chartered charter  
10 school;

11 (2) make corrections, revisions and  
12 amendments to the operating budgets fixed by the local school  
13 boards or governing bodies of state-chartered charter schools  
14 and the secretary to conform the budgets to the requirements  
15 of law and to the department's rules and procedures; and

16 (3) ensure that a local school board or  
17 governing body of a charter school is prioritizing resources  
18 of a public school rated D or F toward proven programs and  
19 methods that are linked to improved student achievement until  
20 the public school earns a grade of C or better for two  
21 consecutive years.

22 B. No school district or state-chartered charter  
23 school or officer or employee of a school district or  
24 state-chartered charter school shall make any expenditure or  
25 incur any obligation for the expenditure of public funds

1 unless that expenditure or obligation is made in accordance  
2 with an operating budget approved by the department. This  
3 prohibition does not prohibit the transfer of funds pursuant  
4 to the department's rules and procedures.

5 C. The department shall not approve and certify an  
6 operating budget of any school district or state-chartered  
7 charter school that fails to demonstrate that parental  
8 involvement in the budget process was solicited."

9 SECTION 6. Section 22-8-18 NMSA 1978 (being Laws 1974,  
10 Chapter 8, Section 8, as amended by Laws 2007, Chapter 347,  
11 Section 1 and by Laws 2007, Chapter 348, Section 2 and also  
12 by Laws 2007, Chapter 365, Section 1) is amended to read:

13 "22-8-18. PROGRAM COST CALCULATION--LOCAL  
14 RESPONSIBILITY.--

15 A. The total program units for the purpose of  
16 computing the program cost shall be calculated by multiplying  
17 the sum of the program units itemized as Paragraphs (1)  
18 through (6) in this subsection by the instructional staff  
19 training and experience index and adding the program units  
20 itemized as Paragraphs (7) through (13) in this subsection.  
21 The itemized program units are as follows:

22 (1) early childhood education;

23 (2) basic education;

24 (3) special education, adjusted by

25 subtracting the units derived from membership in class D

1 special education programs in private, nonsectarian,  
2 nonprofit training centers;

3 (4) bilingual multicultural education;

4 (5) fine arts education;

5 (6) elementary physical education;

6 (7) size adjustment;

7 (8) at-risk program;

8 (9) enrollment growth or new district  
9 adjustment;

10 (10) special education units derived from  
11 membership in class D special education programs in private,  
12 nonsectarian, nonprofit training centers;

13 (11) national board for professional  
14 teaching standards certification;

15 (12) home school student activities; and

16 (13) charter school student activities.

17 B. The total program cost calculated as prescribed  
18 in Subsection A of this section includes the cost of early  
19 childhood, special, bilingual multicultural, fine arts and  
20 vocational education and other remedial or enrichment  
21 programs. It is the responsibility of the local school board  
22 or governing body of a charter school to determine its  
23 priorities in terms of the needs of the community served by  
24 that board. Except as otherwise provided in this section,  
25 funds generated under the Public School Finance Act are

1 discretionary to local school boards and governing bodies of  
2 charter schools, provided that the special program needs as  
3 enumerated in this section are met; provided, however, that  
4 if a public school has been rated D or F for two consecutive  
5 years, the department shall ensure that the local school  
6 board or governing body of a charter school is prioritizing  
7 resources for the public school toward proven programs and  
8 methods linked to improved student achievement until the  
9 public school earns a C or better for two consecutive years."

10 SECTION 7. SEVERABILITY.--If any part or application  
11 of this act is held invalid, the remainder or its application  
12 to other situations or persons shall not be affected. \_\_\_\_\_

SB 427  
Page 8

13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25



**ATTACHMENT 14: NEW MEXICO EFFECTIVE TEACHING TASK FORCE FINAL REPORT AND  
RECOMMENDATIONS**

# New Mexico Effective Teaching Task Force

---

## *Final Report and Recommendations*

*August 26, 2011*

**Presented By:**

**Hanna Skandera**, Santa Fe; Task Force Chair Public Education Department Secretary-designate

**David Abbey**, Santa Fe; Director of the Legislative Finance Committee

**Frances Ramirez-Maestas**, Santa Fe; Director of the Legislative Education Study Committee

**Charles Bowyer**, Albuquerque; Executive Director of the National Education Association – New Mexico

**Lindsey Cross**, Gallup; Managing Director, Teacher Leadership and Development at Teach For America

**Tammy Davis**, Artesia; Principal at Central Elementary School in Artesia

**James Gallegos**, Cimarron; Superintendent at Cimarron Municipal Schools

**Nyeta Haines**, Las Cruces; Principal at Las Cruces High School

**Cherie Love**, Las Cruces; Second grade general education teacher at Conlee Elementary School in Las Cruces

**Lillian Montoya-Rael**, Santa Fe; Principal at Flywheel Ventures

**Dennis Roch**, Texico; Assistant Superintendent at Texico Municipal Schools and Member of the New Mexico House of Representatives serving on the House Education Committee

**Dr. Karen Sanchez-Griego**, Albuquerque; Principal of Atrisco Heritage Academy High School in Albuquerque

**Katherine Sandoval-Snider**, Albuquerque; Director at Albuquerque Institute for Mathematics and Science

**Dr. Suchint Sarangarm, Roswell**; Assistant Superintendent for Assessment, Evaluation and Technology at Roswell Independent Schools

**Carlotta Thode**, Kirtland; Parent Representative, Legal Secretary at Farmington City Attorney's Office

## Table of Contents

Executive Summary	4-8
Introduction	9-11
Section I: Teacher and School Leader Evaluation	12-19
Section II: Professional Development	20-25
Section III: Recruitment and Retention	26-32
Section IV: Compensation and Advancement	33-37
Section V: Next Steps	38-39
Appendix A: Meeting Dates and Topics	40-41
Appendix B: Works Cited and Works Reviewed	42-44
Appendix C: Fast Facts – Current NM System	45-51

## **Executive Summary**

### **Overview**

The impact of an effective teacher has great value not only to the school, the district, and the state, but most importantly an effective teacher reaches a student who then becomes the beneficiary of a new world of possibilities. Delivering on the promise of an excellent teacher is the key to lifting New Mexico's students out of poverty and closing the achievement gap which doesn't do justice to our state. Therefore, no one can overstate the importance of an effective teacher.

The professionals of the Effective Teaching Task Force place the highest importance on this opportunity. Their work is completed with the hope that these recommendations will benefit the teachers, students, and students of New Mexico for generations.

### **Purpose of the Effective Teacher Task Force**

The Effective Teaching Task Force was formed by Executive Order in April 2011 with the purpose of delivering on the promise of recruiting, retaining and rewarding New Mexico's most effective teachers and school leaders. Over the course of 3 months, this 15 member Task Force representing teachers and school leaders across the state and with over 100 years of classroom experience, met 10 times for over 60 hours to deliver recommendations to Governor Martinez. The recommendations in this report are the product of the Teaching Task Force.

The current teacher recognition process in New Mexico places emphasis on years of experience and credentials obtained. Members of the Task Force recognize these factors are important; however, they fail to offer teachers any acknowledge of student achievement. Many New Mexico teachers see the growth of students in the classroom, but work in a system that does not recognize or reward them for it. The purpose of the Task Force was to find the most meaningful way to change this dynamic and place student achievement at the forefront of teacher excellence in order to change a system with 'qualified' teachers to classrooms full of effective teachers.

The sense of urgency in this process is essential. Every school day, nearly 330,000 New Mexico students enter the classroom with the expectation their educational leaders are doing all they can to support them. To send the message that important teacher reforms can wait is to fail those children who won't get a second chance at an education.

## Recommendations

The Task Force has made recommendations in the areas related to Teacher and School Leader Evaluations, Professional Development, Recruitment and Retention, and Compensation and Advancement. With the exception of two recommendations, all were approved unanimously by the 15 member Task Force. The two that were not approved unanimously each received one no vote and are recommendations 3 (using the Standards Based Assessment to calculate a teachers value-add score) and 4 (bridge policy for teachers in non-tested grades and subjects) below. The full recommendations by the Task Force are:

1. New Mexico should replace its overly simplistic pass/fail teacher evaluation system with five effectiveness levels.
2. Effectiveness levels should only be assigned after careful consideration of multiple measures, including student achievement data, observations, and other proven measures selected by local districts from a list of options approved by New Mexico's Public Education Department (PED).
3. In order to reliably capture student achievement, we recommend the use of a value-added model of data analysis. Each teacher's value-added contribution would be calculated by PED staff, and after a data review procedure similar to that which occurs before the release of schoolwide student achievement data, this calculation would be disseminated to local districts for inclusion in the locally-adopted teacher evaluation process. In addition, each teacher should receive a copy of his or her value-added calculation in order to inform instruction. Teachers in tested grades and subjects will be evaluated in the following way:
  - a. 50% based on VAM of student achievement;
  - b. 25% based on observations; and
  - c. 25% based on locally adopted (and PED approved) multiple measures.
4. We recommend phasing in the use of value-added evaluations, first for teachers in tested grades and subjects and subsequently for teachers in non-tested grades and subjects, though both subsets of teachers will be evaluated through observations and other approved measures immediately. Until such time as other assessments are available and/or approved for use in calculating value-added measurements of student achievement in non-tested grades and subjects, teachers in non-tested grades and subjects will be evaluated in the following way:
  - a. 25% based on a schools A-F School Grade;
  - b. 25% based on observations; and
  - c. 50% based on locally adopted (and PED approved) multiple measures.
5. In addition to student achievement, we recommend the continued use of observations, with objective protocols, in the evaluation of each teacher's performance.

6. As local districts adopt research-driven, PED-approved measures for the remaining portion of a teacher's evaluation, it is important to ensure opportunity for key stakeholders (teachers, school leaders, parents, community members, etc.) to provide public input on the policy decision.
7. New Mexico's teacher evaluation system should utilize a matrix in which the multiple components of a teacher's evaluation combine to determine a teacher's overall effectiveness rating.
8. We recommend that a post-evaluation conference with the evaluator provide each teacher with actionable feedback, though we caution that this conference and the feedback delivered therein not be considered a "due process" requirement without which an ineffective teacher may not be terminated.
9. As with teachers, New Mexico should replace its overly simplistic pass/fail principal evaluation system with five effectiveness levels.
10. We recommend that the emphasis on student achievement in teacher evaluation also be reflected in the evaluation of the school leader.
11. The remaining 50% should be comprised of other measures, half of which must consider the fidelity with which the principal implements the teacher evaluation process.
12. Similar to that used in the teacher evaluation system, New Mexico's principal evaluation system should utilize a matrix in which the components of a teacher's evaluation combine to determine a principal's overall effectiveness rating.
13. Establishment of a Professional Development Committee by the PED to review research in the area of effective professional development and make recommendations on allowable, research-driven, proven professional development opportunities to be chosen by the state, districts, and administration. The purpose of the standing committee is to ensure that professional development is designed to enhance student learning and continuously improve the quality of teaching and educational leadership in New Mexico schools.
14. Redirect current established state and federal professional development funds toward approved professional development.
15. Professional Development approved by the Professional Development Committee must be implemented by districts and schools and individuals in a manner which has demonstrated positive student achievement impact.
16. Make STARS data available to individual schools, administrators, and teachers so that accurate data can be effectively utilized. Additionally, provide professional development on the use of data specific to the state, district, school, teacher, and student needs and goals.
17. In an effort to ensure fidelity and continuity of programs, professional development programs should total no less than 49 hours in a specific area of need.

18. Data should be collected quarterly to assure professional development techniques presented are implemented in the classroom. PED should keep records of individual teacher's professional development and professional intervention plan documentation.
19. Statewide professional development should be implemented annually across the state and it should be "frontloaded" prior to the beginning of the school year.
20. Principal professional development should align to teacher professional development. In conjunction with their direct supervisors, principals should be developing data-driven professional development plans that improve student outcomes for their building, increase their school grade, which accounts for 50% of their evaluation, and allow them to meet other measures of performance captured in the other 50% of their annual evaluation.
21. Create a diversified pay structure that is based on teacher effectiveness (outputs) as evidenced by student growth, observations, and other clear, multiple measures. As the New Mexico Teacher Evaluation System is refined, it is recommended that a task force is assembled to research incentive and compensation programs that have been implemented in recent years to determine the best practices within those programs that lead to improved student academic achievement and teacher retention and recruitment.
22. Create a system for incentive pay to teach in critical-shortage subject areas (i.e. math, science, special education classes, in rural areas and other hard to staff areas. This system could support incentives for teachers who work in Title I schools, as well as other at risk factors identified in each district's area (i.e. math and science, urban, rural, etc).
23. Provide academic scholarships in New Mexico for those going into education, including high-quality, alternative programs for mid-career recruits in exchange for teaching for at least four years in a high-need field or location.
24. Develop a program that offers an opportunity for an adjunct license for part time teaching.
25. Provide advancement and leadership opportunities for teachers. Utilize three tiered licensed teachers expertise by providing greater leadership capacity throughout schools, districts and in the state.
26. Adequately fund school budgets to give teachers time to plan and collaborate with their colleagues.
27. Provide state-generated principal support groups to provide training in the state's teacher evaluation methods, priority school requirements, and uniform interventions. New Mexico processes need to be uniform, transparent and implemented with fidelity. In addition, like principal groups should be allowed to share challenges, solutions, questions and concerns.
28. Beware of increasing paperwork and administrative burden for administrators. Be sure accountability processes are aligned within the state department, districts offices and schools.



29. Develop and implement research based recommendations for ways that central office administration, starting with the superintendent, can support principals in their instructional leadership roles.
30. Examine principal pay scales and remove disincentives to advancement for qualified school leaders moving from the classroom to the principal's office.
31. Require annual evaluations and professional development plans which are in alignment with the licensure system.
32. Incorporate teacher effectiveness into the licensure process.
33. Restructure the current 3-tier salaries/shift funding to results tied to annual evaluations and professional development plans.
34. Provide incentives to effective teachers and remove ineffective teachers from the classroom. Additionally, the Task Force recommends providing statutory due process rights to teachers after attaining level 2 licensure and receiving effective evaluations
35. Align the training and experience with the 3-tiered licensure system.
36. Require annual principal evaluations.
37. Evaluate the current 3-Tiered Licensure System and dossier to minimize administrative costs and determine effectiveness. This should occur within 3 months to a year.
38. Delay implementation of performance based compensation system until the 2013-2014 school year.

## Introduction

### Overview

While there is no silver bullet in education, research has clearly shown that one of the most important school-related factors influencing a child's academic achievement is the quality of his or her teacher (Sanders, 2003). President Obama and Secretary Duncan recognized the impact and prioritized teacher effectiveness as part of the Race to the Top competition. Further, multiple states are redesigning existing teacher and school leader evaluation systems to reflect the importance of student achievement.

Studies have shown that if we give the most at-risk students the most effective teachers, we could close the achievement gap. Conversely, the data show that if a student is placed in a classroom with a low performing teacher, the student will struggle to make up learning gains lost (Hanushek, 2011). For example, low performing teacher's students do not stay on grade level, but actually fall behind 13 percentile points from the beginning of the year, emphasizing the importance of removing low-performing teachers from the classroom (Sanders & Rivers, 1996).

Any redesigned teacher and school leader evaluation system *must* include multiple measures that prioritize student learning, as well as observations and other possible measures that effectively capture a true picture of teacher effectiveness. A rigorous and comprehensive system will not only provide a holistic view of a teacher's true impact on their students, but also encourage flexibility and buy-in at the local and school level.

The purpose of this report is to guide New Mexico in the development of a new teacher and school leader evaluation system that prioritizes student academic gains, recruits, recognizes, and retains "rock star" teachers, and provides for transparency and accountability to stakeholders in the use of taxpayer dollars.

### Principles

The Task Force believes that there are many outstanding, effective, and hardworking teachers and school leaders throughout New Mexico, but the State does not have an effective system for recognizing and rewarding their achievements in the classroom. Further, the absence of an objective framework to fully and fairly assess teacher and school leader quality has resulted in the failure to effectively assess performance, in particular as it relates to measureable student achievement, and to reward excellence and establish real accountability.

Any new evaluation framework to measure teachers and school leaders must better enable districts to address and improve school personnel policies concerning professional development, promotion, compensation, performance pay and tenure. Further, the framework should identify teachers and school leaders who are most effective at helping students succeed, provide targeted assistance and professional

development opportunities for teachers and school leaders, inform the match between teacher assignments and student and school needs and inform incentives for effective teachers and school leaders

Finally, we believe that educators should be equipped with accurate and actionable data provided in a timely manner upon which they can improve the art and science of teaching and correspondingly prepare their students for success in college and career.

## **Process**

On April 25, 2011, Governor Susana Martinez announced the establishment of the New Mexico Effective Teaching Task Force through an Executive Order (included in the Appendix). The Task Force was charged with making recommendations to the Governor in four key areas:

1. Identified measures of student achievement – representing at least 50 percent of the teacher evaluation – which shall be used for evaluating educator performance;
2. Identification of demonstrated best practices of effective teachers and teaching, which should comprise the remaining basis for such evaluation;
3. How these measures of effective practice should be weighted; and
4. How the State can transition to a performance-based compensation system, whereby acknowledging student growth and progress.

The Executive Order also established corresponding expectations for school leaders.

After receiving nearly 200 nominations to the Task Force, twelve members were appointed, in addition to Public Education Secretary-designate Hanna Skandera and staff from the Legislative Finance Committee and the Legislative Education Study Committee. Of the twelve appointed members, nine are current or former teachers, eight represent minority or special needs communities, seven are school administrators, and six are parents. Representatives from the business community and organized labor were also appointed. In total, more than 100 years of teaching experience are represented by the Task Force.

To complete its work, the Task Force, with support from Public Education Department staff, read and reviewed the latest research on teacher and school leader evaluations, compensation, observation protocols, professional development, licensure, advancement, and details related to the current New Mexico teacher and school leader evaluation system. The Task Force met 10 times as a full group between June 2011 and August 2011. Additionally, the Task Force divided into workgroups to develop proposed recommendations on specific topics.

A full list of resources utilized by the Task Force, including presenters and presentations, is included in the Appendix and can be found on the Public Education Department website at <http://www.ped.state.nm.us/>.

## **Report Outline**

The report is comprised of five sections. The **first section** makes recommendations specific to teacher and school leader evaluations and how to design an evaluation system that places a preponderance on student achievement gains, while balancing the need for multiple measures.

**Section two** focuses on professional development and makes recommendations as to how professional development offerings can be aligned to data yielded by a comprehensive evaluation section and ensure alignment throughout.

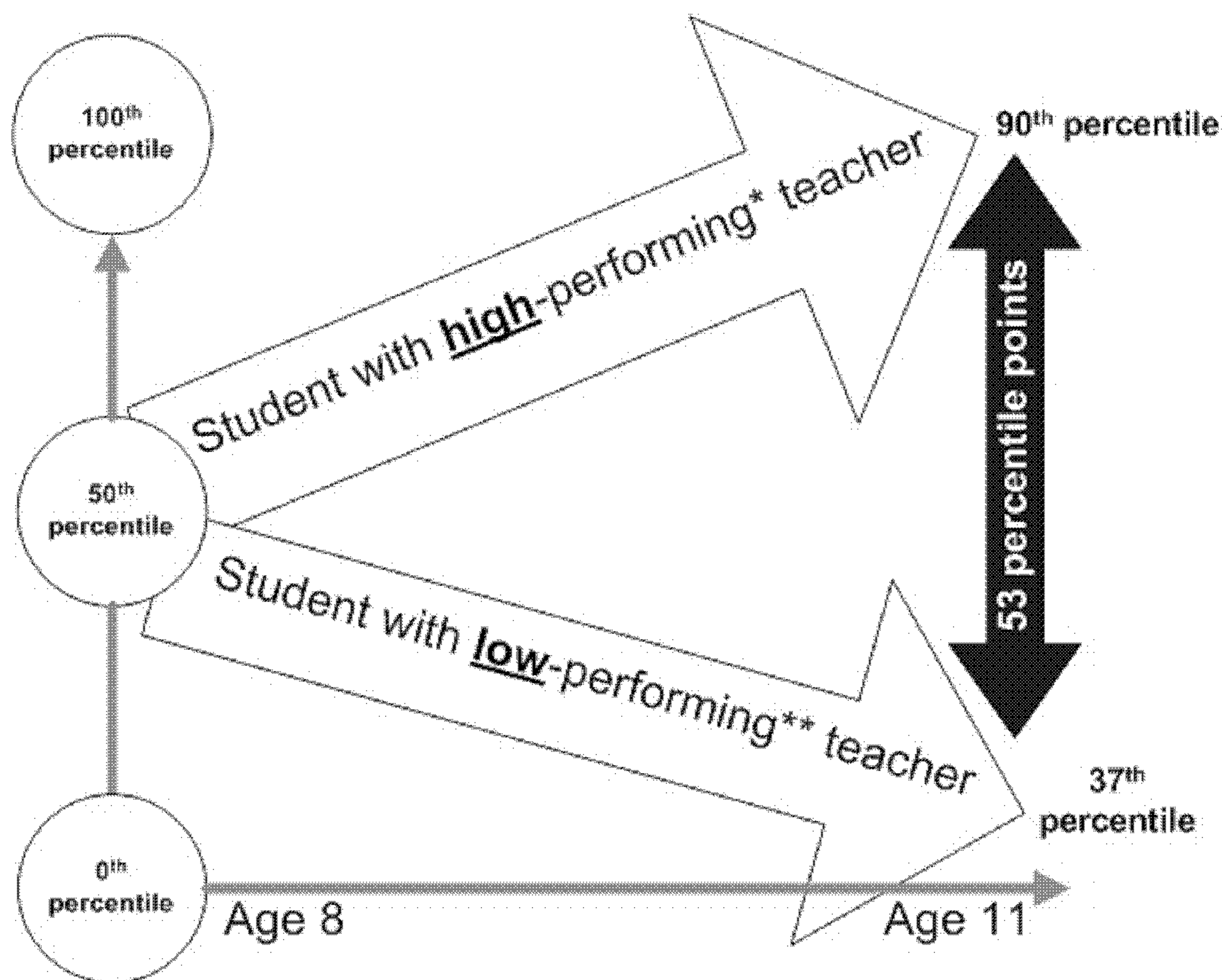
The **third section** focuses on the recruitment and retention of New Mexico teachers. **Section four** expands upon the recommendations in section three and delineates how to develop a compensation and advancement system that recognizes our most effective teachers and attracts new recruits to the field of teaching, while balancing the best way to exit those teachers who are shown to be ineffective after multiple evaluations and supported opportunities to improve.

Finally, **section five** proposes next steps that are related to the specific recommendations outlined. The Task Force has identified a number of activities and areas that should be explored to further the work outlined in this report.

## Section I: Teacher and School Leader Evaluation

### Overview

Research has clearly demonstrated the importance of the teacher in the classroom and the importance of leadership in each school. (Rivkin, Hanushek, & Kain, 2005) In fact, our teachers are our biggest “change agents” when it comes to improved student achievement. When it comes to student learning, the difference between an average teacher and an exemplary teacher is noteworthy. Further, the impact that an exemplary teacher can have on a student’s achievement over a three year period is remarkable. Data from NCTQ represents this tremendous impact:

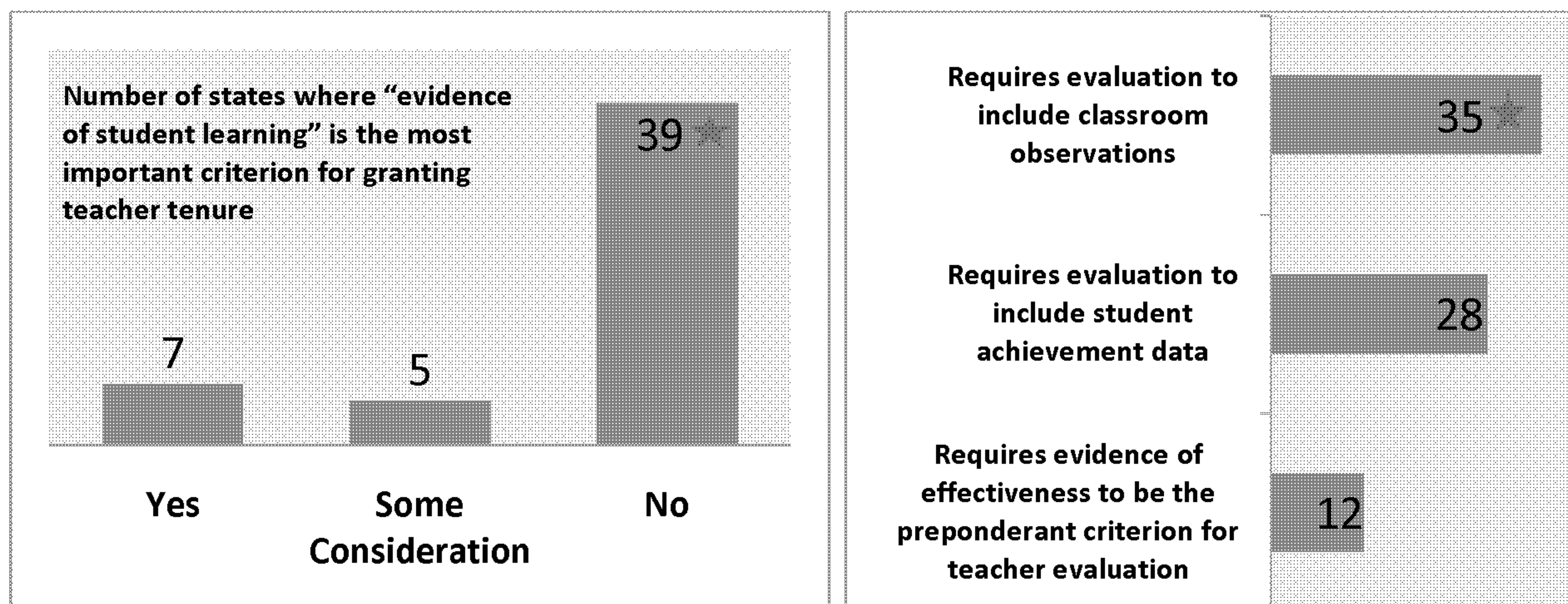


\*Among the top 20% of teachers; \*\*Among the bottom 20% of teachers

Hence, the New Mexico’s Effective Teaching Task Force has embarked on an endeavor to capture the importance of student learning in teacher and principal evaluations and differentiate the levels of effectiveness to inform professional development and compensation and advancement.

In a recent 2010 sample of twenty-five percent of New Mexico’s teachers, 99.998 percent of these teachers received a rating of “meets competency” on their evaluations (versus “does not meet competency”) (Public Education Department data, 2010). Yet we are not seeing proportional success in terms of New Mexico student achievement. This suggests a lack of alignment between the system that measures teacher performance and the system that measures student learning outcomes.

Furthermore, the NCTQ reports that New Mexico is not among the 12 states that have embraced the notion that evidence of student learning must be the most important criteria in teacher tenure and annual teacher evaluations. (NCTQ, 2010).



*In both charts, \* indicates that the data includes New Mexico (Source: NCTQ)*

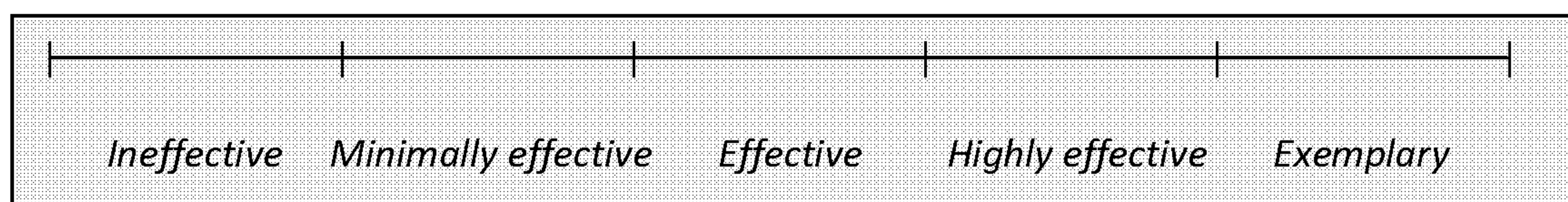
Measuring the effectiveness of teachers and principals means very little if we do not consider the extent, via multiple measures, to which students are making progress toward clear academic goals. New Mexico needs reform grounded in excellent teaching and leadership as evidenced by improved student achievement, classroom observations, and other proven multiple measures.

The workgroup makes the following recommendations:

## Teacher Evaluation

**Recommendation 1:** New Mexico should replace its overly simplistic pass/fail teacher evaluation system with five effectiveness levels.

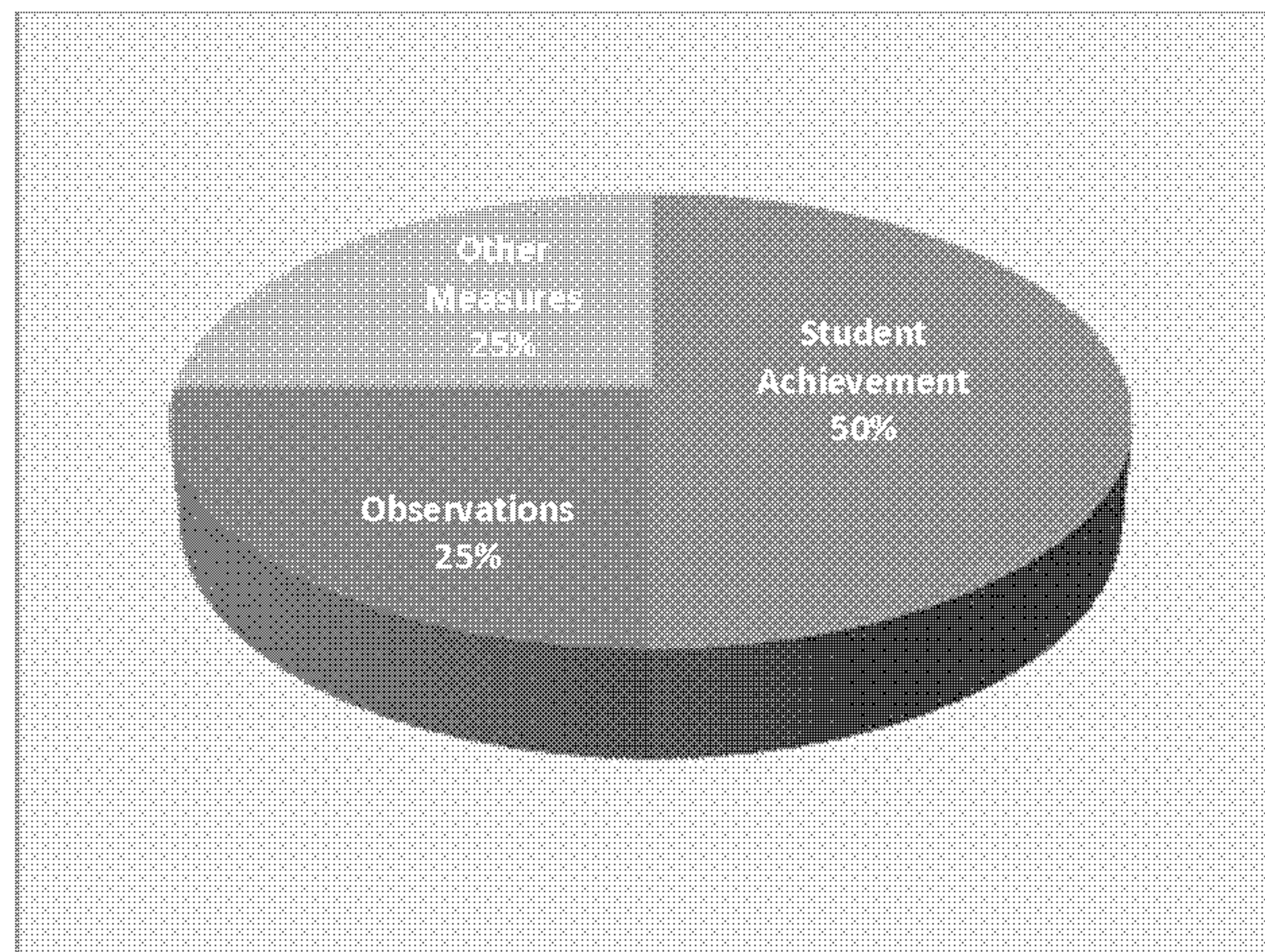
**Rationale:** The current binary system affords evaluators no opportunity to differentiate educator performance within the categories of "meets competencies" or "does not meet competencies." Research indicates that multiple levels of effectiveness are needed in order to provide a mechanism for distinguishing average work performance from truly outstanding work performance (Weisberg, Sexton, Mulhern, & Keeling, 2007).



**Recommendation 2:** Effectiveness levels should only be assigned after careful consideration of multiple measures, including student achievement data, observations, and other proven measures selected by local districts from a list of options approved by New Mexico's Public Education Department (PED).

**Rationale:** All three components are necessary to equitably measure teacher effectiveness. However, student achievement must constitute at least 50% of a teacher's evaluation, with observations and other proven measures comprising the other half of the evaluation. Districts must weight observations at 25%, though they should retain local flexibility concerning the observation protocols (with PED approval).

Districts should also have autonomy (with PED approval) to select the “other measures” to be used for the remaining 25% of the evaluation.



**Recommendation 3:** In order to reliably capture student achievement, we recommend the use of a value-added model of data analysis. Each teacher’s value-added<sup>1</sup> contribution would be calculated by PED staff, and after a data review procedure similar to that which occurs before the release of schoolwide student achievement data, this calculation would be disseminated to local districts for inclusion in the locally-adopted teacher evaluation process. In addition, each teacher should receive a copy of his or her value-added calculation in order to inform instruction. Teachers in tested grades and subjects will be evaluated in the following way:

- 50% based on VAM of student achievement;
- 25% based on observations; and
- 25% based on locally adopted (and PED approved) multiple measures.

**Rationale:** Cutting-edge value-added methodologies are most able to isolate and measure the contribution of each teacher to student learning gains (Herman, Heritage, & Goldschmidt, 2011). Given New Mexico’s diverse student population, such a model also helps to control for demographic differences and level the playing field for teachers statewide. Consistent with Governor Martinez’s Executive Order, we also believe that this component should account for fully 50% of a teacher’s evaluation, as it is strongly tied to student outcomes. For those grades and subjects which are measured by the NM Standards Based Assessment (SBA), currently New Mexico’s most valid and reliable statewide assessment, it is recommended that the results of this assessment serve this purpose. For non-tested subjects and grades, other assessments (including PED-approved local assessments) should be used to measure the value added by an individual teacher to student achievement. However, research cautions that formative—or short-cycle—assessments should not be used for this purpose, because their inclusion as a component of

<sup>1</sup> A commonly referenced application of a growth model is a **value-added model**. VAMs are one type of growth model in which states or districts use student background characteristics and/or prior achievement and other data as statistical controls in order to isolate the specific effects of a particular school, program, or teacher on student academic progress. The main purpose of VAMs is to separate the effects of nonschool-related factors (such as family, peer, and individual influence) from a school’s performance at any point in time so that student performance can be attributed appropriately.

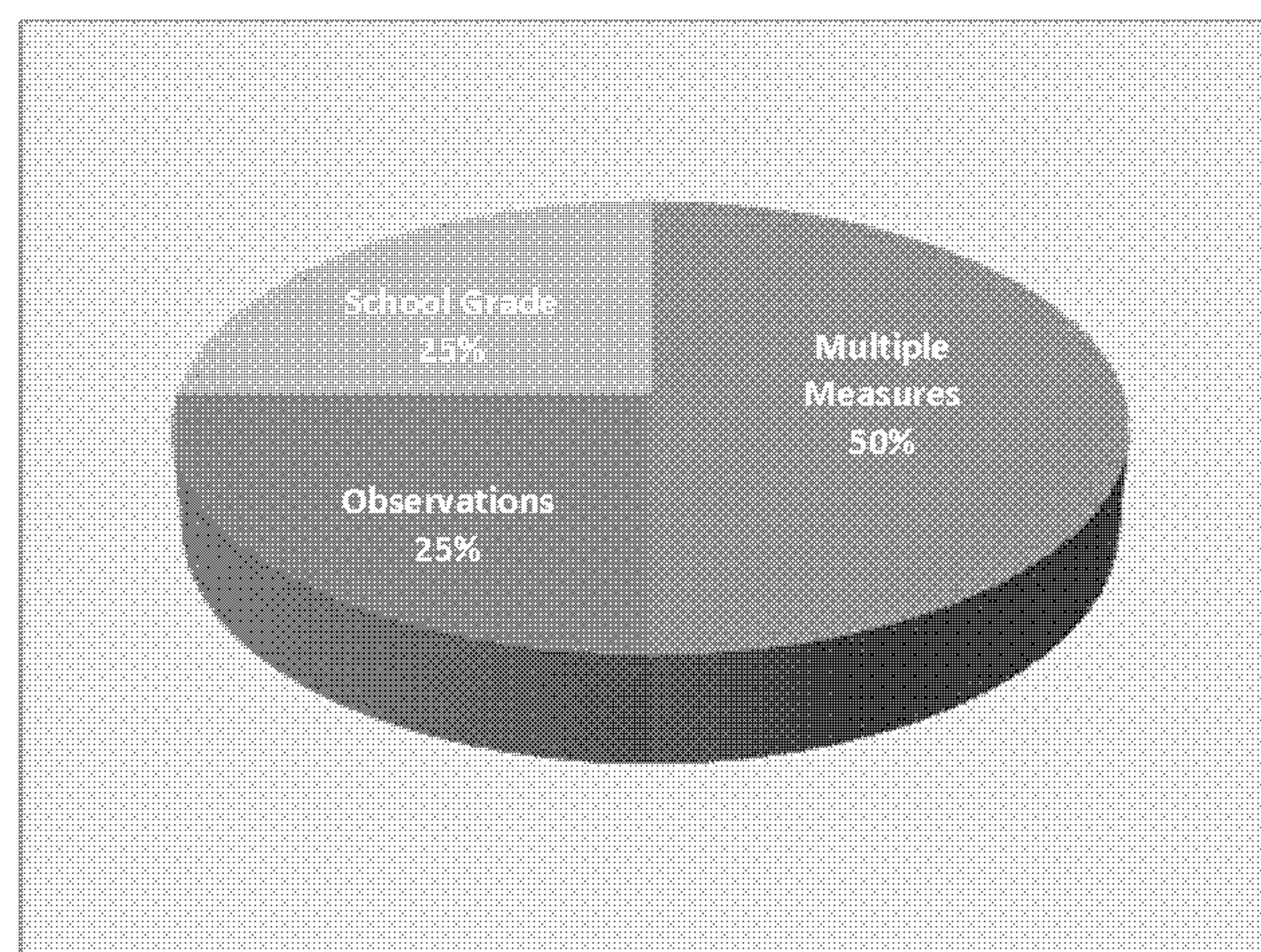
evaluation undermines their use as a tool to inform instruction and guide curricular decisions (Herman, et. al., 2011).

**Recommendation 4:** We recommend phasing in the use of value-added evaluations, first for teachers in tested grades and subjects and subsequently for teachers in non-tested grades and subjects, though both subsets of teachers will be evaluated through observations and other approved measures immediately. Until such time as other assessments are available and/or approved for use in calculating value-added measurements of student achievement in non-tested grades and subjects, teachers in non-tested grades and subjects will be evaluated in the following way:

- 25% based on a schools A-F School Grade;
- 25% based on observations; and
- 50% based on locally adopted (and PED approved) multiple measures.

This approach acknowledges the extent to which all teachers in a school building, both in tested and non-tested grades and subjects, contribute to the school’s overall student learning gains, while creating consistency within the system based on the use of observations and multiple measures. We anticipate that this protocol will be used as a bridge for no more than two school years.

**Rationale:** While we recognize that time will be needed to identify, develop, and approve assessments in non-tested grades and subjects that may be used to measure the student achievement portion of a teacher’s evaluation, we note the inadequacy of our current teacher evaluation system in this respect. This shortcoming must be remedied immediately. Further, regardless of the instruments used for this portion of teacher evaluations, decisions remain about which students count when calculating value-added measurements. (For example, how are students apportioned when they move between schools and districts during a school year? And to whom is student achievement attributed in classrooms utilizing team teaching strategies, including the use of inclusion special education teachers?) Other states have already begun to grapple with these questions, and we recommend researching their work as we seek to define who exactly should be the “Teacher of Record” in calculating value-added measurements.





**Recommendation 5:** In addition to student achievement, we recommend the continued use of observations, with objective protocols, in the evaluation of each teacher’s performance.

**Rationale:** Observations offer evaluators the opportunity to assess whether teachers are meeting competencies in practice, yet they also provide a mechanism by which teachers can reflect on their strengths and weaknesses to improve instruction. We recommend a minimum of four observations be conducted each year, with a minimum of 2 per year per teacher to be conducted by the school leader. Local districts may wish to have other personnel—including trained, PED-approved external evaluators—conduct the balance of these observations, though these additional reviews may not necessarily be evaluative. Indeed, some may be conducted by instructional coaches or peer mentors and may serve a more formative purpose for the ongoing development of the classroom teacher. Nonetheless, all observations (whether evaluative or formative) should utilize the same PED-approved, locally-adopted instrument and follow a uniform protocol to ensure inter-rater reliability (Sterbinsky, & Ross, 2003) and all observations should generate timely feedback to the teacher for the purpose of improving instruction.

**Recommendation 6:** As local districts adopt research-driven, PED-approved measures for the remaining portion of a teacher’s evaluation, it is important to ensure opportunity for key stakeholders (teachers, school leaders, parents, community members, etc.) to provide public input on the policy decision.

**Rationale:** These other measures offer evaluators alternate methods of capturing teacher effectiveness. They may include portfolios of teacher & student work, surveys of parents or students (or perhaps peers), or other research-based measures proven to demonstrate or correlate to student learning gains. In the interest of aligning multiple systems, local districts may also derive up to 10 percent of a teacher’s overall evaluation from the school’s grade under the A-F School Grading Act.

**Recommendation 7:** New Mexico’s teacher evaluation system should utilize a matrix in which the left and right halves of the chart above combine to determine a teacher’s overall effectiveness rating.

**Rationale:** A matrix demonstrates with transparency the convergence of both quantitative and qualitative data for each teacher being evaluated in this system. The matrix also ensures that no teacher whose student’s demonstrate the lowest level of achievement can earn a rating of “effective” or higher. Likewise, the mere presence of outstanding student achievement data does not guarantee a high overall rating if the teacher receives poor marks based upon observations or other proven measures included in the evaluation.

While rare, it is conceivable that a teacher could earn the highest rating on one axis of the matrix and the lowest rating on the other axis. (For example, one could receive poor ratings on observations and other measures but still demonstrate the highest possible student learning gains.) In such an event, we propose that such scoring trigger an automatic review, to be conducted by the PED or trained external evaluators, to provide for input into their final evaluation.

Professional Practice & Responsibility (Observations & Other Measures)	Student Learning Outcomes (Value Added)					
		Ineffective (1)	Minimally Effective (2)	Effective (3)	Highly Effective (4)	Exemplary (5)
	Ineffective (1)	I	I	M	M*	M*
	Minimally Effective (2)	I	M	E	E	E*
	Effective (3)	M	E	E	H	H
	Highly Effective (4)	M*	E	H	H	X
	Exemplary (5)	M*	E*	H	X	X

**Key:** I = Ineffective M = Minimally Effective E = Effective H = Highly Effective X = Exemplary  
(Ratings in any of these cells marked with an \* will trigger an automatic review.)

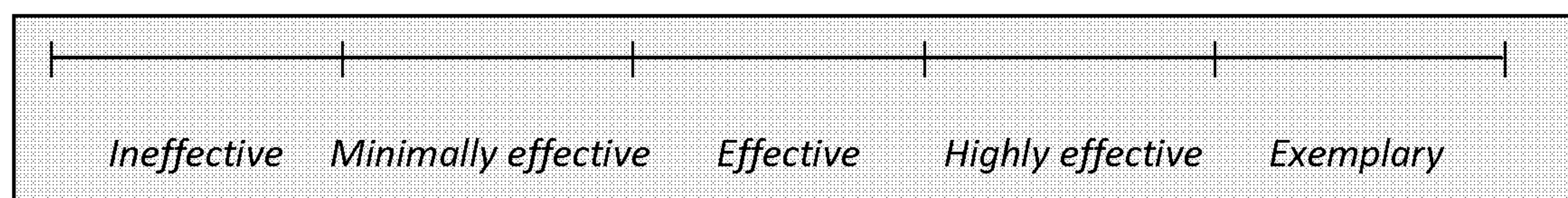
**Recommendation 8:** We recommend that a post-evaluation conference with the evaluator provide each teacher with actionable feedback, though we caution that this conference and the feedback delivered therein not be considered a “due process” requirement without which an ineffective teacher may not be terminated.

**Rationale:** Timely feedback, with action steps, helps to guide both the creation of each teacher’s professional development plan and the staff development program of the school or district. It focuses both teacher and evaluator on the actions necessary to help students reach established academic goals. We are also heartened by the imminent implementation of both “common core” standards and assessments, which together will offer New Mexico an opportunity to more clearly define learning expectations for our students and to shift to the most sophisticated assessment system available, both for the purpose of informing instruction and for measuring teacher effectiveness. Until then, teachers should receive regular reports containing classroom-level standardized test data which can be used to make meaningful improvements in instruction.

## Principal Evaluation

**Recommendation 1:** As with teachers, New Mexico should replace its overly simplistic pass/fail principal evaluation system with five effectiveness levels.

**Rationale:** The current binary system affords evaluators no opportunity to differentiate educator performance within the categories of “meets competencies” or “does not meet competencies.” Research indicates that multiple levels of effectiveness are needed in order to provide a mechanism for distinguishing average work performance from truly outstanding work performance. (Weisberg, D., et. al. 2007).

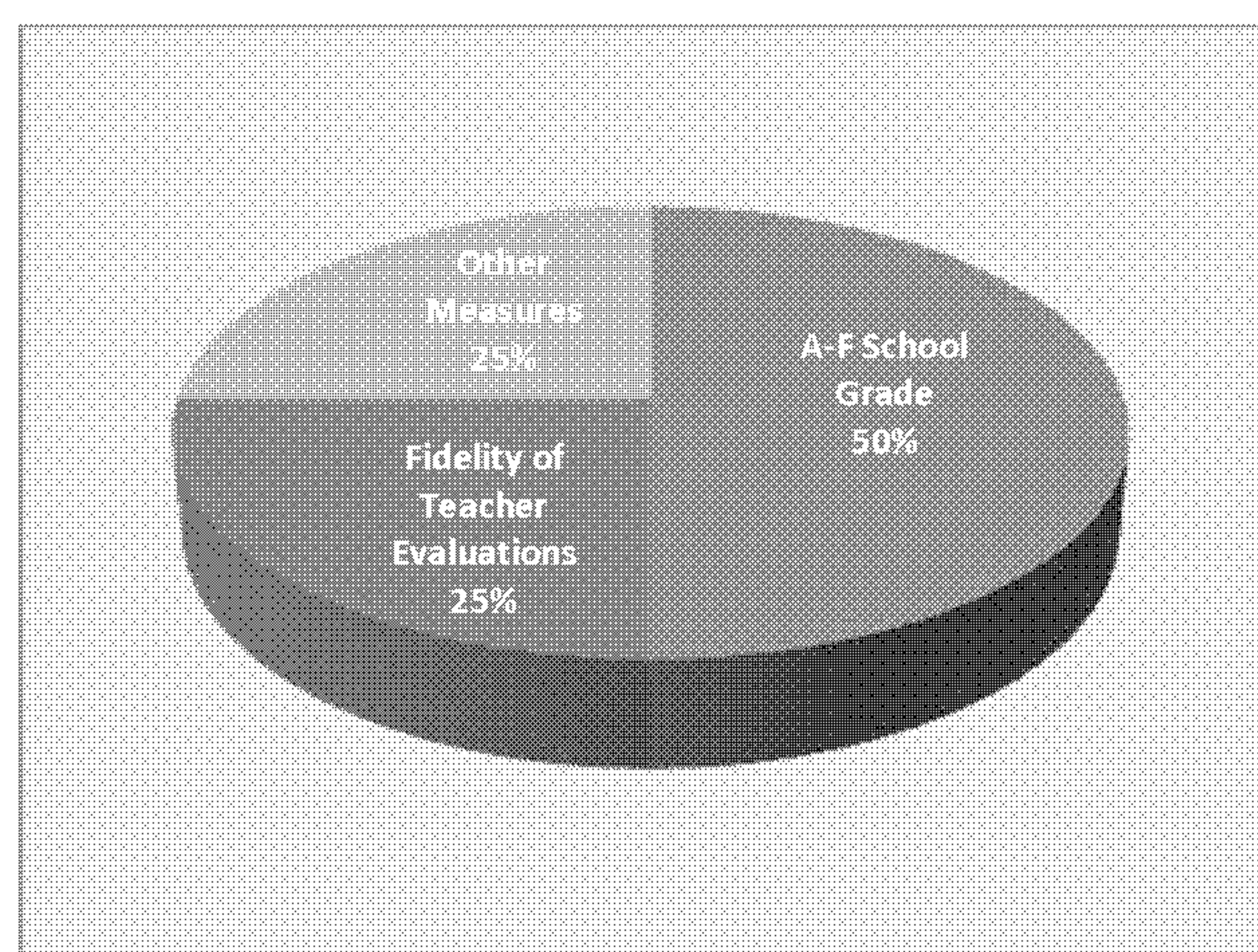


**Recommendation 2:** We recommend that the emphasis on student achievement in teacher evaluation also be reflected in the evaluation of the school leader.

**Rationale:** The A-F Schools Grading Act captures an entire school’s student learning status and gains, through measurements of both achievement and annual growth. The scope of this data reflects the schoolwide instructional leadership of the building principal. Because each New Mexico school will soon be assigned a grade under the A-F Schools Grading Act, derived from the proficiency and learning gains demonstrated by its students, we recommend linking our principal evaluation system to this new school grading system. Specifically, we recommend that fully 50% of a school principal’s evaluation be based on the school’s annual progress in the A-F Grading System.

**Recommendation 3:** The remaining 50% should be comprised of other measures, half of which must consider the fidelity with which the principal implements the teacher evaluation process.

**Rationale:** In addition to student achievement captured through the A-F School Grade, other measures should be included demonstrate a principal’s effectiveness. Because the implementation of teacher evaluations has heretofore varied widely between schools and districts, evaluations of principals must now weight the proper implementation of this process at 25%. Without fidelity, any new system will struggle. Districts will still retain autonomy (with PED approval) to select the “other measures” to be used for the remaining 25%. Such multiple measures, which should be linked to improved student achievement, may include the recruitment and retention of effective teachers, the use of surveys (of students, parents, and/or teachers), or other methods capable of demonstrating principal effectiveness.



**Recommendation 4:** Similar to that used in the teacher evaluation system, New Mexico’s principal evaluation system should utilize a matrix in which the left and right halves of the chart above combine to determine a principal’s overall effectiveness rating.

**Rationale:** A matrix demonstrates with transparency the convergence of both quantitative and qualitative data for each principal being evaluated in this system. The matrix also ensures that principals are held accountable for the year over year progress of their school under the A-F Schools Grading Act, combined with multiple additional measures of principal effectiveness.

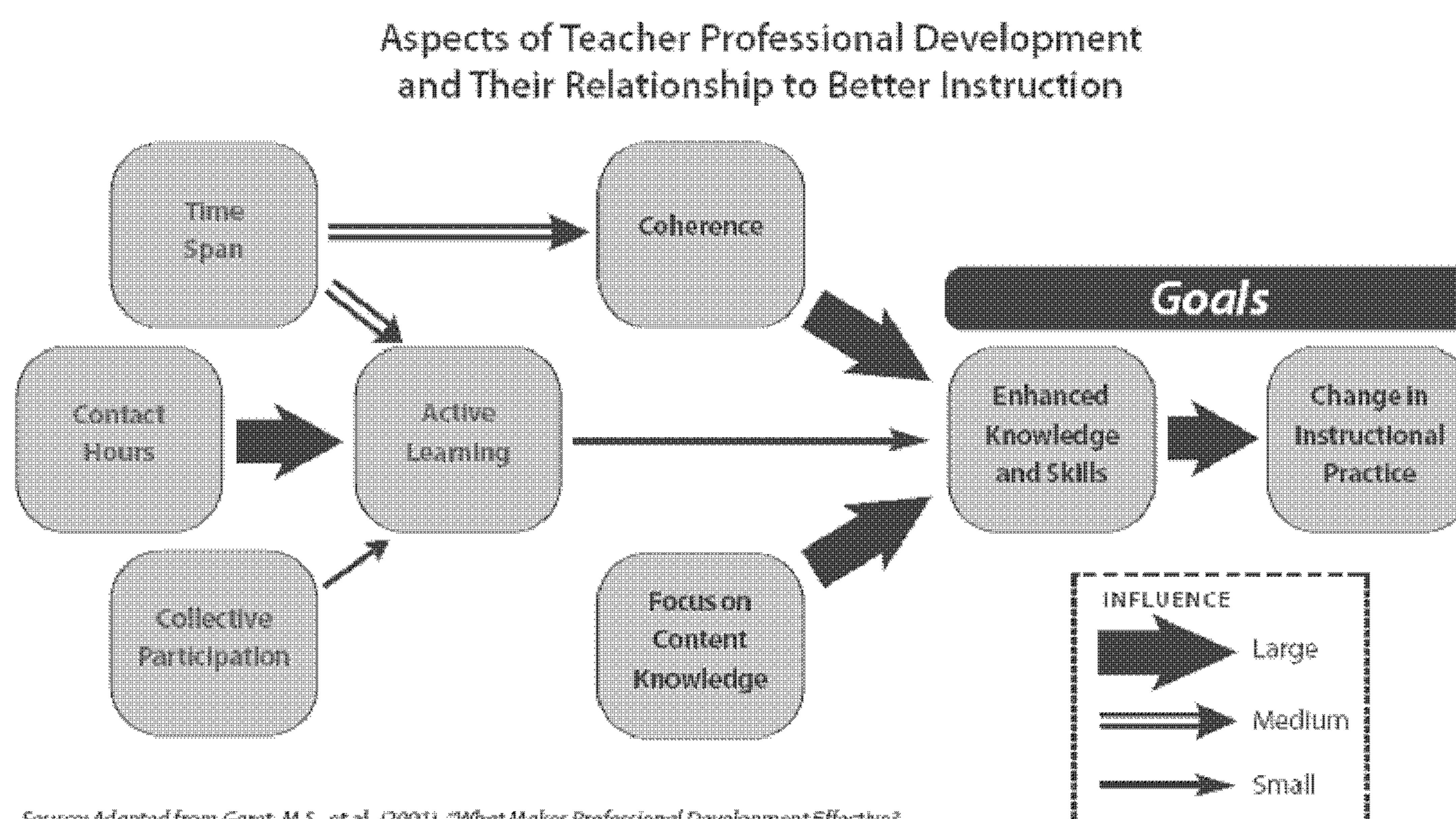
Professional Practice & Responsibility	A – F School Grading Progress (NOTE: Maintaining an “A” grade from one year to the next automatically places the principal in column #5)					
		-2 or more grades, or maintain F (1)	-1 grade, or maintain D (2)	Maintained grade of C or better (3)	+1 grade (4)	+2 or more grades (5)
	Ineffective (1)	I	I	M	M	M*
	Minimally Effective (2)	I	M	E	E	E
	Effective (3)	M	E	E	H	H
	Highly Effective (4)	M	E	H	H	X
	Exemplary (5)	M*	E	H	X	X

**Key:** I = Ineffective M = Minimally Effective E = Effective H = Highly Effective X = Exemplary  
(Ratings in any of these cells marked with an \* will trigger an automatic review.)

## Section II: Professional Development

### Overview

School based leaders and teachers provide the foundation for any successful school, and as such they are among the most important investments of time and funding that any school, district or state can make. Professional development is invaluable not only as an intervention for educational professionals struggling within the profession, but also as a tool for professional growth and continual improvement in classroom practice. However, not all professional development opportunities can demonstrate student improvement in the classroom. Variables differ in their eventual impact on an instructors' change in instructional practice, and therefore their influence on better instruction. (Garet, 2001).



Source: Adapted from Garet, M.S., et al. (2001). "What Makes Professional Development Effective? Results from a National Sample of Teachers." *American Educational Research Journal*, Vol. 38, No. 4 (winter), pp. 915-945. Figure 1.

For this reason, professional development should focus on the subject matter the teacher is teaching, align teachers' learning opportunities with their individual experiences, emphasize observing and analyzing students' understanding of subject matter, and be able to demonstrate its effects in the classroom on teachers' practices and student learning.

To this end, professional development will be an integral part of the evaluation process and fall into three broad categories: 1) systems training on the evaluation system, expectations and procedures, 2) professional learning targeted to state/district/school initiatives and priorities, 3) individualized, tailored, needs-based professional development.

## **Systems Training**

The PED will annually provide training on the aligned evaluation/professional development system. Every administrator with evaluative responsibilities will complete a comprehensive training prior to evaluating teachers. All teachers should be provided training on the system upon entrance into the state's teaching corps.

## **State/District/Schoolwide Professional Development**

Professional development targeted to state/district/school goals and initiatives will be developed with increased student achievement as the goal. Professional development must be based on research-based, proven strategies. As quickly as possible, a data-base should be established and maintained providing information on available quality professional development activities.

## **Individual Professional Development**

Professional development will be student-centered, with design and implementation the shared responsibility of the administrator and the teacher. Administrators and district leaders will provide guidance and coaching to support the teacher in the completion of professional learning activities. All professional development will be informed by comprehensive data including, but not limited to, student achievement on standardized measures, results of informal assessments, observations, self-assessments, and surveys. All professional development will be designed and implemented with attention to the goal of increased student achievement, with clearly defined objectives, timelines, and expected outcomes clearly delineated at each level. Determination of success of the professional development must be partially determined by measurable increases in student achievement and professional reflection.

Progress on professional development will be monitored quarterly by both supervisor and instructor. The ultimate aim of professional development for both teachers and principals is to increase student learning by improving teacher and principal performance. Because 50% of a teacher's evaluation is based on student outcomes, teacher professional development will be driven by the goal of improved student learning at the classroom level; because 50% of a principal's evaluation is based on school grade, principal professional development will be driven by the goal of improved student learning at the building level. All the "other measures," including observations, that are used to evaluate teachers and principals will be incorporated into professional development plans to ensure alignment at all levels of the evaluation system.

Specifically, the workgroup makes the following recommendations:

**Recommendation 1:** Establishment of a Professional Development Committee by the PED to review research in the area of effective professional development and make recommendations on allowable,

research-driven, proven professional development opportunities to be chosen by the state, districts, and administration. The purpose of the standing committee is to ensure that professional development is designed to enhance student learning and continuously improve the quality of teaching and educational leadership in New Mexico schools.

**Rationale:** There has been an explosion of professional development opportunities currently available to schools and districts. The vast majority of these opportunities however have little or no data demonstrating enhancement of classroom performance. (Cohen & Hill, 2001). Rather these programs, many of them at a large cost to the school and district, have at best anecdotal evidence tying practice to classroom improvement. Additionally, administrators have little time to adequately research a professional development opportunity to determine its potential effectiveness in classroom instruction. A stringent review process at the state level, by the professional development committee would maintain an approved pool of providers and opportunities from which an administrator or district personnel could choose programs specific to the school/districts unique needs. The committee would develop procedures for identification and approval of professional development activities as well as identify specific professional skills and knowledge that are necessary for effective educators; both at the administrative and teaching level, and approve opportunities for the enhancement of these identified skills and knowledge.

**Recommendation 2:** Redirect current established state and federal professional development funds toward approved professional development.

**Rationale:** Currently a substantial investment of the states professional development is directed toward support of dossier and portfolio requirements for level III licensure. However, there is no evidence tying attainment of level II or level III licensure by teaching professionals to student improvement in the classroom. Additionally, there is limited evidence that number of years of experience teaching or degree level attained has any impact on student improvement in the classroom. There is evidence however that reform-oriented professional development has a positive relationship to classroom practice and student achievement. (SREB, 2009). State and federal dollars for professional development should be spent on the development of practices which demonstrate increases in student achievement. However, local districts may choose to incorporate the dossier process into professional development options, with the goal of incorporating best practices that are valuable to professional growth, such as reflection upon teaching practices, into professional development activities with proven positive impact in the classroom.

**Recommendation 3:** Professional Development approved by the Professional Development Committee must be implemented by districts and schools and individuals in a manner which has demonstrated positive student achievement impact.

**Rationale:** Research indicates a fairly narrow series of activities which have demonstrated a positive outcome in student performance. Specifically, effective delivery systems are those surrounding 1) higher-order thinking skills, 2) teaching different populations of students, and 3) hands on learning. Positive delivery systems included 1) conference and leading discussion, 2) summer institutes, 3) study group and receipt of classroom mentoring, and 4) classroom mentoring and development of assessments or review of student work. (Essential Information for Educational Policy, 2005). Of particular note is the specific effectiveness of frequent discussion of instruction with colleagues and principal with positive classroom achievement. Only activities and delivery stems which have demonstrated success in student performance should be approved.

**Recommendation 4:** Make STARS data available to individual schools, administrators, and teachers so that accurate data can be effectively utilized. Additionally, provide professional development on the use of data specific to the state, district, school, teacher, and student needs and goals.

**Rationale:** It can be argued that analysis of data is the single most powerful tool an instructor has in the support of student achievement. Examination of real time data allows for augmentation of classroom practice in an effort to intervene and support classroom achievement. Yet the vast majority of teachers do not have access to the very data that should drive their instruction. Often teachers can recite the performance of their school as a whole, but not their individual classrooms and students. Currently the State of New Mexico collects massive amounts of student data frequently throughout the school year. A system of analyzing this data, and making it available to individual teachers and administrators, would allow classroom practice to address issues throughout the school year, resulting in a more positive outcome at the end of the year. Access to this data for administrators would facilitate the development of a professional development plan with the instructor that would support this outcome and illuminate gaps in school curricula. If data drive performance and outcome, then the data should be available to the practitioner.

When the states data is drilled down to the district, school and teacher level, that data must then drive the professional development for the district, school, and individual. Research demonstrates that to be effective, professional development must be applicable to the individual classroom and teacher.

Professional development must be precise, immediately applicable and unique to the given educational setting. Professional development that is general and not immediately germane to the current specific



instructional milieu is ineffective (Wenglinsky, 2002, and Blank & Alas, 2009). A professional development activity or program is more likely to be effective if it is: a) consistent with the teacher's school curriculum or learning goals for students and/or aligned with state or district standards for student learning or performance, b) congruent to the day-to-day operations of schools and teachers, and c) compatible with the instructional practices and knowledge needed for the teachers' specific assignments. Examination of teacher/student data will help identify the areas of need and therefore drive the professional development activity.

**Recommendation 5:** In an effort to ensure fidelity and continuity of programs, professional development programs should total no less than 49 hours in a specific area of need.

**Rationale:** Studies indicate that 49 hours or more of professional development is necessary for significant increase in student achievement. (REL Southwest, 2007). However, across New Mexico, districts vary widely in the number of professional development hours attained annually. This should be standardized across the state and aligned with the states standards and goals. Again, the four main areas of effective professional development are : 1) Focus on teacher behaviors applied generically across content, 2) Focus on teaching behaviors applied to specific content areas, 3) Focus on curriculum and pedagogy justified by how students learn, 4) Focus on how students learn and how to assess what they learn. Any less than 49 hours of professional development demonstrated diminishing returns on student performance gains.

**Recommendation 6:** Data should be collected quarterly to assure professional development techniques presented are implemented in the classroom. PED should keep records of individual teacher's professional development and professional intervention plan documentation.

**Rationale:** Record keeping and data collection by the PED would not only ensure that professional development is occurring in an efficient and approved manner, but it would also allow another layer of data to be utilized in analyzing student performance. The approved list for professional development activities should be a fluid one, with activities which do not translate into positive classroom performance being eliminated and new opportunities with proven performances added. Additionally, as professional development will be tied to annual performance evaluations of educational personnel, accurate record keeping by the PED is necessary. Professional development plans should include identification of area of growth as demonstrated by student performance, a timeline for achieving the improvement, the manner in which improvement will be assessed, predetermined benchmarks for measuring progress and differentiated activities and professional development to support the educator's improvement in those

areas. Professional development plans will be developed collaboratively between the teacher and the supervisor.

**Recommendation 7:** Statewide professional development should be implemented annually across the state and it should be “frontloaded” prior to the beginning of the school year.

**Rationale:** The PED should sponsor approved professional development at several locations around the state on the same day, differentiated according to content and professional position. This would allow for professional development opportunities to be delivered in a uniform manner. Additionally, it would allow educators from across the state to network and share best practices. However, it is important that this practice does not negatively impact classroom time. For this reason, statewide professional development should be offered outside of the school year, preferably prior to the beginning of school.

**Recommendation 8:** Principal professional development should align to teacher professional development. In conjunction with their direct supervisors, principals should be developing data-driven professional development plans that improve student outcomes for their building, increase their school grade, which accounts for 50% of their evaluation, and allow them to meet other measures of performance captured in the other 50% of their annual evaluation.

**Rationale:** The recognition that effective school reform rests in large part on sound principal professional development is well established (Peterson, 2001). In order to ensure all our systems are aligned, we expect our principals to be taking part in the same methods and amount of professional development in which teachers are taking part. The focus and rationale for principal professional development must be around an essential question concerning problems of practice, specifically to teaching and learning. As with teachers, the source of these essential questions to be addressed through professional development must be found in the data collected about students, school, district, and student achievement. As with teachers, professional development for principals must be on the approved list by the Professional Development Committee and shaped by the competencies of the principal evaluation system that constitute effective action by the principal in support of learning for all students. Professional development for principals should reflect the framework of the state, district and school professional development plan, and must include measurable outcome targets.

## Section III: Recruitment and Retention

### Overview

There are many issues to consider when addressing retention and recruitment, but most important to New Mexico business, community members, parents, students and educators is that of recruiting and retaining the best personnel from in and outside of New Mexico to provide the very best possible education for our students. Volumes have been written about the challenge of recruiting and retaining highly qualified teachers in general and, in particular, in special education and STEM fields. Shortages of qualified educators have long been a serious concern for school systems, especially in rural areas and in challenging/low-performing, high-need schools. As members of the New Mexico Effective Teaching Task Force, this workgroup has studied and reviewed literature that supports a strong evaluation system for teachers, retention and recruitment of teachers, and incentives for teachers within a strong evaluation system.

“Teacher retention is a persistent issue in school improvement. While it is true that some degree of teacher turnover in schools is both healthy and inevitable, the exodus of large numbers of teachers over time diminishes the overall capacity of a school to serve its students. In addition, it creates new problems related to recruiting and inducting new teachers. Statistics show that small schools, urban schools, and schools serving high-minority, high-poverty populations are particularly at risk of losing teachers (Marvel, Lyter, Peltola, Strizek, & Morton, 2007).

The workgroup makes the following recommendations:

### Teachers

**Recommendation 1:** Create a diversified pay structure that is based on teacher effectiveness (outputs) as evidenced by student growth, observations, and other clear, multiple measures. As the New Mexico Teacher Evaluation System is refined, it is recommended that a task force is assembled to research incentive and compensation programs that have been implemented in recent years to determine the best practices within those programs that lead to improved student academic achievement and teacher retention and recruitment.

**Rationale:** Most recently, the National Center on Education and the Economy (NCEE), in its 2007 report on the skills of the American workforce, called for an overhaul of the education and training system and singled out the teacher compensation system as badly in need of reform, bluntly describing it as “designed to reward time in service, rather than to attract the best and brightest of our college students and reward the best of our teachers.”

A joint statement was issued in February 2011 by members of The American Association of School Administrators (AASA), The American Federation of Teachers (AFT), The National Education Association (NEA) and the National School Boards Association (NSBA). This statement was titled, “Guiding Principles for Teacher Incentive Compensation Plans”. In their recommendations for developing and implementing an incentive compensation plan, they include:

- “School boards, administrators and unions/associations should review various models of incentive compensation plans, including research about their effectiveness, before developing a plan at the local level;” and
- “The incentive compensation plan should be based on a multifactor approach (e.g. teacher evaluations, student performance growth, specific goals set by teachers and management, increased responsibilities, assessment of student learning) that is researched-based and improves student achievement.”

**Recommendation 2:** Create a system for incentive pay to teach in critical-shortage subject areas (i.e. math, science, special education classes, in rural areas and other hard to staff areas. This system could support incentives for teachers who work in Title I schools, as well as other at risk factors identified in each district’s area (i.e. math and science, urban, rural, etc).

**Rationale:** The quality of the teacher is the most important school-related factor in improving student learning. Although research is still limited on the impact of an incentive system, it is logical to assume that financial incentives will attract the best and brightest individuals to enter the classroom in critical need areas and in challenging schools. Specifically, we believe it will expand the pool of those attracted to the teaching profession.

States typically update critical-shortage subject areas each year, depending on staffing levels. Often hiring math and science teachers, as well as special education teachers, can be difficult. School districts also find difficulty in hiring adequate staff to teach primarily at-risk or disadvantaged students. Offering incentives in this area could attract a higher percentage of high quality teachers.

**Recommendation 3:** Provide academic scholarships in New Mexico for those going into education, including high-quality, alternative programs for mid-career recruits in exchange for teaching for at least four years in a high-need field or location.

**Rationale:** We know that good teachers make a difference in every American classroom. Studies show that for too long, our retention and recruitment has been oriented in the wrong direction with regards to this teacher quality shortage (Weisberg, et. al., 2007). Our inability to support high-quality teaching in

many of our schools is driven not necessarily by too few teachers coming in, but by too many going out, that is, by a staggering teacher turnover and attrition rate.

**Recommendation 4:** Develop a program that offers an opportunity for an adjunct license for part time teaching.

**Rationale:** Various states offer this type of license to increase a district's flexibility to staff certain subjects that are frequently hard to staff or may not have high enough enrollment to necessitate a full-time position. Most states require verification of content knowledge and current employment in the field which the candidate will teach. For example, Tennessee offers a one year adjunct license to candidates who hold at least a bachelor's degree and have verified knowledge of their teaching content area. Candidates are also required to complete a pre-service preparation program approved by the state. Arkansas allows adjuncts to teach up to two class periods a day in grades 7 – 12. Professional Teaching Permit candidates must have a bachelor's degree with a minimum of three years relevant work experience, and be currently employed in the content field related to their intended teaching assignments. In addition, applicants must pass a subject matter test.

**Recommendation 5:** Provide advancement and leadership opportunities for teachers. Utilize the expertise of Level 3 teachers, or proven "master" teachers, to provide greater leadership capacity throughout schools, districts and in the state.

**Rationale:** Research suggests that the greater the participation in decision making, the greater the job satisfaction of teachers (Ingersol, 2003). Such empowerment has been shown to be a key influence on whether teachers remain in school. Opportunities must be provided so that teachers do not feel that the only way to advance is to leave teaching and advance to administration. This recommendation involves utilizing Level III teachers in greater leadership capacities in the school, district, and state. Teacher's work in this area should also be a part of the evaluation process.

**Recommendation 6:** Adequately fund school budgets to give teachers time to plan and collaborate with their colleagues. Recent budget cuts have taken away opportunities for teachers to have this needed time for staff development, reflection and collaboration. In a push for more time in the classroom for students, budget shortfalls have resulted in less teacher planning time to ensure that the time students do spend in the classroom is productive. Going forward, it is critical that there is accountability for the dollars allocated and that their use is transparent to taxpayers.

**Rationale:** Teachers at all grade levels typically have less than an hour a day of designated planning time to prepare for multiple teaching periods. Elementary teachers have even less. The majority of teachers

surveyed in South Carolina report spending more than five hours per week outside the school day on school-related activities such as grading and parent conferences (Hirsch, 2005). Johnson (2006) writes that the lack of time to plan, teach, and assess not only creates stressful work conditions, it diminishes the quality of instruction.

By altering schedules, schools are finding creative ways to provide more instructional time for students and non-instructional time for teachers to plan and collaborate with their peers. Practices that ensure productive and focused use of this time should also be implemented.

## **Principal**

Current research has highlighted the fact that the quality of school leaders has a significant impact on student achievement (Williams, et. al., 2010). Indeed, educational leadership is a critical component of student performance. Yet, currently the nation and New Mexico are experiencing a shortage of principal and superintendent candidates who are willing and able to take on the daily demands of the job. The following facts tell the story:

- Half of all district superintendents are 50 years old or older.
- Few leadership candidates are female and/or minority.
- The average time to fill a superintendent's job (~15 hours/day) has doubled in the last 10 years.
- The average tenure of big-city superintendents is less than three years, and for superintendents in rural districts, the tenure is even shorter.

Results of the recent study by Fuller and Young suggest:

- Elementary schools have the longest principal tenure and greatest retention rates;
- Less than 30 percent of newly hired high school principals stay at the same school at least five years;
- Principal retention rates are strongly influenced by the level of student achievement during the principal's first year of employment, with the lowest achieving schools having the highest principal turnover;
- The percentage of economically disadvantaged students in a school is a major determinant in how long a newly hired principal will stay, with principals in high-poverty schools having shorter tenure and lower retention rates;
- More than 20 percent of newly hired secondary school principals in the lowest achieving schools or highest-poverty schools leave after only one year on the job;
- Principal retention is somewhat higher in suburban school districts where most students are white and not economically disadvantaged; and
- Principals' age, race and gender appear to play only a small role in principal retention.

Today's principals must be able to manage the school culture so that staff, students, and parents feel supported and so the culture of the school is focused on teaching and learning. The challenge for the school leader today is highlighted by unparalleled complexity, as well as the demands of accountability.

The need for dynamic leaders in the school could not be greater. The way that principals are trained, recruited, retained and developed must be addressed. Research shows that an effective teacher in the classroom correlates to effective and supportive school leadership. (Williams, et. al., 2010).

**Recommendation 1:** Provide state-generated principal support groups to provide training in the state’s teacher evaluation methods, priority school requirements, and uniform interventions. New Mexico needs uniform and transparent processes implemented with fidelity. In addition, like principal groups should be allowed to share challenges, solutions, questions and concerns. Having state facilitated geographical/like groups should lead to the retention of educational leaders in New Mexico, as well as promote the implementation of best practices in classrooms across the state. Groups such as the New Mexico School Leadership Institute, which has experience facilitating such leadership support groups, could provide a model.

**Rationale:** In *Assessing the Effectiveness of School Leaders: New Directions and New Processes - The Wallace Perspective*, the authors state that “leading the learning work of schools for the future requires whole new sets of skills and attributes that imply continuous learning. A continuously learning organization, while not a new idea, is one that has increasing importance if our schools are to serve all students well to a high standard. In the end, it is about the core outcomes for schools – for learning, learning improvement, and educational opportunity.” Simply stated, it stands to reason that everyone, from the preschool student through the teacher to the principal (and on to the district) is a learner – and learning requires feedback and collaboration.

Additionally, if students are to achieve to high standards in New Mexico, the principal is one of the key players in implementing any of the programs initiatives recommended in this report. Principals must be supported, given a clear understanding of all process and allowed to collaborate in order to assure the retention of effective principals who can support and help retain effective teachers in the classroom.

**Recommendation 2:** Beware of increasing paperwork and administrative burden for administrators. Be sure accountability processes are aligned within the state department, districts offices, and schools.

**Rationale:** At present many of the reports or required for accountability are similar in many respects, but different enough to require hours of repetitive work. EPSS Peer Review documentation and accountability do not match the EPSS plan requirements. Schools are part of various other reviews such as North Central Accreditation (Advanc-ED), Blue Ribbon Schools, HSTW Technical Assistance Visits, and the like. These often duplicative requirements need to be streamlined in order to create an aligned,

comprehensive program for accountability that will support principals in achieving the goals of accountability reporting.

**Recommendation 3:** Develop and implement research based recommendations for ways that central office administration, starting with the superintendent, can support principals in their instructional leadership roles.

**Rationale:** Principals cite difficulties turning student achievement around without the strong support of the superintendent, human resources, and other central office personnel. Research shows that successful school turnaround depends on effective leadership at every level in the educational community.

**Recommendation 4:** Examine principal pay scales and remove disincentives to advancement for qualified school leaders moving from the classroom to the principal's office.

**Rationale:** In some instances, teachers moving to assistant principal and principal positions face significant pay cuts. Incentivizing strong leadership in schools will allow for a more robust principal pipeline. Further, considerations need to be made in terms of allowing for higher salaries for principals that serve low-performing schools, as well as hard to staff schools.

<b><u>SUMMARY OF TEACHER RECOMMENDATIONS</u></b>
1. Create a diversified pay structure that is based on teacher effectiveness (outputs) as evidenced by student growth, observations, and other clear, measurable standards.
2. Create a system for incentive pay to teach in critical-shortage subject areas or at schools that serve disadvantaged children (i.e. special education, children in low economic areas).
3. Provide academic scholarships in New Mexico for those going into education, including high-quality alternative programs for mid-career recruits in exchange for teaching for at least four years in a high-need field or location.
4. Develop a program that provides an opportunity for an adjunct license for part time teaching.
5. Provide advancement and leadership opportunities for teachers. Utilize three tiered licensed teachers expertise by providing greater leadership capacity throughout schools, districts and in the state.
6. Provide legislation that will give teachers time to plan and collaborate. Recent legislation has taken away opportunities for teachers to have this needed time for staff development, reflection and collaboration. In a push for more time in the classroom for students, there has been a decrease in teacher planning time ensure that the time students spend in the classroom is productive.



7. Provide strong administrative leadership in schools to support student academic success.

### **SUMMARY OF PRINCIPAL RECOMMENDATIONS**

1. Provide state generated principal support groups by geographical/like groups to provide training in the state's teacher evaluation methods, priority school requirements, and uniform development of EPSS plans. New Mexico processes need to be uniform, transparent and implemented with fidelity. In addition, like principal groups should be allowed to share challenges, solutions, questions and concerns
2. Beware of increasing paperwork and administrative burden for administrators. Be sure accountability processes are aligned within the state department, districts office and schools.
3. Develop and implement research based recommendations for ways that central office administration, starting with the superintendent, can support principals in their instructional leadership roles.
4. Examine principal pay scales and remove disincentives to advancement for qualified school leaders moving from the classroom to the principal's office.

## **Section IV: Compensation and Advancement**

### **Overview**

New Mexico has a modified pay for performance system for teachers and educational leaders; however, sufficient evidence of improved student achievement indicated by multiple measures is not reflected in the licensure process and teacher evaluations that differentiate who gets to move up a tier and earn an additional \$10 thousand. The 3-tiered licensure system, the annual evaluation process, and the required professional development plan (PDP) should be modified to include assessments of effective teaching tied to student academic growth in order to inform compensation decisions and advancement through the system. The Task Force also recognizes the importance of a streamlined system that avoids duplication and unnecessary paperwork. Key levers to raising student achievement include annual teacher evaluation and aligned professional development. As Russ Whitehurst from The Brookings Institute stated, we “need to balance what’s fair and equitable to teachers with what’s fair and equitable to students.”

At present New Mexico looks to teacher qualifications (education and experience) as the measure of the quality of teaching that occurs. Further, according to federal definitions under the Elementary and Secondary Education Act, 99.4 percent of New Mexico teachers are rated as highly qualified. However, only 53 percent of third graders are reading on or above grade level. It is important to make the distinction that the federal “highly qualified” status is an input that describes the coursework and certifications that a teacher has. It is not a measure of outcomes or teacher effectiveness.

According to the Legislative Finance Committee’s (LFC) FY12 Volume 1, “now that almost all New Mexico teachers are meeting the federal ‘highly qualified’ standard, policy considerations are turning to the issues of teacher effectiveness and whether teachers are providing instruction that will lead to high levels of student achievement.” The Task Force supports the LFC recommendation that annual teacher and principal evaluation systems and the licensure system be strengthened to require the use of student academic growth as a factor in determining overall teacher and principal effectiveness.

**Recommendation 1:** Require annual evaluations and professional development plans which are in alignment with the licensure system.

**Rationale:** Annual teacher evaluations should be tied to student achievement, including student achievement data, observations, and multiple measures. Annual teacher evaluations should also assess whether the teacher has a meaningful and relevant professional development plan that focuses on measuring student learning, which also decreases subjectivity in this process. The professional

development plan should be expanded to include evaluation of effectiveness tied to student achievement data.

**Recommendation 2:** Incorporate teacher effectiveness into the licensure process.

**Rationale:** Teacher licensure and advancement through the licensure system should be based on teacher effectiveness (outputs) as evidenced by student growth, observations, and other clear, measurable standards. Licensure decisions should be directly tied to student growth as it is less subjective than current practices. Should the dossier continue to be utilized, each dossier submission should require the inclusion of several years of cohort student achievement data as a component of teacher effectiveness.

**Recommendation 3:** Restructure the current 3-tier salaries/shift funding to results tied to annual evaluations and professional development plans.

**Rationale:** Advancement through the 3-tiered licensure system can currently happen very quickly, with large salary increases twice. Eligibility for salary increases are not contingent on showing effective teaching skills but rather a showing that the requisite number of years of service, educational attainment, and competencies have been met. Educators who advance through the system in the shortest period of time receive a 67 percent increase in base compensation in their 7<sup>th</sup> year of licensure. Movement from level 1 to level 2, which must happen between the third and fifth year of level 1 licensure, results in a 33 percent increase and movement from level 2 to level 3 results in a 25 percent increase. Once an educator obtains a level 3 licensure compensation increases are dependent on district priorities and resources. The costly tier increases limit the opportunity to reward effective teachers recognized in annual evaluations.

Statutory salary levels should be adjusted to raise the minimum salary for entry level teachers based of effectiveness. Incremental increases for achievement of advanced licensure should be scaled back to decrease the large differentials in increases that currently exist, but advancement opportunities should occur more frequently. This would free up resources to allocate to a performance-based compensation system.

**Recommendation 4:** Provide incentives to effective teachers and remove ineffective teachers from the classroom. Additionally, the Task Force recommends providing statutory due process rights to teachers after attaining level 2 licensure and has received effective evaluations.

**Rationale:** Currently, after three years of service teachers are granted statutory due process rights (commonly referred to as tenure). Statute also allows a teacher to be eligible for three year contracts after three consecutive years of service with the same district. Otherwise, teachers are only eligible for one

year contracts. The current requirement of three years minimum teaching at level I should be relaxed to allow exemplary teachers, including those on an intern license, to advance any time after a one year mentorship with a highly effective or exemplary evaluation rating. Due process rights should be tied to licensure rather than years of service in a district, and with effective evaluations, as noted in section 1 of this document, should be portable throughout New Mexico. Three year teaching contracts should only be available to those teachers earning an exemplary rating during the preceding three years. Any teacher who receives an effectiveness rating of ineffective or minimally effective shall only be able to enter into single year contracts until that time at which the teacher can receive a highly effective or exemplary effectiveness rating for three consecutive years. If, during the term of a three year contract, a teacher receives an ineffective rating, the teacher's subsequent contracts shall be for one year, until such time as the teacher receives a highly effective or exemplary effectiveness rating for three years.

In addition to advancement opportunities, a system should be implemented to identify ineffective teachers, establish meaningful and relevant targeted professional development opportunities, and ultimately remove ineffective teachers from the classroom. Teachers identified as ineffective based on their professional development plan and the annual evaluation should be supported with meaningful professional development opportunities in the subsequent school year. School districts and charter schools should provide additional targeted professional development for teachers earning ineffective ratings that are tied to review of the professional development plan and the annual evaluation. Some examples of how interventions and removal could occur are as follows. The first year a teacher earns the lowest effectiveness rating, the teacher should receive targeted profession development. If the teacher fails to show advancement in effectiveness level for a second year, the teacher shall be placed on a professional growth plan. Failure to improve after the second year, assuming the teacher has received targeted professional development and a meaningful professional growth and improvement plan will constitute just cause for termination.

**Recommendation 5:** Align the training and experience with the 3-tiered licensure system.

**Rationale:** The training and experience (T&E) Index in the public school funding formula is currently not aligned with the goal of hiring effective teachers. The T&E Index incentivizes hiring teachers who have more years of service and have attained higher levels of education. The T&E Index should be better aligned with the 3-tiered licensure system.

The 2006 funding formula study conducted by American Institutes for Research (*An Independent Comprehensive Study of the New Mexico Public School Funding Formula*) recommended that the state adopt an Index of Staff Qualifications (ISQ) to replace the T&E Index to account for the costs associated

with training, experience and the 3-tiered licensure system. The proposed ISQ is structured to reflect the 3-tiered licensure system and calibrated to reflect the average values of experience and educational qualifications of instructional staff employed in New Mexico. The ISQ reflects both the minimum compensation levels associated with each of the three tiers and the marginal values of additional years of experience and different degree levels for professional staff. If licensure decisions are based on annual evaluations and PDPs that measure teacher effectiveness, and the T&E Index is aligned with the licensure system, this results in financial incentives for districts that hire and support effective teachers.

**Recommendation 6:** Require annual principal evaluations.

**Rationale:** Linda Paul of the New Mexico School Leadership Institute warns that “the number one cause of teacher dissatisfaction is poor leadership.” It is equally as important to create a meaningful evaluation system for principals and school building leaders. “Principal effectiveness drives teacher effectiveness,” said Ivy Alford of the Southern Regional Education Board (SREB). Annual evaluations and professional development plans should be similar to teacher evaluations and professional development plan requirements, including a student achievement component. Evaluations of effectiveness tied to student growth should serve as the basis for compensation decisions and advancement through the licensure system.

Classroom evaluations by trained observers are at the top of the list in terms of effective evaluation systems, according to Russ Whitehurst of the Brookings Institute. A quality principal evaluation system should identify principals who are conducting meaningful and effective evaluations of teachers. Russ Whitehurst of Brookings indicated that there is good evidence that principals do a good job of evaluating teachers among buildings. He also indicated that principals are the second most influential factor in a child’s education. Requiring a principal evaluation system that identifies effective principals may be a cost effective way of identifying quality teachers.

However, in order for principals to be effective evaluators, they must be properly trained as well as have a strong standardized evaluation system in place. Ivy Alford of SREB notes that “principals are very nervous about giving feedback” if there is not a strong evaluation system in place.

**Recommendation 7:** Evaluate the current 3-tier licensure system and dossier to minimize administrative costs and determine effectiveness. This should be completed by PED within 3 months.

**Rationale:** There are concerns and risks of program duplication and increased administrative costs as an enhanced annual teacher evaluation system is developed. Annual evaluations may provide more timely data relevant to teacher advancement and professional development compared to the 3-tier licensure

System which may recognize effective performance only twice in a career. Additionally, the dossier process does not have data to support its consistent and effective implementation. As New Mexico transitions to a new teacher and school leader evaluation system, it is critical to ensure that existing systems are effectively evaluated to determine their efficacy and alignment to any new system(s).

**Recommendation 8:** Delay implementation of performance based compensation system until the 2013-2014 school year.

**Rationale:** A robust compensation system is needed to reward effective teachers. However, implementation of such a system should be delayed until the 2013-2014 school year. Delaying implementation will allow districts and charter schools to familiarize themselves with the new evaluation system and address any issues that arise in the first year without being tied to high stakes decisions. In the second year, a performance based compensation system that awards the most effective teachers should be implemented. Effectiveness should be directly tied to the professional development plan and the annual evaluation. Higher bonuses could be available for teachers with high poverty classes, or teachers teaching in hard to staff areas.

Many of the presentations indicated rushing to implement a system is ill-advised. Presenters encouraged New Mexico to engage in a well thought-out process that identified required components unique to New Mexico. It is very “difficult to calibrate such a powerful tool so that it works in practice as intended,” reports Susan Headden in her Education Sector Report: Inside IMPACT (D.C.’s evaluation model).

## **Section V: Next Steps**

### **Overview**

Over the course of the summer, there were multiple discussions that the Task Force undertook related to areas that directly impact teacher and school leader evaluation, but were not within the direct scope of the Executive Order. As such, the Task Force has outlined several areas that warrant potential further exploration and review.

### **Pre-Service Training/Alternative Preparation/Teacher Recruitment**

- Study issues of pre-service teacher/administrator programs and adequacy of training prior to entering the classroom/school building must be studied.
- Develop programs to recruit of top high school students into education programs in NM colleges and universities must be discussed and addressed.
- Develop higher standards for entering into teacher education programs must be examined.
- Develop assessment standards for exiting pre-service teaching candidates must be evaluated.

### **Transition from 3-Tiers**

- Establish existing tiers into the new framework.
- Create a process that will base advancement on effectiveness and preparedness for instruction of students.

### **Superintendent Evaluation**

- Consider evaluation based on student achievement.
- Consider the school board role.
- Allow for multiple measures.

### **Effective School Leaders Academy**

- Establish a statewide academy for training and developing effective school leaders that correlates to the expectations of an Instructional Leader.
- Establish systemic and structured observation criteria for statewide use.

### **Technical Advisory Committee**

- Convene State and National experts in all areas of data, research, and statistical information (a New Mexico technical assistance committee).
- Focus on implementation and analysis of effectiveness of all initiatives.
- Provide continuing advisory to PED, LESC, and LFC regarding effectiveness of initiatives and evolution of entire process.

## **Licensure Renewal**

- Effectiveness, as measured by student growth, must be 50%.
- Determine appropriate duration of licenses.
- Revise fee structure for initial/continuing licensure.

## **Dossier Process**

- Review overall effectiveness of process and impact on student outcomes (within the next three months).
- Review validity in recruitment and retention.
- Make as an optional tool, as determined by districts. Possible mandatory tool for PDP improvement.

## **PED Implementation of PD for Effective Teacher/School Leader Evaluation**

- Introduce a menu of approved PD for individual districts.
- Create statewide and regional trainings for districts.

## **Continue to Address Other Key Elements of Comprehensive Public School Reform**

- Increased time on task.
- Improved school readiness.
- Enhanced leadership training.
- Curriculum alignment.
- Timely availability of student performance data.



## **Appendix A: Meeting Dates and Topics**

### **Meetings and Presentations**

June 1

- Coordinating meeting of Task Force.

June 14

- Teacher Evaluation in New Mexico: Current Requirements and Practices, Matt Montaña, New Mexico Public Education Department
- Using Value Added Models to Monitor Teacher Effects, Pete Goldschmidt, PhD, formerly of the UCLA CRESST center

June 21

- Professional Development Plans and Evaluation in NM, V. Sue Cleveland, Ed. D. and Sue Passell, Ed. D., Rio Ranch Public Schools
- Evaluating Teachers in non-tested subjects and grades, Russ Whitehurst, PhD, Brookings Institute

June 30

- How to Best Measure the Effectiveness of Teachers and School Leaders Based on Specific Parameters, Ivy Alford, Southern Regional Education Board

July 12

- Measures of Effectiveness, Linda M. Paul, Ed. D., New Mexico School Leadership Institute
- Training & Experience Index, R.L. Richards, Texico Municipal Schools.

July 19

- Teacher Quality: Building Capacity with Meaningful and Relevant Professional Development Plans, Julie A. Radoslovich and Shelly Roberts, South Valley Academy

July 27

- Advancing Teacher Quality, Sandy Jacobs, National Council on Teacher Quality

August 2

- Pre-Service Training and Teacher Quality, Richard Howell, PhD, Dean of Education, University of New Mexico

August 3

- Teacher Evaluation in New Mexico: From the Perspective of Recipients of the Golden Apple Awards for Excellence in Teaching, Celia Merrill, Executive Director

August 13

- Preparation of final recommendations.

## Appendix B: Works Cited and Works Reviewed

### Works Cited and Works Reviewed

American Institute for Research. (2006). *An independent comprehensive study of the New Mexico public school funding formula*. Retrieved from <http://www.nmschoolfunding.org/>.

Bill and Melinda Gates Foundation. (2010). *Learning about teaching. Initial findings from the measures of effective teaching project*. Retrieved from <http://www.metproject.org/>.

Blank, R.K., & Alas, N. (2009). *Teacher professional development gains in student achievement: How meta analysis provides evidence useful to education leaders*. Retrieved from [http://www.ccsso.org/Documents/2009/Effects\\_of\\_Teacher\\_Professional\\_2009.pdf](http://www.ccsso.org/Documents/2009/Effects_of_Teacher_Professional_2009.pdf).

Center for Teaching Quality. *Teacher working conditions toolkit*. Retrieved from <http://www.teacherworkingconditions.org/>

Coggshall, J. G. (2006). *Prospects for the profession: Public opinion research on teachers*. Washington, DC: National Comprehensive Center for Teacher Quality.

Cohen, D.K., & Hill, H.C. (2001) *Learning policy: When state education reform works*. New Haven, CT: Yale University Press.

Essential Information for Educational Policy. (2005). *Teaching teachers: Professional development to improve student achievement*.

Garet, M.S., Porter, A.C., Desimone, L., Birman, B., & Yoon K.S. (2001). *What makes professional development effective? Results from a national sample of teachers*. *American Educational Research Journal*, Vol. 38, No. 4, pp. 915-945.

Glazerman, S., D. Goldhaber, S. Loeb, S. Raudenbush, D.O. Staiger, G.J. Whitehurst. (2011). *Passing muster: Teacher evaluation systems*. Washington, DC: The Brookings Institute. Retrieved from <http://www.brookings.edu/brown.aspx>

Goldschmidt, P., P. Roschewski, K. Choi, W. Auty, S. Hebbler, R. Blank, A. Williams (2005). *Policymakers guide to growth models for school accountability: How do accountability models differ?* Washington, DC: The Council of Chief State School Officers.

Hanushek, E. (2011). *Valuing teachers*. Cambridge, MA: Education Next. Retrieved from <http://educationnext.org/valuing-teachers/>.

Herman, J. L., Hertitage, M., & Goldschmidt, P. (2011). *Developing and selecting assessments for student growth for use in teacher evaluation systems*. Los Angeles, CA: University of California, National Center for Research on Evaluation, Standards, and Student Testing (CRESST).

Hetin, L. (2010). *Report six: Six steps for upgrading teacher evaluation systems*. Retrieved from <http://www.edweek.org>.

- Hirsch, E. (2005). *Listening to the experts: A report on the 2004 South Carolina teacher working conditions survey*. Chapel Hill, NC: Southeast Center for Teaching Quality. Retrieved from [http://www.teachingquality.org/pdfs/TWC\\_SCFinalReport.pdf](http://www.teachingquality.org/pdfs/TWC_SCFinalReport.pdf)
- Hirsch, E., & Emerick, S., Church, K., & Fuller, E. (2006). *Arizona teacher working conditions: Designing schools for educator and student success. Results of the 2006 phase-in teacher working conditions survey*. Hillsborough, NC: Center for Teaching Quality. Retrieved from <http://www.teachingquality.org/pdfs/twcaz2006.pdf>
- Hirsch, E., Emerick, S., Church, K., & Fuller, E. (2007). *Teacher working conditions are student learning conditions: A report on the 2006 North Carolina teacher working conditions survey*. Hillsborough, NC: Center for Teaching Quality. Retrieved from <http://www.teachingquality.org/pdfs/twnc2006.pdf>
- Ingersoll, Richard. (2003). *Who control's teachers' work? Power and accountability in America's schools*. Cambridge, MA: Harvard University Press.
- Johnson, S. M. (2006). *The workplace matters: Teacher quality, retention, and effectiveness*. Washington, DC: National Education Association. Retrieved from <http://www.nea.org/research/bestpractices/images/wcreport.pdf>
- Public Education Department. (2009). *Report # 09-08: The three-tiered licensure system and the achievement gap*.
- Marvel, J., Lyter, D. M., Peltola, P., Strizek, G. A., & Morton, B. A. (2007). *Teacher attrition and mobility: Results from the 2004–05 teacher follow-up survey*. U.S. Department of Education, National Center for Education Statistics. Washington, DC: U.S. Government Printing Office. Retrieved from <http://nces.ed.gov/pubs2007/2007307.pdf>
- National Council on Teacher Quality. (2010). *Blueprint for change: National summary*. Retrieved from [http://www.nctq.org/stpy09/updates/docs/stpy\\_national.pdf](http://www.nctq.org/stpy09/updates/docs/stpy_national.pdf).
- Peterson, K. (2001). *The professional development of principals: Innovations and opportunities*. Paper Commissioned for the National Commission for the Advancement of Educational Leadership Preparation.
- Sanders, W & Rivers, J. (1996). *Cumulative and residual effects of teachers on future student achievement*. Knoxville, TN: University of Tennessee Value-Added Research and Assessment Center. Retrieved from [http://www.cgp.upenn.edu/pdf/Sanders\\_Rivers-TVASS\\_teacher%20effects.pdf](http://www.cgp.upenn.edu/pdf/Sanders_Rivers-TVASS_teacher%20effects.pdf).
- Rivkin, S., Hanushek, E.A., & Kain, J.F. (2005). *Teachers, schools and academic achievement*. *Econometrica* 73(2): 417-458.
- Southern Regional Education Board. (2009). *Building the capacity of school leaders and teachers to implement reform at all levels*. Retrieved from [http://www.sreb.org/cgi-bin/MySQLdb?VIEW=/public/view\\_home.txt](http://www.sreb.org/cgi-bin/MySQLdb?VIEW=/public/view_home.txt).
- Southern Regional Education Board. (2010). *The three essentials: Improving school requires district vision, district and state support, and principal leadership*. Retrieved from <http://www.serb.org>.
- Sterbinsky, A. and Ross, S. (2003). *School observation measure reliability study*. Memphis, TN: Center for Research in Education Policy. Retrieved from <http://www.eric.ed.gov/PDFS/ED500024.pdf>.

Weisberg, D, Sexton, S, Mulhern, J, & Keeling, D. (2007). *The widget effect: Our national failure to acknowledge and act on differences in student achievement*. New York: The New Teacher Project. Retrieved from <http://widgeteffect.org/>.

Wenglinsky, H. (2002). *How schools matter: The link between teacher classroom practices and student academic performance*.

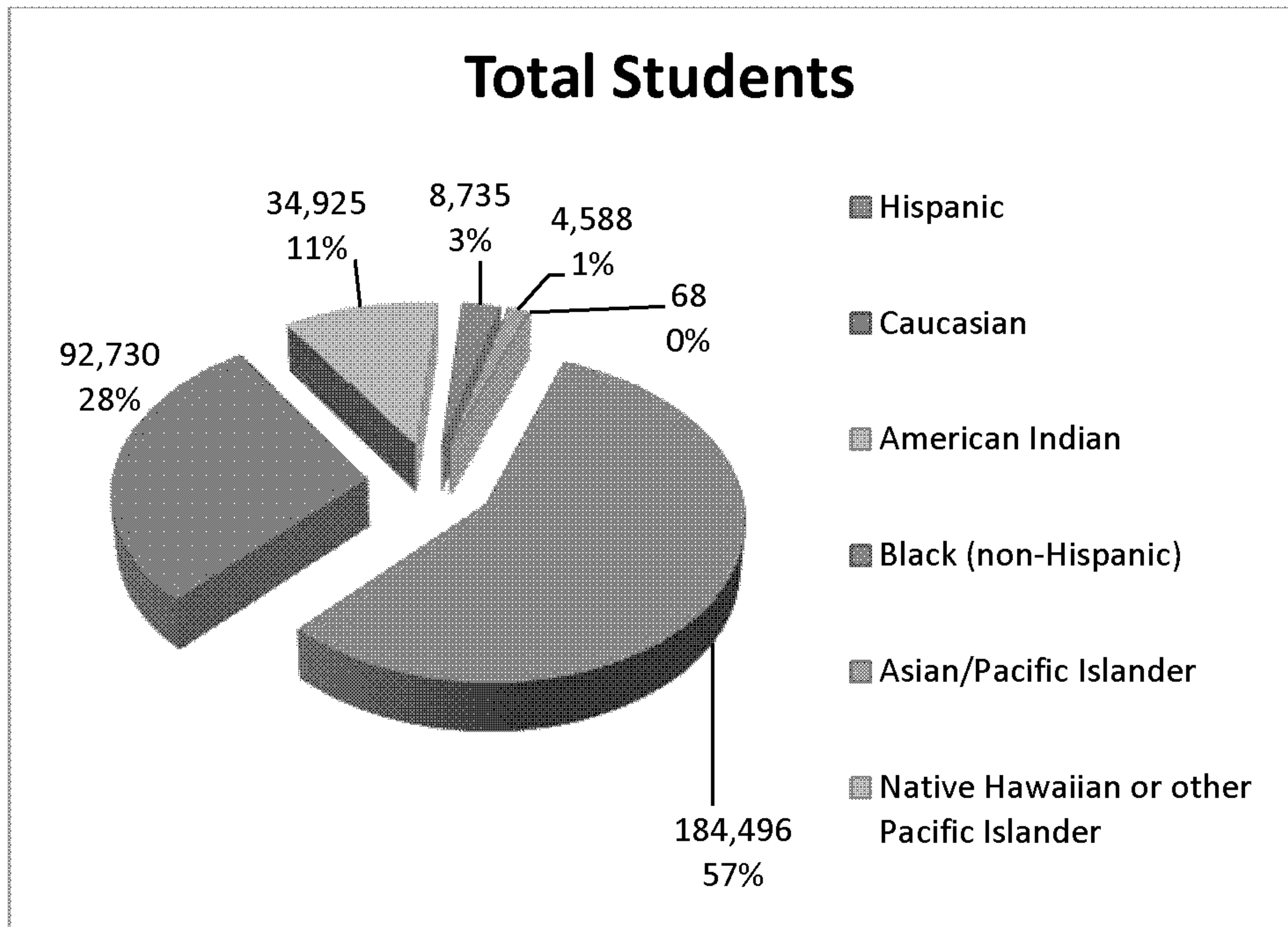
Williams, Rosin, et. al. (2010). *Gaining ground in the middle grades*. Edsource. Retrieved from <http://www.edsource.org/middle-grades-study.html>.

Yoon, K. S., Duncan, T., Lee, S. W.-Y., Scarloss, B., & Shapley, K. (2007). *Reviewing the evidence on how teacher professional development affects student achievement* (Issues & Answers Report, REL 2007–No. 033). Washington, DC: U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance, Regional Educational Laboratory Southwest. Retrieved from <http://ies.ed.gov/ncee/edlabs>.

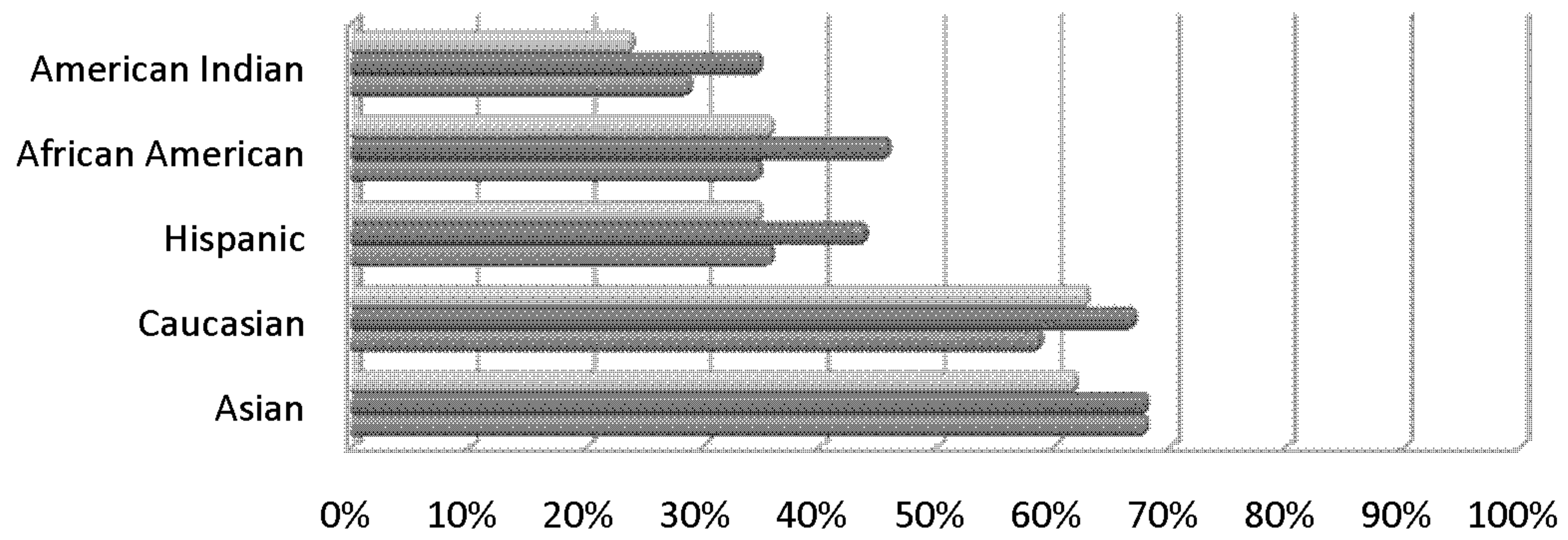
## Appendix C: Fast Facts – Current NM System

### New Mexico’s Student Demographics (09-10)

- Total Students - 325,542

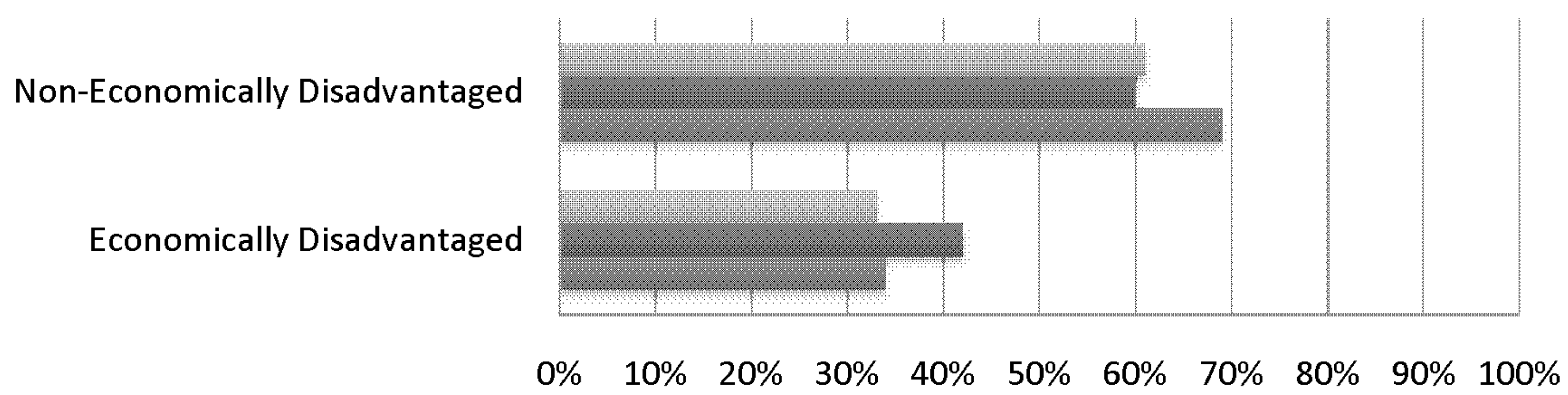


### Proficiency Rates by Ethnicity 2010-2011



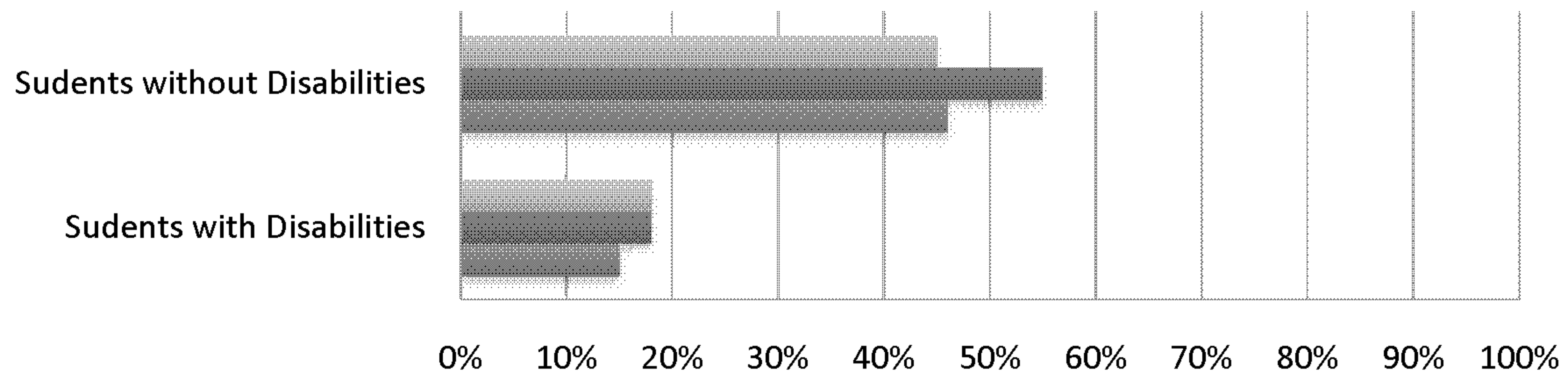
	Asian	Caucasian	Hispanic	African American	American Indian
■ Science	62%	63%	35%	36%	24%
■ Reading	68%	67%	44%	46%	35%
■ Math	68%	59%	36%	35%	29%

### Proficiency Rates by Socio-Economic Status 2010-2011



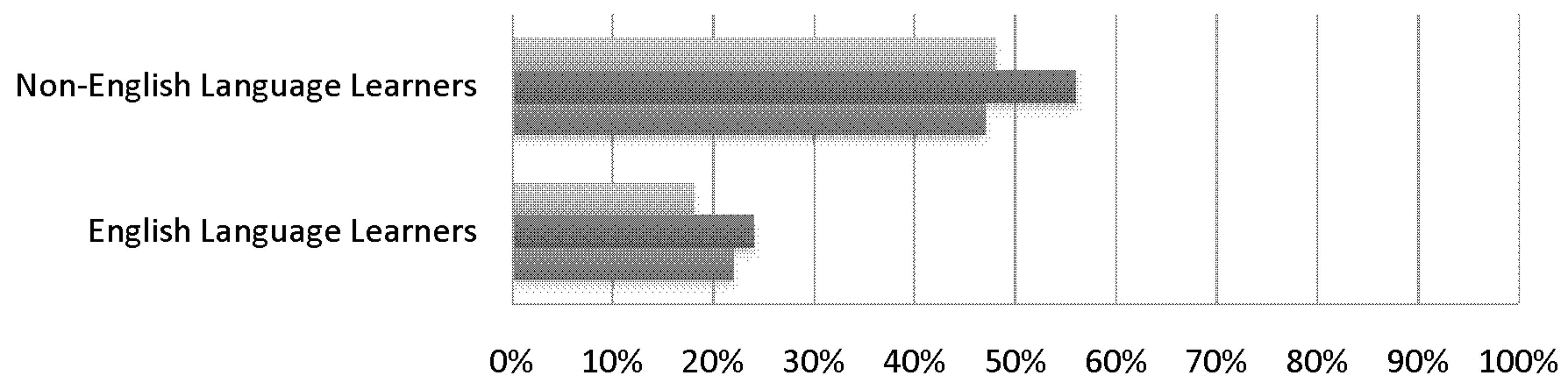
	Economically Disadvantaged	Non-Economically Disadvantaged
■ Science	33%	61%
■ Reading	42%	60%
■ Math	34%	69%

## Proficiency Rates for Students with Disabilities 2010-2011



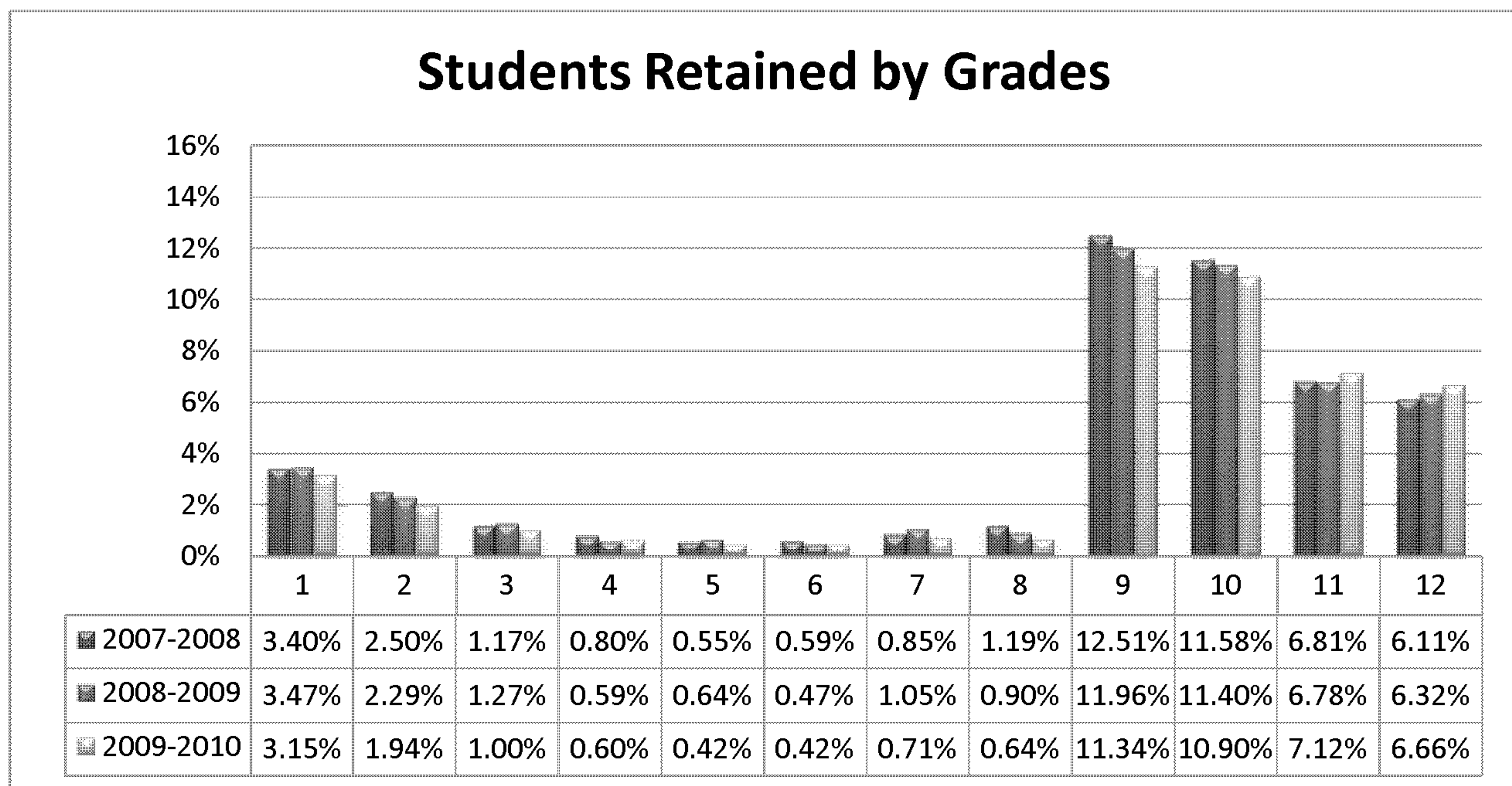
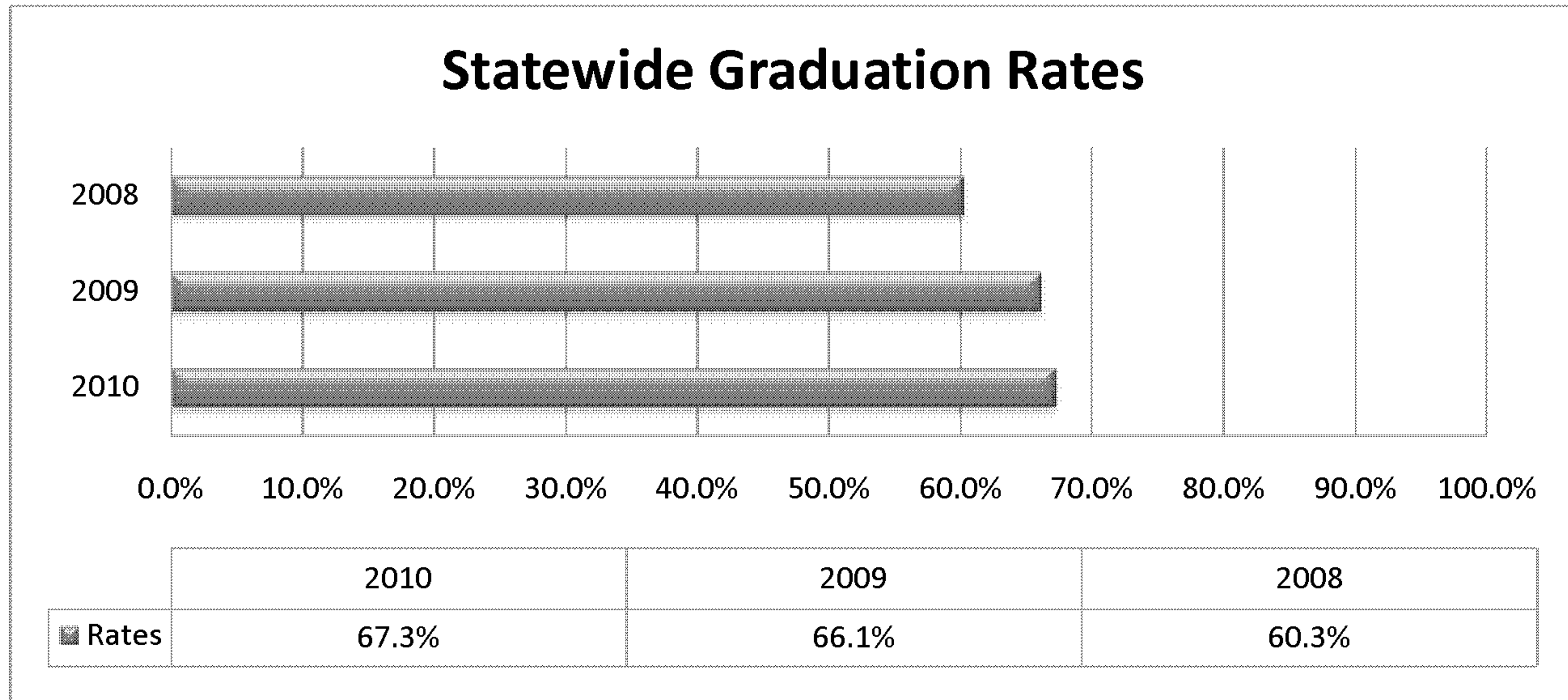
	Students with Disabilities	Students without Disabilities
■ Science	18%	45%
■ Reading	18%	55%
■ Math	15%	46%

## Proficiency Rates for English Language Learners 2010-2011

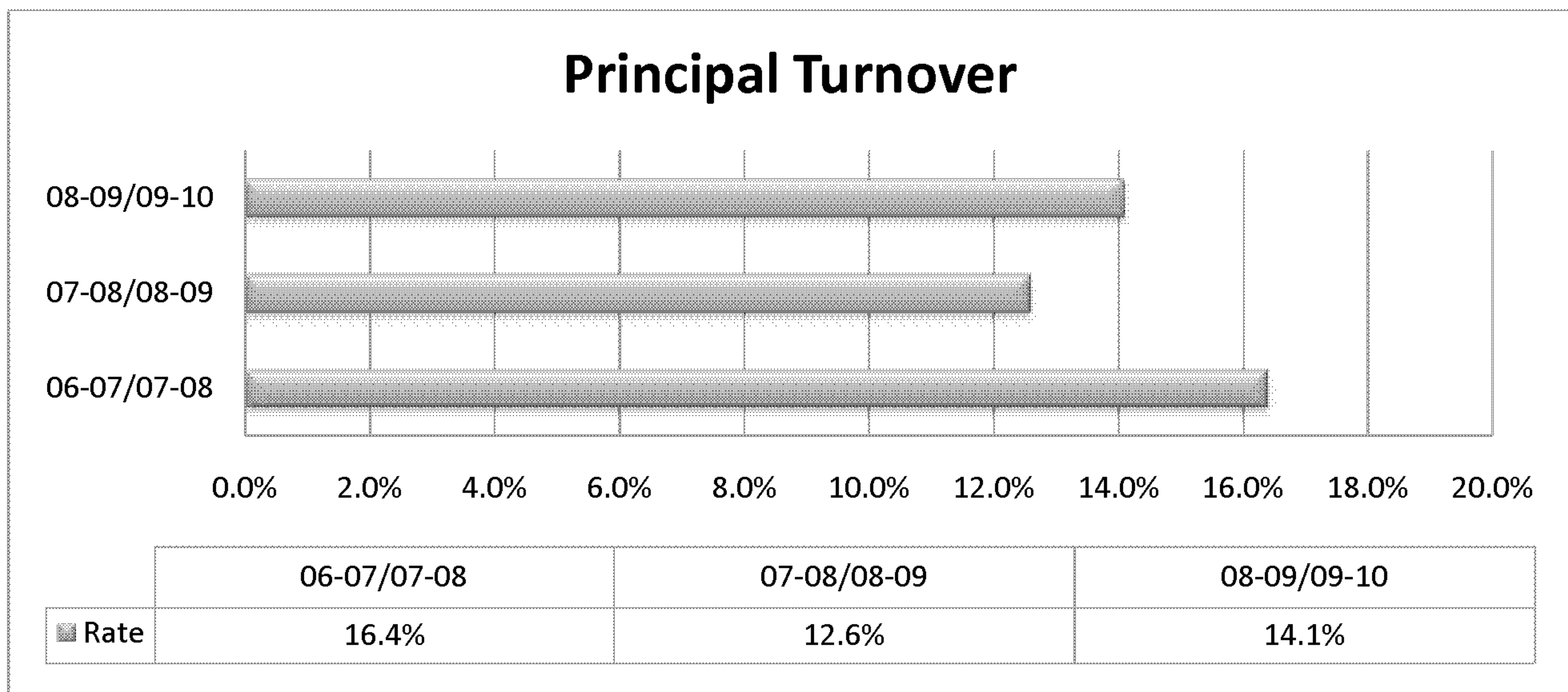
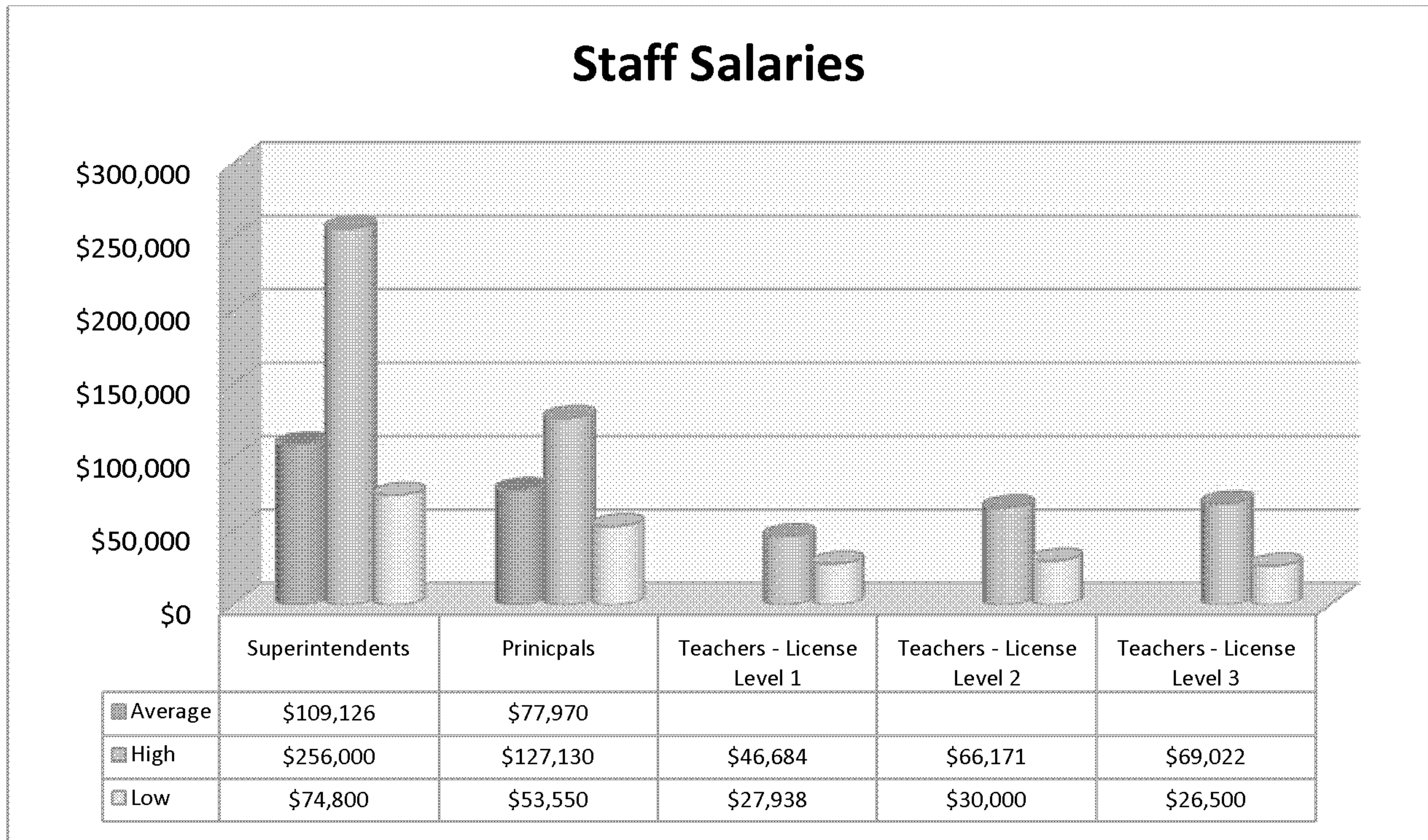


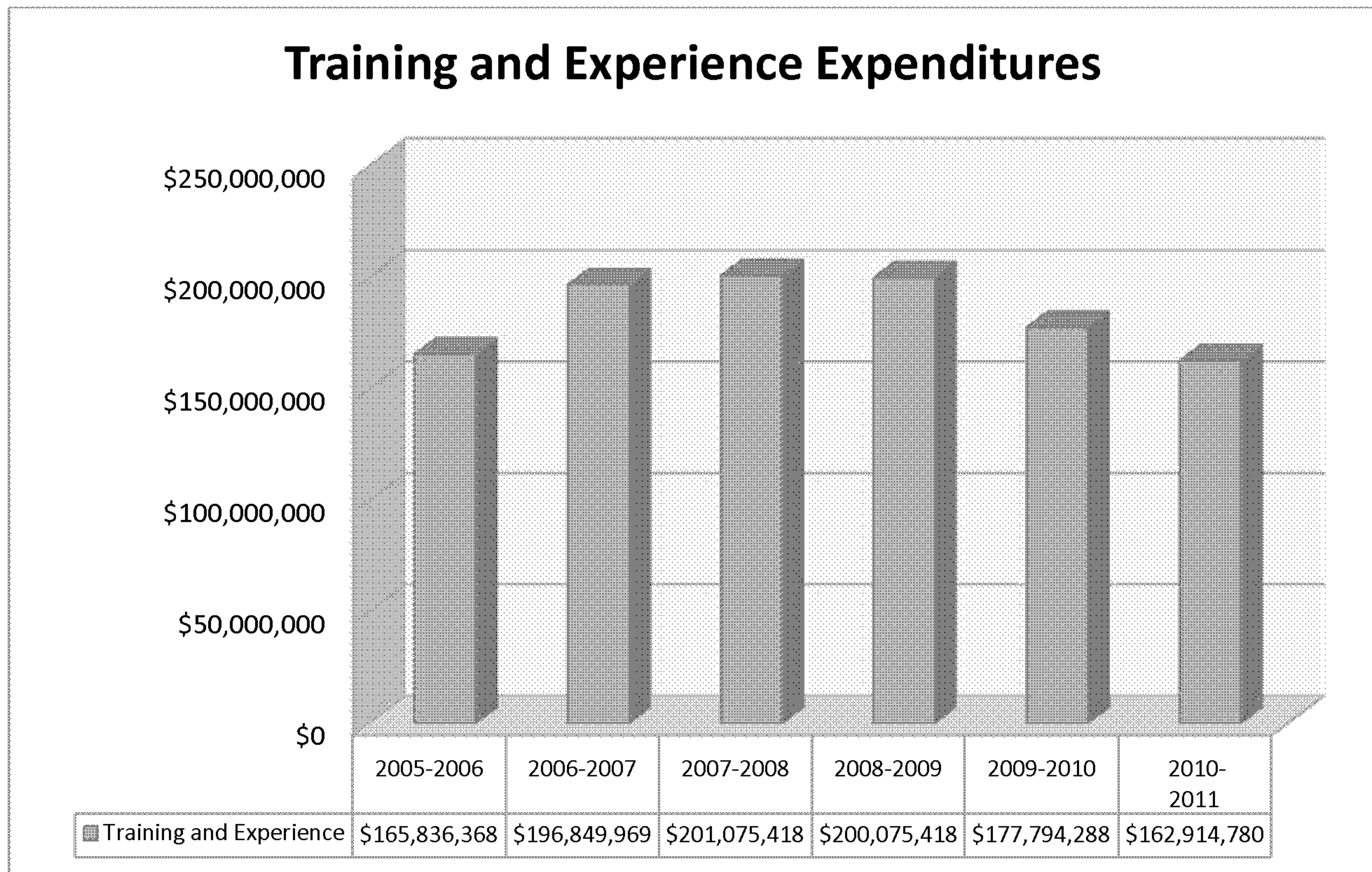
	English Language Learners	Non-English Language Learners
■ Science	18%	48%
■ Reading	24%	56%
■ Math	22%	47%





**Staff Data**





#### **Annual state funding for Dossier/OPAL process (Title II)**

- \$300,00.00 VisionLink
- \$300,00.00 UNM Institute for Professional Development-Technical Assistance and Reviewer Calibration
- \$300,00.00 UNM Transition to Teaching technical assistance
- \$23,000.00 F and R Smith for the Transition to Teaching review process

Total: \$923,000 per year

#### **3-Tiered System**

- \$278.4 million allocated to three tier system (2004-2009)
- Only a difference of 2.8 point growth between Level III PDD completers and Level I teachers
  - Currently, Level I teachers average 14 scale score points growth and Level III teachers average 16.8 scale score points growth in annual SBA testing.
  - Students who are nearing proficiency need to grow by 55 points to reach proficiency.
- All three tiers have ineffective teachers, even though compensation is similar at each level of license
- Current dossier system measures “case study” type reflection on practice as opposed to classroom effectiveness
- Very little connection to the evaluation process and the recommendation of the site administrator

- Dossier process opens up schools to lose “effective” teachers without regard to their actual classroom effectiveness.
- Dossier and OPAL process can easily be gamed for success.
- Achievement is not a main focus of the Dossier or OPAL process.
- Currently there is an 83% pass rate for first time submissions.
- 99.998% satisfactory evaluations for teachers statewide.

### **Statewide implications**

- PED spends close to \$1 million annually in direct support of the Dossier/OPAL process.
- PED dedicates 80% of its Professional Development Bureau in staffing the Dossier/OPAL process.
- PED has limited ability to reach out to struggling school districts in need of professional development.
- Most of PED resources are dedicated to moving teachers through the 3-tier system, and not consistent PD for creating an effective teaching task force.

### **Training and Experience**

- |             |                  |
|-------------|------------------|
| • 2005-2006 | \$165,836,367.94 |
| • 2006-2007 | \$196,849,968.84 |
| • 2007-2008 | \$201,075,418.07 |
| • 2008-2009 | \$200,075,418.07 |
| • 2009-2010 | \$177,794,287.55 |
| • 2010-2011 | \$162,914,779.50 |

Total: \$1,108,379,751.92

Overall, New Mexico has spent more than \$1.3 Billion on T&E, the 3-tier system, and the dossier process in the past 6 academic years, including \$164 Million in 2010-2011.

**ATTACHMENT 15: VALUE ADDED MODEL FOR A-F**

### Value Added Model for A-F School Grades

A three level model for measuring school improvement / growth over time under the multiple-cohort design is as follows.

Level-1 (within-occasion) model:

$$Y_{ijt} = \beta_{jt0} + \beta_{jt1}X_{ijt1} + \dots + \beta_{jtK-1}X_{ijtK-1} + r_{ijt}, \quad (1)$$

where  $Y_{ijt}$  is the outcome for student  $i$  ( $i = 1, \dots, n_j$ ) in school  $j$  ( $j = 1, \dots, J$ ) at occasion  $t$  ( $t = 1, \dots, T$ ).  $\beta_{jt0}$  are estimates of performance for each school  $j$  and occasion  $t$ , after adjusting for the student covariate  $X$ s. It is assumed that the outcome / covariates slopes are constant across schools and across time. (i.e.,  $\beta_{jt1} = \beta_1, \beta_{jt2} = \beta_2, \dots, \beta_{jtK-1} = \beta_{K-1}$ ). The New Mexico mode uses three years of data.

Level-2 (Between- occasion; within school) model:

$$\beta_{jt0} = \theta_{j0} + \theta_{j1}Time_t + u_{jt}, \quad (2)$$

where  $Time_t$  is centered around the middle time point,  $t_0$  (i.e.,  $Time_t = 0$ , at  $t = t_0$ ) then  $\theta_{j0}$  is a measure of average performance of each school during the period of study. In addition  $\theta_{j1}$  represents school improvement / growth rate for school  $j$ .

Level-3 (Between school) model:

$$\theta_{j0} = \Phi_{00} + \Phi_{02}C_j + V_{j0} \quad (3a)$$

$$\theta_{j1} = \Phi_{10} + V_{j1}, \quad (3b)$$

where  $C_j$  is a school contextual variable, for example, school mean SES. This model based on Wilms and Raudenbush, (1989) and Choi, Goldschmidt and Martinez, (2004) provides school improvement information, but can not be used to monitor individual student progress.

Specifically, the model we use is:

## LEVEL 1 MODEL

$$\begin{aligned}
 \text{SSNEW}_{ijk} = & \pi_{0jk} + \pi_{1jk}(\text{BLACK}_{ijk} - \overline{\text{BLACK}}_{...}) + \pi_{2jk}(\text{HISPANIC}_{ijk} - \overline{\text{HISPANIC}}_{...}) + \pi_{3jk}(\text{ASIAN}_{ijk} - \overline{\text{ASIAN}}_{...}) + \\
 & \pi_{4jk}(\text{NATIVE}_{ijk} - \overline{\text{NATIVE}}_{...}) + \pi_{5jk}(\text{FEMALE}_{ijk} - \overline{\text{FEMALE}}_{...}) + \pi_{6jk}(\text{FRL}_{ijk} - \overline{\text{FRL}}_{...}) + \pi_{7jk}(\text{FAY}_{ijk} - \overline{\text{FAY}}_{...}) + \\
 & \pi_{8jk}(\text{ELL}_{ijk} - \overline{\text{ELL}}_{...}) + \pi_{9jk}(\text{SWD}_{ijk} - \overline{\text{SWD}}_{...}) + \pi_{10jk}(\text{M\_BQ}_{ijk}) + \pi_{11jk}(\text{GRADE4}_{ijk} - \overline{\text{GRADE4}}_{...}) + \\
 & \pi_{12jk}(\text{GRADE5}_{ijk} - \overline{\text{GRADE5}}_{...}) + \pi_{13jk}(\text{GRADE6}_{ijk} - \overline{\text{GRADE6}}_{...}) + \pi_{14jk}(\text{GRADE7}_{ijk} - \overline{\text{GRADE7}}_{...}) + \\
 & \pi_{15jk}(\text{GRADE8}_{ijk} - \overline{\text{GRADE8}}_{...}) + \epsilon_{ijk}
 \end{aligned}$$

## LEVEL 2 MODEL

$$\begin{aligned}
 \pi_{0jk} &= \beta_{00k} + \beta_{01k}(\text{YEAR}_{ijk}) + r_{0jk} \\
 \pi_{1jk} &= \beta_{10k} \\
 \pi_{2jk} &= \beta_{20k} \\
 \pi_{3jk} &= \beta_{30k} \\
 \pi_{4jk} &= \beta_{40k} \\
 \pi_{5jk} &= \beta_{50k} \\
 \pi_{6jk} &= \beta_{60k} \\
 \pi_{7jk} &= \beta_{70k} \\
 \pi_{8jk} &= \beta_{80k} \\
 \pi_{9jk} &= \beta_{90k} \\
 \pi_{10jk} &= \beta_{100k} + \beta_{101k}(\text{YEAR}_{ijk}) + r_{10jk} \\
 \pi_{11jk} &= \beta_{110k} \\
 \pi_{12jk} &= \beta_{120k} \\
 \pi_{13jk} &= \beta_{130k} \\
 \pi_{14jk} &= \beta_{140k} \\
 \pi_{15jk} &= \beta_{150k}
 \end{aligned}$$

## LEVEL 3 MODEL

$$\begin{aligned}
 \beta_{00k} &= \gamma_{000} + \gamma_{001}(\text{BLACK}_k - \overline{\text{BLACK}}_k) + \gamma_{002}(\text{HISPANIC}_k - \overline{\text{HISPANIC}}_k) + \gamma_{003}(\text{ASIAN}_k - \overline{\text{ASIAN}}_k) + \gamma_{004}(\text{NATIVE}_k - \overline{\text{NATIVE}}_k) + \\
 & \gamma_{005}(\text{FEMALE}_k - \overline{\text{FEMALE}}_k) + \gamma_{006}(\text{FRL}_k - \overline{\text{FRL}}_k) + \gamma_{007}(\text{SWD}_k - \overline{\text{SWD}}_k) + \gamma_{008}(\text{ELL}_k - \overline{\text{ELL}}_k) + \gamma_{009}(\text{FAYM}_k - \overline{\text{FAYM}}_k) + u_{00k} \\
 \beta_{01k} &= \gamma_{010} + u_{01k} \\
 \beta_{10k} &= \gamma_{100} \\
 \beta_{20k} &= \gamma_{200} \\
 \beta_{30k} &= \gamma_{300} \\
 \beta_{40k} &= \gamma_{400} \\
 \beta_{50k} &= \gamma_{500} \\
 \beta_{60k} &= \gamma_{600} \\
 \beta_{70k} &= \gamma_{700} \\
 \beta_{80k} &= \gamma_{800} \\
 \beta_{90k} &= \gamma_{900} \\
 \beta_{100k} &= \gamma_{1000} + u_{100k} \\
 \beta_{101k} &= \gamma_{1010} + u_{101k} \\
 \beta_{110k} &= \gamma_{1100} \\
 \beta_{120k} &= \gamma_{1200} \\
 \beta_{130k} &= \gamma_{1300} \\
 \beta_{140k} &= \gamma_{1400} \\
 \beta_{150k} &= \gamma_{1500}
 \end{aligned}$$

We note that we use the Empirical Bayes estimates (Raudenbush and Bryk, 2002) of the random effects as an estimator of the school effect (both for the top three quartiles of students' growth and the bottom quartile of students' growth).



**ATTACHMENT 16: INDIVIDUAL STUDENT GROWTH MODEL**

### Individual student growth model

In order to consider the temporal aspect of monitoring student progress, we would begin with a simple growth model such as:

$$Y_{tij} = \pi_{0ij} + \pi_{1ij}O_{tij} + e_{tij}, \quad (1)$$

where  $Y_{tij}$  is the outcome at time  $t$  for student  $i$  in school  $j$  with  $\square$  as a time parameter measured in assessment occasions. We include *FAY* (full academic year status) as a time varying covariate at level one. The New Mexico model is based on three years of student data. Since growth trajectories are assumed to vary across students, at level 2 for the initial status at time = 0 (reverse coded in the A-F system):

$$\pi_{0ij} = \beta_{00j} + \beta_{01j}X_{1ij} + \dots + \beta_{0Pj}X_{Pij} + r_{0ij}, \quad (2)$$

where there are  $p = 1$  to  $P$  student-level predictors (e.g. student background characteristics). We do not include any student level predictors as, consistent with more complex models (Sanders et al, 2003), student background does not substantively change results. Similarly, for the growth trajectories

$$\pi_{1ij} = \beta_{10j} + \beta_{11j}X_{1ij} + \dots + \beta_{1Pj}X_{Pij} + r_{1ij}, \quad (3)$$

Again, we include no student level predictors to model time. Our focus at level three is the variation of  $\beta_{10j}$  among schools:

Hence, for the mean rate of change for school  $j$ :

$$\beta_{10j} = \gamma_{00} + u_{10j}, \quad (4)$$

The specific model we use is:

**LEVEL 1 MODEL**

$$\text{SSNEW\_M}_{ijk} = \pi_{0jk} + \pi_{1jk}(\text{FAY\_M}_{ijk}) + \pi_{2jk}(\text{YEAR}_{ijk}) + \epsilon_{ijk}$$

**LEVEL 2 MODEL**

$$\pi_{0jk} = \beta_{00k} + \beta_{01k}(\text{M\_BQ\_F}_{jk}) + r_{0jk}$$

$$\pi_{1jk} = \beta_{10k}$$

$$\pi_{2jk} = \beta_{20k} + \beta_{21k}(\text{M\_BQ\_M}_{jk}) + r_{2jk}$$

**LEVEL 3 MODEL**

$$\beta_{00k} = \gamma_{000} + u_{00k}$$

$$\beta_{01k} = \gamma_{010} + u_{01k}$$

$$\beta_{10k} = \gamma_{100}$$

$$\beta_{20k} = \gamma_{200} + u_{20k}$$

$$\beta_{21k} = \gamma_{210} + u_{21k}$$

We note that we use the Empirical Bayes estimates (Raudenbush and Bryk, 2002) of the random effects as an estimator of the school effect (both for the top three quartiles of students' growth and the bottom quartile of students' growth).

**ATTACHMENT 17: POINT CALCULATIONS FOR A-F SCHOOL GRADING MODEL**

## Point Calculations for A-F School Grading Model

The calculations for each of the elements are detailed in tables A1 and A2. A1 provides the methodology for elementary and middle schools, while A2 provides the methodology for high schools.

Table A1: Detailed Points Calculations- elementary and middle school

Element	Pts	Calculation
<b>Status</b>		
Proficiency	25	$= 12.5 \times (\text{Pct Prof ad above Math}) + 12.5 \times (\text{Pct Prof and above Reading})$
Conditional Status	15	$\sum_{s1}^2 \delta^s = 7.5 - 7.5(1 - \Phi_{\mu, \sigma}^2(X))$ ; where $X = U_{00k}^*$ Notes 2,3
<b>Growth</b>		
School growth	10	$\sum_{qs1}^2 \delta^{qs} = 5.0 - 5.0(1 - \Phi_{\mu, \sigma}^2(X))$ ; where $X = U_{01k}^*$ Notes 2,3
Individual growth- top 3 qrtiles	20	$\sum_{sq1}^2 \delta^{sq} = 5.0 - 5.0(1 - \Phi_{\mu, \sigma}^2(X))$ ; where $X = U_{01k}^*$ Notes 1,2
Individual growth- bottom qrtile	20	$\sum_{sq1}^2 \delta^{sq} = 5.0 - 5.0(1 - \Phi_{\mu, \sigma}^2(X))$ ; where $X = U_{21k}^*$ Notes 1,2
<b>Other Indicators</b>		
Attendance	5	$= 3 \times \text{ADA}/.95$
Opportunity to Learn	5	$5.0 - 5.0(1 - \Phi_{\mu, \sigma 2}(X))$ ; where X is based on New Mexico baseline distribution
Student Parent Engagement	5	$= 5 \times \text{Pct Engaged}$

Notes: 1)  $U^*$  is the empirical Bayes estimate derived from the model in Appendix X2 from the corresponding  $U$ .

2)  $S$  = subject: 1 = math, 2 = reading

3)  $U^*$  is the empirical Bayes estimate derived from the model in Appendix X1 from the corresponding  $U$ .

In general there the calculations are based on one of two methods. One, the number of students meeting a specific criteria is divided by the population of students eligible. For example. The 25 points possible under proficiency status is created by dividing the number of students who are proficient or above in math by the number of students in a school that were assessed. This fraction is multiplied by 12.5. This step is carried out for reading as well. The two amounts are summed and this becomes the point total for status/proficiency. A similar method is applied to four and five year graduation status.

However, points based on for individual growth or school growth are more complex. Here, a schools EB (Empirical Bayes) estimate is normalized (using the student  $t$  distribution). Then for each school, the cumulative area up to a school's  $t$  is calculated. For example, a school with average growth would have a  $t=0$ , would have a corresponding area of .50. This .50 is the

factor multiplied by the point value for growth (e.g. 7.5 for HS school growth in math). This repeated for reading and the two point totals are summed.

Table A2: Detailed Points Calculations- HS

Element	Pts	Calculation
<b>Status</b>		
Proficiency	25	=12.5 X (Pct Prof ad above Math) + 12.5 X (Pct Prof and above Reading)
Conditional Status	15	$\sum_{s1}^2 \delta^s = 7.5 - 7.5(1 - \Phi_{\mu, \sigma^2}(X))$ ; where $X = U_{00k}^*$ Notes 1,2
<b>Growth</b>		
Top three quartiles	10	$\sum_{qs1}^2 \delta^{qs} = 5.0 - 5.0(1 - \Phi_{\mu, \sigma^2}(X))$ ; where $X = U_{01k}^*$ Notes 1,2
Bottom Quartile	10	$\sum_{sq1}^2 \delta^{sq} = 5.0 - 5.0(1 - \Phi_{\mu, \sigma^2}(X))$ ; where $X = U_{101k}^*$ Notes 1,2
<b>Other Indicators</b>		
Graduation 4 yr	8	=8 X Pct graduating/90.
Graduation 5 yr	4	= 4 X Pct graduating/10.
Growth in graduation rate	5	$5.0 - 5.0(1 - \Phi_{\mu, \sigma^2}(X))$ ; where $X =$ residual from a VAM graduation model like the one displayed in Appendix X1, but using graduation rates as the outcome.
College and Career readiness Participation	5	= 5 X Pct participating
College and Career readiness Success	10	= 10 X Pct success
Attendance	3	= 3 X ADA/.95
Opportunity to Learn	5	$5.0 - 5.0(1 - \Phi_{\mu, \sigma^2}(X))$ ; where $X$ is based on New Mexico baseline distribution
Student Parent Engagement	5	= 5 X Pct Engaged

Notes: 1)  $U^*$  is the empirical Bayes estimate derived from the model in Appendix X1 from the corresponding  $U$ .

2)  $S =$  subject: 1 = math, 2 = reading

For all points based on distributions (all individual, school growth, opportunity to learn (OTL) and the growth in attendance, the baseline year is the 2010-2011 school year. This means that they form the basis for subsequent years, so that every school has a opportunity to improve and the it is not simply a yearly comparison of schools. For example, If we that in 2010-2011 the mean scale score is 38 (scale ranges from 0 to 80, and 40 is proficient). Then 38 is the score used to generate the t-statistic for each score in subsequent years. Likewise, if the mean New Mexico growth was 0 (which on a vertically moderated scale is equal to a year's worth of growth), then this would be the basis for subsequent comparisons. We anticipate resetting the basis for comparison 2014-2015 when we fully implement PARCC assessments.

**ATTACHEMENT 18: TURNAROUND PRINCIPLES, 2011**

## Turnaround Principles for Priority, Focus, Strategic Schools

	Priorities	Priority/Focus/Strategic Schools
<p>1. This school is a priority school on the list because of the following reasons:                      a. The school is in the bottom 10% of schools in the state.                      b. The school has a high percentage of students who are economically disadvantaged.                      c. The school has a high percentage of students who are in the bottom 10% of schools in the state.                      d. The school has a high percentage of students who are in the bottom 10% of schools in the state.</p>	<p>Provide Strong Leadership</p>	<ol style="list-style-type: none"> <li>1. New Mexico CLASS Self Assessment (district and school)</li> <li>2. Fixsen Implementation Rubric</li> <li>3. Curriculum &amp; Instructional Audit</li> <li>4. Principal in position for 2 years or less</li> <li>5. Principal understands change theory and clearly and effectively communicate the message of change</li> <li>6. Principal collects and acts on data from a variety of sources in a timely manner</li> <li>7. Principal able to evaluate the range of teacher skills and knowledge using reliable and valid tools</li> <li>8. Principal provides timely, clear, feedback to teachers</li> <li>9. Principal makes the evaluation process transparent</li> <li>10. Principal has authority to align resource allocation (money, time, human resources)</li> <li>11. Literacy Walkthroughs</li> <li>12. Math/Numeracy Walkthroughs</li> <li>13. Data Walkthroughs</li> <li>14. Leadership Standards and Rubrics for self-evaluation</li> </ol>
<p>2. This school is a priority school on the list because of the following reasons:                      a. The school is in the bottom 10% of schools in the state.                      b. The school has a high percentage of students who are economically disadvantaged.                      c. The school has a high percentage of students who are in the bottom 10% of schools in the state.                      d. The school has a high percentage of students who are in the bottom 10% of schools in the state.</p>	<p>Ensure that teachers are effective &amp; able to improve instruction</p>	<ol style="list-style-type: none"> <li>1. *See NM Teacher Effectiveness Taskforce recommendations</li> <li>2. Walkthroughs</li> <li>3. Professional Learning Communities</li> <li>4. Peer collaboration/observation</li> <li>5. Coaching</li> <li>6. Job Embedded Targeted Professional Development based on data</li> </ol>
<p>3. This school is a priority school on the list because of the following reasons:                      a. The school is in the bottom 10% of schools in the state.                      b. The school has a high percentage of students who are economically disadvantaged.                      c. The school has a high percentage of students who are in the bottom 10% of schools in the state.                      d. The school has a high percentage of students who are in the bottom 10% of schools in the state.</p>	<p>Redesign the school day, week, or year</p>	<ol style="list-style-type: none"> <li>1. Jump Start (literacy/numeracy focus)</li> <li>2. Extended Learning for Tier 2 students</li> <li>3. Allocated funds to support extended learning</li> </ol>

### Suggested Professional Development

1. NM School and District CLASS Self-Assessment (NMPED PSB)
2. Fixsen Implementation Rubric (NMPED PSB)
3. Curriculum & Instruction Audit (NMPED PSB)
5. Online professional development through IDEAL addressing systems, change theory, and leadership. *Perhaps connect with UNM, NMLL.*
6. Data Dialogue , Cause Analysis (NMPED PSB)

### Existing Tools

1. NM School and District CLASS Self-Assessment (NMPED PSB)
2. Fixsen Implementation Rubric (NMPED PSB)
3. Curriculum & Instruction Audit (NMPED PSB)
6. Data Dialogue, Cause Analysis (NMPED PSB)
11. Principal's Reading Walkthrough Grad Facilitators Guide/Participants Guide (Center on Instruction, RMC Research Adolescent Literacy Walk-Through for Principals A Guide for Instructional Leaders Center on Instruction (RMC Research Center on Instruction, RMC Research School Turnaround Leaders: competing for Success. (Public Impact for the Chicago Public Schools)
14. School Turnaround Leaders: competing for Success. (Public Impact for the Chicago Public Schools)

4. Instructional Coaching (Jim Knight)
5. Cognitive Coaching (Garmston), School Improvement Coaching (NMPED PSB)
6. Evaluating Professional Development (Thomas Garmston)

3. PLC Continuum: Learning as Our Fundamental Purpose (Part I & II)
4. Instructional Coaching (Jim Knight), 2+ (NMPED PSB)

1. NM K-Plus Professional Development Series
2. Response to Intervention (Solution Tree, NMPED PSB)

1. NM K-Plus Professional Development Series



## Turnaround Principles for Priority, Focus, Strategic Schools

<p>icipating ble high</p>		<p>time, including innovative partnerships 4. Zero hour for MS/HS 5. Saturday School</p>
<p>Strengthen the school's instructional program</p>		<ol style="list-style-type: none"> <li>1. Rigor, relevance, and vertical/horizontal alignment to Common Core Standards</li> <li>2. Instructional audit</li> <li>3. Curriculum Audit</li> <li>4. CSI (core, strategic, intensive) Maps for ELA/Reading and Math</li> <li>5. Tiered system of support based on data</li> <li>6. 90-120 minute literacy &amp; numeracy block</li> <li>7. Scientifically research-based instructional core program (literacy/math)</li> <li>8. Implementation fidelity to the core through walkthroughs</li> <li>9. Differentiated Instruction</li> <li>10. Sheltered Instruction</li> <li>11. Cultural Competence</li> <li>12. Response to Intervention</li> <li>13. Student Support Teams</li> <li>14. Literacy Walkthroughs</li> <li>15. Math/Numeracy Walkthroughs</li> <li>16. Data Walkthroughs</li> <li>17. Professional Learning Communities</li> <li>18. Quality Peer Reviews</li> <li>19. A Functional Approach to Writing (writing across the content area)</li> </ol>

### Suggested Professional Development

1. Common Core Standards
2. Instructional Audit
3. Curriculum Audit
4. CSI Maps: (Core, Strategic, Intensive)
6. 90 – 120 minute Literacy Block
7. What is a scientifically-based research-based program?
9. Differentiated Instruction (*Dr. Carol Ann Tomilson*)
10. Sheltered Instruction: Implementing the SIOP Model (*Echevarria, Vogt, Short*), *Biography Driven Culturally Responsive Teaching (Herrea)*
11. The Diversity Kit: An Introductory Resource for Social Change in Education (*Education Alliance: Brown University*)
12. Pyramid of Intervention (*Solution Tree*)
13. The Student Assistance Team and the Three-Tier Model of Student Intervention (*NMPED*)

### Existing Tools

2. Instructional Audit (*NMPED PSB*)
3. Curriculum Audit (*NMPED PSD*)
4. CSI Maps: (Core, Strategic, Intensive) *PSB*
5. 90 – 120 minute Literacy Block exam elementary, middle, and High School *PSB*
7. A Consumer's Guide to Analyzing a C Program Grades K-3: A Critical Element *University of Oregon*
8. Differentiated Instruction in the classroom (*NMPED PSB*)
10. Sheltered Instruction: Trainer of Trainers *PSB*
11. The Diversity Kit: An Introductory Resource for Social Change in Education (*Education Alliance: Brown University*)
12. The Student Assistance Team and the Model of Student Intervention (*NMPED*)
13. The Student Assistance Team and the Model of Student Intervention (*NMPED*)
14. Principal's Reading Walkthrough Grade Facilitators Guide/Participants Guide *Center on Instruction, RMC Research*  
*Adolescent Literacy Walk-Through for*

## Turnaround Principles for Priority, Focus, Strategic Schools

Use data to inform instruction	<ol style="list-style-type: none"> <li>1. A comprehensive data system to include, benchmark, progress monitoring, common formative, and summative tools aligned to curriculum practices driven by common core standards</li> <li>2. Universal Screening tool (standardized grades k-3 reading/math)</li> <li>3. Progress monitoring tools (standardized k-3 reading/math)</li> <li>4. Common Formative Assessments (4x per year)</li> <li>5. Data Classroom walkthrough</li> <li>6. Curriculum and Instruction Review (CIR)</li> <li>7. CSI (core, strategic, intensive) Map</li> <li>8. Fixsen Implementation Rubric</li> <li>9. Bi-Weekly Data PLCs</li> <li>10. Data Walls</li> <li>11. Student Data Folders</li> <li>12. AP, Dual Credit, PSAT, ACT</li> <li>13. Data-Driven Dialogue</li> <li>14. Cause Analysis</li> </ol>	Suggested Professional Development	Existing Tools
Establish a school environment that improves safety	<ol style="list-style-type: none"> <li>1. School Safety Plan</li> <li>2. Positive Behavior Supports</li> <li>3. Tough Kid Toolbox (Anti Bullying Curriculum)</li> <li>4. Effective Classroom Management practices</li> <li>5. School-wide system of support</li> <li>6. Social Emotional Learning curriculum</li> </ol>	<ol style="list-style-type: none"> <li>1. Positive Behavior Supports (NMPED SPED, Sprague.J. &amp; Horner, R.)</li> </ol>	<ol style="list-style-type: none"> <li>1. Positive Behavior Supports (NMPED SPED Trainer of Trainers (Region IX))</li> </ol>
Engage families and communities	<ol style="list-style-type: none"> <li>1. PRIC</li> <li>2. Innovate to Educate</li> <li>3. School based health centers</li> <li>4. Quality of Ed Survey</li> </ol>	<ol style="list-style-type: none"> <li>1. NM Family, Community &amp; Parent Involvement</li> </ol>	<ol style="list-style-type: none"> <li>1. Data Dialogue, Cause Analysis, CSI Maps (PSB), K-3 LEA Narrative Summary (K-3 Literacy Leadership Narrative Summary (NMPED PSB))</li> <li>2. CSI Maps (NMPED PSB)</li> <li>6. Curriculum and Instruction Review (CIR)</li> <li>7. CSI Maps (NMPED PSB)</li> </ol>
			<ol style="list-style-type: none"> <li>1. NM Family, Community &amp; Parent Involvement Toolkit</li> </ol>

**ATTACHMENT 19: DESCRIPTORS OF TURNAROUND SUPPORTS**

## **New Mexico Priority, Focus, & Strategic School Supports**

*Please note that the following are based on proposed professional development and technical assistance activities to support NM Priority and Focus School.*

*These range from activities and documents created within NMPED, to research-based resources from within the educational community.*

*Information is shared with schools through professional development off site through workshops and trainings, job-embedded professional development such as book study, PLCs, and coaching. NMPED PSB envisions utilizing technology to ensure high quality, systematic professional development is accessible to all through blogs, WebEx, Webinars, and online classes.*

## **New Mexico Class Self Assessment**

Collaboration, Leadership and Accountability for Student Success (CLASS) form the foundation of New Mexico's system of school and district improvement. Rubrics that define collaboration, leadership, and accountability for student success (CLASS) at the school and district levels form the centerpiece of this new system. The 2009-2010 School and District Improvement Framework was developed in recognition of our shared responsibilities and accountability for the success of all of New Mexico's children.

This framework, as referenced in the Standards of Excellence, actually includes two frameworks, one for districts and one for schools, both of which carry the power of rule. It is inclusive of how the NMPED works with schools and districts that are not meeting AYP, as defined in the federal No Child Left Behind (NCLB) law. It is a technical assistance document that outlines the roles and responsibilities of schools, districts, and the NMPED for improving the achievement of all students. This framework outlines: (1) the guiding principles of the system of support, how it was developed, and its core; (2) criteria for school and district improvement designations; (3) roles and responsibilities for schools, districts, and the NMPED in complying with NCLB and state requirements; and (4) guidelines for developing improvement plans.

The system was developed by a team of NMPED Priority Schools Bureau (PSB) staff and staff from the Southwest Comprehensive Center (SWCC), with input from representatives from districts and the educational organizations. State law and rule, the federal NCLB law and Non-Regulatory Guidance (NRG), as well as models from other states were considered in the development process. The development team also reviewed the research and best practices of high performing schools and districts.

### **American Institutes for Research. Toward More Effective School Districts: A Review of the Knowledge Base**

Summarizes and synthesizes more than 20 significant recent reports, studies, and policy statements regarding components of successful district reform; identify resources developed by other organizations that are intended to support district improvement; and provide suggestions regarding the application of our findings (AIR, 2008, p. 1).

### **District Improvement Research Abstracts**

**February 2008**

#### **RMC Research Corporation**

Southwest CC reviewed research on the topic of high-performing districts, defined as those that showed a pattern of high student achievement, including closing achievement gaps, and/or pronounced improvement in student achievement over several years. The review focuses on the individual studies or reviews or research on district in the United States that were published in 1995 or later. A priority was placed on obtaining reports of scientifically rigorous studies (randomized controlled trials or well-designed quasi-experimental studies). However, because the unit of analysis for this empirical area is large (school districts) and because district improvement strategies are naturally occurring processes rather than interventions administered under controlled conditions, the large majority of studies located were in-depth qualitative examinations of a single district or several districts (South West Comprehensive Center, 2008, p. 1).

## **Exploring the Pathway for Rapid District Improvement Center for Innovation & Improvement**

The purpose of this report is to describe a Framework for District Capacity Building and Improvement and, through the use of two illustrative case stories, explore how districts can engage in rapid and sustainable improvement efforts. The supporting research, our framework, and a corresponding set of rapid improvement indicators is provided here and in the following pages, followed by case stories of Burrton Public Schools (a rural district in central Kansas) and Kansas City, Kansas Public Schools, an urban district with over 19,000 students. Included in the report is a summary of issues for consideration by state officials and districts focused on creating the conditions necessary to catalyze rapid and sustainable district improvement (Lane, 2009, p. 5).

### **Works Cited**

- American Research Institute. (2005). *Toward more effective school districts: A Review of the Knowledge Base*. Reston, VA: School District Consulting Services®.
- Lane, B. (2009). *Exploring the pathway to rapid district improvement*. Lincoln, NE: Center on Innovation and Improvement.
- RMC Research Corporation. (2008). *District improvement research abstracts*. Phoenix, AZ: South West Comprehensive Center.
- Herman, R., Dawson, P., Dee, T., Greene, J., Maynard, R., Redding, S., and Darwin, M. (2008). *Turning Around Chronically Low-Performing Schools: A practice guide* (NCEE #2008-4020). Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education. Retrieved from <http://ies.ed.gov/ncee/wwc/publications/practiceguides>.

## **NM CLASS Instructional Audit Handbook**

The purpose of an instructional audit is to examine the systems put in place and supported by the school leadership that increase teacher effectiveness and enhance student learning through professional dialogue. It provides a tool by which an auditor or auditors can compile data for feedback to a school about the instructional practices that were observed during the school visitation.

In the publication, *The Promise of Response to Intervention: Evaluating Current Science and Practice*, Denton and Vaughn (2010) stated:

*“To ensure that provision of quality classroom instruction, administrators and teachers (1) adopt a published curriculum that has evidence of effectiveness from the converging research base in . . . instruction, (2) ensure that teachers have adequate training (an ongoing coaching, if possible) to implement the program with confidence and fidelity, and (3) monitor the effective implementation of the curriculum.” (p. 82)*

The instructional audit required of New Mexico schools that are in CA status is based on Criterion Two: Quality Teaching and Learning found in the New Mexico CLASS School Self-Assessment. The audit is built on the foundation laid out in the

CLASS document. The indicators, rubrics, and evidence sources identified in this document provide the framework for the actual audit (New Mexico Public Education Department, pp. 7-8, 2011).

### Works Cited

Denton, C. A., & Vaughn, S. (2010). Preventing and remediating reading difficulties: Perspectives from research. In T. A. Glover & S. Vaughn (Eds.), *The promise of response to intervention: Evaluating current science and practice* (pp. 78–112). New York: Guilford Press. (ERIC Document Reproduction Service No. ED509983)

New Mexico Public Education Department: Priority Schools Bureau, Southwest Comprehensive Center, Center on Instruction and RMC Research Corporation (2001) *NM CLASS instructional audit handbook*. RMC Research Corporation, Portsmouth, NH (*in press*)

### NM CLASS Curriculum Audit Handbook

The curriculum audits required of New Mexico school districts in CA status reflect commonly accepted audit standards developed by English, which are based on generally accepted concepts from the effective schools research. Since 1979, English (1988, pp. 33-34) and others have used the following standards to guide curriculum auditing:

1. The school district is able to demonstrate its control of resources, programs, and personnel. There is a clear “chain of command” that establishes the governing board as the policy-making body, with an administrative structure that is led by a superintendent and is responsible for carrying out board policies effectively.
2. The school district has established clear and valid objectives for students. With general direction from the board, the district administration communicates clear expectations for what students should know and be able to do in each grade and subject and holds personnel accountable for ensuring that all students meet these expectations.
3. The school district has documentation explaining how programs have been developed, implemented, and conducted. District administration clearly describes, verbally and in writing, how programs have evolved and how they are delivered.
4. The school district uses results from district designed or adopted instruments to adjust, improve, or terminate ineffective practices. The district ensures that assessment data are readily accessible to teachers and principals and that these personnel have the skills to analyze data to inform and adjust instruction.
5. The school district has been able to improve productivity. The bottom line, according to English, is the answer to the following question: “Are we getting better results?”

These standards and the protocols that follow form the foundation of the New Mexico Curriculum Audit (New Mexico Public Education Department, pp. 8-9, 2011).

### Works Cited

English, F. W. (1988). *Curriculum auditing*. Lancaster, PA: Technomic. (ERIC Document Reproduction Service No. ED302912)

New Mexico Public Education Department: Priority Schools Bureau, Southwest Comprehensive Center, Policy Center at WestEd, Center on Instruction, and RMC Research Corporation (2001) *NM CLASS curriculum audit handbook*. RMC Research Corporation, Portsmouth, NH (*in press*).

## **Fixsen Implementation Drivers and Rubric of Implementation**

This monograph summarizes findings from the review of the research literature on implementation. The review process began by identifying literature reporting any efforts to collect data on attempts to implement practices or programs in any domain, including agriculture, business, child welfare, engineering, health, juvenile justice, manufacturing, medicine, mental health, nursing and social services. Nearly 2,000 citations were found, 1,054 met the criteria for inclusion in the review, and 743 remained after a full text review. There were 377 out of 743 citations deemed to be most relevant and 22 studies that employed an experimental analysis of implementation factors (Fixsen, et.al. 2005, p. IV).

## **Works Cited**

Fixsen, D. L., Naoom, S. F., Blase, K. A., Friedman, R. M. & Wallace, F. (2005).

*Implementation Research: A synthesis of the literature*. Tampa, FL: University of South Florida, Louis de la Parte Florida Mental Health Institute, The National Implementation Research Network (FMHI Publication #231).

Fixsen, D. N. (2007, Winter/Spring). *Implementation: the missing link between research and practice*. American Professional Society on the Abuse of Children, pp. 4-10.

## **Data Dialogue**

Beginning in 2003, the Using Data Project, collaboration between TERC and WestEd, set out to develop, pilot, and field-test a program to provide educators with the skills, knowledge, and dispositions to put school data to work to improve teaching and learning and close achievement gaps.

The project conducted two national field tests. While our efforts focused on mathematics and science improvement, the schools quickly applied the Using Data Process to all other content areas. Field-testers gave us immediate feedback on the materials and, in several cases, took the materials and implemented them in schools in which they were working in Los Angeles, California; Colorado Springs, Colorado; and Johnson County, Tennessee. Funded by the National Science Foundation, the Using Data Project got teachers involved in rigorous data analysis and reflective dialogue to improve how math and science are taught and learned and to close achievement gaps (Love, Stiles, Mundry, and DiRanna, 2008).

Data-Drive Dialogue (Wellman & Lipton, 2004) is a structured process that enables a Data Team to explore predictions, go visual, make observations, and generate inferences and questions of the data before offering solutions. Data-Drive-Dialogue involves four phases: 1.) predict: what the data will indicate, 2.) go visual: by making a chart or graph of the data, 3.) observe: what the data indicate, and 4.) Infer: why the data are what they are and identify questions that might require further investigation



### Works Cited

Love, N., Stilles, K., Mundry, S., and DiRanna, K. (2008). *A data coach's guide to improving learning for all students*. Thousand Oaks, CA: Corwin Press.

Wellman, B, and Lipton, L. (2009). *Data-driven dialogue: a facilitators guide to collaborative inquiry*. Mira Via, Sherman, CT.

### Instructional Coaching

Instructional coaches adopting the approach developed at the University of Kansas Center for Research on Learning taking a partnership approach, respecting teachers' professionalism and focusing their efforts on conversations that lead to creative, practical application of research-based practices.

### Studying the Impact of Instructional Coaching. Manuscript. University of Kansas Center of Research on Teaching. (2009)

More than 250 publications describing research on coaching were studied. Based primarily on practitioner experiences this extensive literature review provided many recommendations for best practices for a variety of coaching approaches, but offered little empirical evidence from rigorous studies to support their recommendations (Cornett & Knight, 2008).

The study took place in classrooms in six middle and two high schools in an urban school district with an ethnically diverse student population of approximately 14,000 in the Midwestern United States. Classrooms served students inclusively, meaning that students with and without disabilities were educated in the same classroom. The average percent of students eligible for free and reduced priced lunch across the eight secondary schools in this study was 68.2%, ranging from 53% to 87.8%.

Fifty-one teachers were recruited to participate in this study. Teachers had to meet two criteria: 1) they could not have used the Unit Organizer or 2) attended a professional development session on the Unit Organizer in the past three years (Cornett & Knight, 2008).

### Works Cited

Knight, J. (2007). *Instructional coaching: a partnership approach to improving Instruction*. Thousand Oaks, CA: Corwin Press.

Knight, Jim, and J. Cornett (2009). *Studying the impact of instructional coaching*. Manuscript. University of Kansas Center of Research on Teaching.

Cornett, J., Ellison, J., Hayes, C., Killion, J., Kise, J.A.G, Knight, J., Reinke, W.M., Sprick, R., Toll, C., and West, L. (2009). *Coaching: approaches & perspectives*. Thousand Oaks, CA: Corwin Press.

## Evaluating Professional Development

Professional development should be a purposeful endeavor. Through evaluation, you can determine whether these activities are achieving their purposes (Guskey, 2002). In his book, *Evaluating Professional Development*, Guskey identifies five critical levels of information that require collection. With each succeeding level, the process of gathering information becomes more complex, due to each level building on those that came before hand. Success at one level is usually necessary for success at a higher level.

Guskey, T. R. (1999). *Evaluating professional development*. Thousand Oaks, CA. Corwin Press

Guskey, Thomas R. "Does it make a difference? Evaluating professional development." *Educational Leadership* v. 59, no. 6 (Mar. 2002) p. 45–51.

Guskey, T. R. (2002). *Does it make a difference? Evaluating professional development*. *Educational Leadership*, pp 45-51.

## Leading With Diversity: Cultural Competencies for Teacher Preparation and Professional Development

As the student population in schools becomes increasingly diverse, many teachers need professional development to build cultural competencies, the skills and awareness related to issues such as culture, language, race, and ethnicity. This book draws together in one place the research and practical knowledge about cultural competencies that teachers need in order to work with students from diverse cultural and linguistic backgrounds (Trumbull and Pacheco, 2005).

### Works Cited

Trumbull, E., and Pacheco, M. (2005). *Leading with diversity: Cultural competencies for teacher preparation and professional development*. The Education Alliance at Brown University. Providence, RI

Trumbull, E. a. (2011). *RIDE.ri.gov: Recruiting minority teachers: Cultural competence*. Retrieved November 6, 2011, from The Education Alliance Brown University: [http://www.alliance.brown.edu/recruit/admin\\_cultural.php](http://www.alliance.brown.edu/recruit/admin_cultural.php)

## Sheltered Instruction

In 1999 the Sheltered Instruction Observation Protocol (SIOP) was developed following intensive observation of sheltered English teaching across the United States (Echevarria, Vogt, and Short, 2004). The SIOP Observation Protocol provides teachers with a model of sheltered instruction designed to enhance teachers' practice. The SIOP may be used to enhance other initiatives supporting ELLs or all students. It has become the basis of professional development efforts for teachers of ELLs across the United States (Short & Echevarria, 2010).

## Works Cited

Short, D.J., and Echevarria, J. (1999) *The sheltered instruction observation protocol: A tool for teacher-researcher collaboration and professional development*. Center for Research on Education, Diversity & Excellence, University of California, Santa Cruz, CA.

## School Turnaround

### The School Turnaround Collection from Public Impact

The four resources in the *Competencies for Turnaround Success Series* are designed to help district officials identify and hire the right leaders and teachers for this demanding role. These resources clarify the most critical competencies—or patterns of thinking, feeling, speaking, and acting—that enable people to be successful in attempts to transform schools from failure to excellence quickly and dramatically.

The series includes two guides that describe the most critical turnaround competencies. The leader guide provides competency definitions, school examples, and detailed levels of increasingly effective competence. The teacher version provides competency definitions and school examples only (Public Impact).

### IES Practice Guide Turning Around Chronically Low Performing Schools

The goal of this practice guide is to formulate specific and coherent evidence-based recommendations for use by educators aiming to quickly and dramatically improve student achievement in low-performing schools Herman, R., Dawson, P., Dee, T., Greene, J., Maynard, R., Redding, S., and Darwin, M., 2008, p.1).

## Works Cited

Herman, R., Dawson, P., Dee, T., Greene, J., Maynard, R., Redding, S., and Darwin, M. (2008). *Turning around chronically low-performing schools: A practice guide* (NCEE #2008-4020). Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education. Retrieved from <http://ies.ed.gov/ncee/wwc/publications/practiceguides>

Public Impact for the Chicago Education Fund. (2008). *School turnaround leaders: Competencies for success*. Chicago: Public Impact.

Public Impact for the Chicago Education Fund. (2008). *School turnaround teachers: Competencies for success*. Chicago: Public Impact.

Public Impact for the Chicago Education Fund. (2008). *School turnaround leaders: Selection toolkit*. Chicago: Public Impact.

Public Impact for the Chicago Education Fund. (2008). *School turnaround teachers: Selection toolkit*. Chicago: Public Impact.

## **Principal’s Reading Walk-Through: Kindergarten – Grade 3**

The Principal’s Reading Walk-Through: Kindergarten–grade 3, facilitator’s guide and the Principal’s Reading walk-Through: Kindergarten–grade 3, participant guide were created for the Center on Instruction by the Florida Center for Reading Research at Florida State University. The Center on Instruction is operated by RMC Research Corporation in partnership with the Florida Center for Reading Research at Florida State University; Instructional Research Group; the Texas Institute for Measurement, Evaluation, and Statistics at the University of Houston; and The Meadows Center for Preventing Educational Risk at the University of Texas at Austin. The contents of this document were developed under cooperative agreement S283B050034 with the U.S. Department of Education.

### **Works Cited**

Tanner-Smith, T., Jordan, G., Kosanovich, M., & Weinstein, C. (2009). *Principal’s reading walk-through: Kindergarten–grade 3. Facilitator’s guide*. Portsmouth, NH: RMC Research Corporation, Center on Instruction.

Tanner-Smith, T., Jordan, G., Kosanovich, M., & Weinstein, C. (2009). *Principal’s reading walk-through: Kindergarten–grade 3. Participant’s guide*. Portsmouth, NH: RMC Research Corporation, Center on Instruction.

## **Adolescent Literacy Walk-Through for Principals A Guide for Instructional Leaders**

The purpose of this Adolescent Literacy Walk-Through for Principals (ALWP) is to help principals monitor and support adolescent literacy instruction in their schools more effectively. To meet the goals of improving adolescent literacy in grades four through twelve, principals must be familiar with what literacy instruction should include and how to assess the quality of classroom literacy instruction quickly and effectively. The ALWP can be used to build a secondary school leader’s literacy knowledge and to provide guidelines for structuring school wide professional development (Rissman, Miller & Torgesen, p. 2, 2009).

### **Works Cited**

Rissman, L. M., Miller, D. H., & Torgesen, J. K. (2009). *Adolescent literacy walk-through for principals: A guide for instructional leaders*. Portsmouth, NH: RMC Research Corporation, Center on Instruction.

## **A Consumer’s Guide to Analyzing a Core Reading Program: Grades K-3: A Critical Elements Analysis**

A converging body of scientific evidence is available and accessible to guide the development of primary-grade reading programs. We know from research the critical skills and strategies that children must acquire in order to become successful readers by grade 3 (National Reading Panel, 2000, National Research Council, 1998; NICHD, 1996, Simmons & Kame’enui, 1998). Criteria for reviewing critical elements of reading organized by grade are specified in the Consumer’s Guide to Evaluating a Core Reading Program Grades K - 3: A Critical Elements Analysis (Simmons & Kame’enui, 2006)

### **Works Cited**

Simmons, D. C., and Kame'enui, E. J., (2006) *A consumer's guide to analyzing a core reading program grades K-3: a critical elements analysis*. Center for Teaching and Learning, College of Education, University of Oregon. Eugene, OR.

National Institute of Child Health and Human Development. (2000). *Report of the National Reading Panel. Teaching children to read: An evidence-based assessment of the scientific research literature on reading and its implications for reading instruction* (NIH Publication No. 00-4769). Washington, DC: U.S. Government Printing Office.

National Research Council (1998). *Preventing reading difficulties in young children*. Washington, DC: National Academy Press.

Smith S. B., Simmons, D. C., & Kame'enui, E. J. (1998). Phonological awareness: Research bases. In D. C. Simmons & E. J. Kame'enui (eds.), *What reading research tells us about children with diverse learning needs: Bases and basics*. Mahwah, NJ: Lawrence Erlbaum Associates.

### **Differentiated Instruction**

The idea of differentiating instruction to accommodate the different ways that students learn involves a hefty dose of common sense, as well as sturdy support in the theory and research of education (Tomlinson & Allan, 2000). Differentiation of instruction is an approach to teaching that advocates active planning for and attention to student differences in classrooms, in the context of high quality curriculums. In an annotated bibliography compiled by Cindy A. Strickland and Carol Ann Tomlinson both theory that informs differentiation and research that supports differentiation are (Strickland & Tomlinson, 2009)

### **Works Cited**

Tomlinson, C. & Allan, S. D. (2000) *Leadership for differentiating schools and classrooms*. Association for Supervision & Curriculum Development. Alexandria, VA

Strickland, C., & Tomlinson, C. A. (2009). *Differentiation Central: Resources*. Retrieved November 07, 2011, from Differentiation Central: <http://differentiationcentral.com/resources.html>

### **Response to Intervention**

Rigorous implementation of RTI includes a combination of high quality, culturally and linguistically responsive instruction; assessment; and evidence-based intervention. Comprehensive RTI implementation will contribute to more meaningful identification of learning and behavioral problems improve instructional quality, provide all students with the best opportunities to succeed in school, and assist with the identification of learning disabilities and other disabilities.

### **Response to Intervention: Research for Practice**

This annotated bibliography, published by the National Association of State Directors of Special Education (NASDSE), is a compilation of research about RTI. The authors Amy-Jane Griffiths, Lorien B. Parson, Matthew K. Burns, Amanda VanDerHeyden, and W. David Tilly identified seminal articles for each topic presented in the publication.

The topics progress from problems concerning traditional LD diagnostic approaches, to RTI service delivery, implementation and assessment, and conclude with areas of concern regarding RTI. A glossary of terminology is also included (Griffiths, Parson, Burns, VanDerHeyden, & Tilly, 2007).

### **Works Cited**

Griffiths, A.J.; Parson, L.B.; Burns, M.K.; VanDerHeyden, A.; Tilly, W. D. (2007) Response to intervention: Research for practice. National Association of State Directors of Special Education, Inc. Alexandria, VA.

### **Positive Behavioral Interventions & Supports**

Improving student academic and behavior outcomes is about ensuring all students have access to the most effective and accurately implemented instructional and behavioral practices and interventions possible. SWPBS provides an operational framework for achieving these outcomes. More importantly, SWPBS is NOT a curriculum, intervention, or practice, but IS a decision making framework that guides selection, integration, and implementation of the best evidence-based academic and behavioral practices for improving important academic and behavior outcomes for all students (PBIS.org, 2011).

This research summary information as to the current evidence assessing SWPBS, the citations defining the context content for SWPBS, the current status of evidence for each of the three tiers of the SWPBS approach (Primary Prevention, Secondary Prevention, Tertiary Prevention), and a summary of current and expected directions (Horner & Sugai, 2009).

### **Works Cited**

Horner, R., & Sugai, G. (2009, March). *Positive Behavioral Interventions and Supports: Reserach*. Retrieved November 7, 2011, from Positive Behavioral Interventions and Supports: <http://www.pbis.org/research/default.aspx>

### **Working Together: School, Family, & Community Partnerships**

#### ***A Toolkit for New Mexico School Communities***

The Toolkit is designed to provide educators with tools and resources for strengthening partnerships between schools and diverse families and communities. The six modules of the Toolkit are designed to help align systemic school, family, and community involvement efforts to characteristics and practices that are common to effective programs.

The Toolkit is based on six areas included in the National PTA Standards and the National Network of Partnership Schools.

**Works Cited**

New Mexico Public Education Department. (2006). *New Mexico Public Department of Education: Resources for Families, Parents, and Community*. Retrieved November 7, 2011, from New Mexico Public Department of Education: <http://www.ped.state.nm.us/Parents/familyToolkit.html>

**ATTACHMENT 20: AIR TOWARD MORE EFFECTIVE SCHOOL DISTRICTS**



**Toward More Effective School Districts:  
A Review of the Knowledge Base**

American Institutes for Research (AIR)

*AIR's School District Consulting Services*<sup>®</sup>

May 2005

*Contributors*

Don Dailey, Steve Fleischman, Libi Gil,  
Deb Holtzman, Jennifer O'Day, and Cory Vosmer

## Contents

---

Background .....	1–2
Methodology .....	2
Synthesis of Findings on Components of Successful Districts.....	2–7
Limitations of the Literature .....	7–9
Helping Districts Move Toward Greater Effectiveness.....	9–10
Conclusion .....	10
Reference Key.....	11–12
Annotated Bibliography.....	13–22

## Background

---

### Districts as a Key Player in Raising Student Achievement

*What does it take to achieve high-performing school districts, particularly ones serving low-income children?* Until recently, surprisingly few researchers or policymakers had focused on this question. In the past, district leaders such as school board members, superintendents, and central office administrators were often dismissed as barriers to sustained school improvement—not as some of its key agents. Fortunately, this negative image and lack of attention has been remedied in the past few years as researchers and national education organizations have produced new explanations and evidence regarding the components that allow school districts to play a positive role in raising student achievement on a wide scale.

Leading national organizations, research firms, individual researchers, technical assistance providers, and others have begun to identify the elements that contribute to district effectiveness. Researchers and experienced district leaders have published guidance in this area. In addition, new organizations—including major foundations—have begun or expanded efforts to support district improvement. Most encouragingly, recent evidence suggests that large urban districts can improve. How they do so is the subject of this paper.

In this paper, the American Institutes for Research (AIR) presents a review of the literature on district effectiveness, which we conducted as part of our efforts to support high-poverty, low-performing districts in significantly raising student achievement and improving other important outcomes (e.g., increased student engagement, improved attendance, and lowered dropout rates). This knowledge has been incorporated into the approach to district improvement taken by AIR's *School District Consulting Services*<sup>®</sup>—our organization's recently launched effort to apply our research, technical assistance, and communications capacity to support significant and sustained growth of achievement in high-poverty, underperforming districts.

We provide preliminary answers to the question: *What does the research and public policy literature suggest about (a) the components of high-performing, high-poverty school districts and (b) the strategies that help districts move toward effectiveness?* In the sections that follow, we summarize and synthesize more than 20 significant recent reports, studies, and policy statements regarding components of successful district reform; identify resources developed by other organizations that are intended to support district improvement; and provide suggestions regarding the application of our findings.

Although the research base on the components and processes for achieving higher performance in high-poverty districts is growing, it is still quite limited. Therefore, the following “findings” and observations should be considered tentative. Many questions remain to be answered regarding which of the components identified in the following pages are the critical ones, how to sequence the implementation of these critical elements, and how to achieve the enabling conditions (political consensus and will, organizational capacity, structural reforms, etc.) necessary for sustained district-level improvement. Nevertheless, we believe that this paper establishes the empirical basis for the development and delivery of effective, “research-based”

services by AIR's *School District Consulting Services*<sup>®</sup> and by other organizations working to support this goal.

## **Methodology**

We began by preparing a bibliography of potential sources of guidance on district effectiveness (judged on the basis of raising student achievement for high-poverty students or closing achievement gaps), based on the input of experts internal and external to AIR. We then highlighted which of the sources seemed to be most relevant in addressing our research question and prioritized the examination of these sources. The bibliography continued to evolve throughout the entire review process.

Samples from several different bodies of published and unpublished literature are included in this review, including academic research, advocacy statements by leading national organizations, and public policy papers. Some of our sources reported results from a single study, whereas others were literature reviews or syntheses of multiple studies and “accumulated professional wisdom.” We concentrated our efforts on newer studies/documents that were not included in the existing reviews. For older sources, we relied on secondary report through the existing reviews, rather than direct review of these sources ourselves.

We then distilled a list of “components of district effectiveness” as identified by each reviewed source. The common themes we identified across all sources are summarized in the next section. Our summary is largely descriptive, in the sense that we do not question the findings of individual studies or reports. However, in a later section we identify some of the limitations of the reviewed literature. A final section identifies some existing resources for helping districts move toward effectiveness.

## **Synthesis of Findings on Components of Successful Districts**

Although the sources were not entirely congruent in their findings about the components of effective districts, a surprisingly high degree of consensus—and virtually no contradictions—were found. The significant commonalities are described below. It is important to note, however, that not every source identified each element discussed below. Moreover, some sources identified some elements not included here. Our intent was to distill common themes, not to provide an extensive list of every component mentioned by any source.

### **Primary Themes**

This section presents the “primary” themes regarding high-performing, high-poverty districts that emerged most prominently from the literature.

#### **1. Successful districts focus first and foremost on student achievement and learning.**

- a. *(Re)define the district role to focus on student achievement and student learning.*  
Findings from several sources indicate that in order for districts to successfully raise student achievement, they must make improving achievement their top, or even their

sole, focus. They cannot allow themselves to be distracted by the types of bureaucratic functions that have normally been the chief concern of district operations. District leaders (including the superintendent and the school board) should establish a vision of improved achievement, promulgate this vision throughout the district and among all stakeholders, and then set out to make the improvement of achievement—through the improvement of teaching and learning—their main mission (Baldrige, LFA, M&T, SDH, CDC, Elmore). Some sources observe that this focus on student achievement is grounded in high expectations and clear academic goals for all students and a genuine belief that all students can learn (AFT, Baldrige, SCTW, CDC, MIE, TW, Gates).

- b. *All leadership is instructional leadership.* Just as the district itself needs to redefine its role and mission in terms of improving instruction and achievement, so do the leaders within the district—at both district and school levels—need to define their own personal roles in terms of improving instruction. Several studies indicate that, in effect, all leadership must become instructional leadership; the improvement of instruction (and thereby of learning and achievement) needs to become the defining feature of leadership roles within the district (J/P, NAS, NCEA, Elmore, O’Day & Bitter). The New American Schools (NAS) framework further refines the leadership role to include “establishing distributive leadership models; leading and sustaining organizational change; and aligning the strategy, structures, and systems of an organization around its core mission.”

## **2. Successful districts have a theory of action for how to effect improvements, and they establish clear goals.**

- a. *Develop a theory of action.* According to some sources, once district leaders have set the improvement of student achievement as their top priority, they need to develop a theory of action for how to turn their vision into reality. One author, for example, describes how District 2 in New York City formulated an explicit theory of how teachers learn to teach differently (Elmore).
- b. *Establish clear goals.* Once the theory of action has been developed, it needs to be translated into specific steps. Numerous studies emphasize the importance of establishing clear and specific goals with measurable indicators and possibly a timeline for implementation and success (D&S, Ed Trust, J/P, LFA, SDH, MIE).

## **3. Successful districts enact comprehensive, coherent reform policies.**

- a. *Focus on systemwide, comprehensive, coherent long-term change.* Several studies recommend that districts take a comprehensive, coherent approach to reform in which administrative structures are aligned with district goals (D&S, LFA, M&T, SDH, MIE). The system as a whole should be viewed as the unit of change (M&T), and multiple, coherent strategies should be put in place to support any given goal (CDC). Different aspects of the reform strategy should be aligned with one another and should be mutually supportive. Moreover, some studies recommend that districts commit to sustaining reform over the long haul (Baldrige, LFA, NAS).

However, this does not necessarily mean that districts must try to do everything all at once with everyone. For example, some studies encourage an initial focus on improving performance at the lowest-performing schools (O’Day & Bitter, SDH).

**4. Educators in successful districts accept personal responsibility for improving student learning and receive support to help them succeed.**

- a. *Ensure increased support in exchange for increased responsibility.* Some studies stress the importance of educators at all levels being willing to accept responsibility for the improvement of student learning. Districts should assume responsibility for the success of all district schools (O’Day & Bitter), and teachers should accept responsibility for the success of all of their students (CDC, Elmore). A precursor to the acceptance of this responsibility is a genuine belief that all students can succeed and a refusal to make excuses for low performance (CDC, Elmore). One framework reinforces that districts need to *honestly* and *accurately* acknowledge student performance through public accountability data, but also must be honest (“on the record”) about systemic deficiencies (NAS).

In exchange for this increased personal responsibility, educators must receive additional support (such as opportunities to improve their knowledge, skills, and capacity) to enable their success. (This will be discussed further below.)

A related theme is that of accountability. Some of the studies found that an environment of strong accountability—sometimes provided by the state, sometimes provided or supplemented by the district—seemed to be associated with district success (CDC, SDH).

**5. Successful districts are committed to professional learning at all levels and provide multiple, meaningful learning opportunities.**

- a. *Provide coherent learning opportunities for educators.* Just as successful districts foster the belief that all children can learn, they also promote the belief that all adults—including everyone working in the system—can learn and provide opportunities for such learning to occur (Baldrige, M&T, Elmore, NAS, MIE). Indeed, the provision of consistent, continuing, high-quality professional development is a key task for the district, although much effective professional development may occur at school sites (in the form of coaching, teacher professional collaboration, etc.). New models of professional development and a variety of professional development approaches may be needed (LFA, DD), including the promulgation of collaborative teaching approaches (TW). One source noted that districts should invest at least 5% of their resources in “adult learning and leadership development” (Gates).

Principals also receive meaningful learning opportunities through networks, mentorships, and professional development of their own to support their capacity as instructional leaders. In several studies, the principal was described as the “linchpin” of reform, embodying the instructional vision and focus of the district through instructional leadership for teachers (J/P, M&T, LFA).

One source notes the importance of the organization itself maintaining an inquiry approach to instructional improvement that is grounded on continuous improvement processes (NAS).

## **6. Successful districts use data to guide improvement strategies.**

- a. *Emphasize data collection and data-based decisionmaking.* Nearly every study mentioned the collection and use of data as a key strategy within successful districts. In fact, this was probably the single most frequently cited element of district success, although specific approaches were seldom provided. Sources recommended the development and maintenance of systems to constructively monitor the performance of not only students, but also classrooms, schools, the district as a whole, and community partners (SCTW, M&T). The NAS framework further stresses that data should be collected from multiple sectors, both internal and external to the organization, and the term “data” should not refer solely to test data. Moreover, NAS argues that data should not be used to validate district actions, but to challenge assumptions and provide a tool for reflection.

Data are disaggregated by student subgroup to promote equity-driven planning and decisionmaking (M&T, CDC, NCEA, Baldrige). Some sources (LFA, Baldrige, M&T) focused on how districts made data usable, useful, and/or safe (free from blame). In some districts, master teachers/coaches play a large role in analyzing data and disseminating results to teachers (J/P, LFA). One source emphasized that data are optimally used to “proactively identify and serve students” who are falling behind (MIE).

## **7. Successful districts regularly monitor progress and intervene if necessary.**

- a. *Planning is not enough; progress monitoring is needed.* The best plan in the world is meaningless if it is never implemented. Some studies recommend that districts assist schools with implementation of plans and monitor their progress (O’Day & Bitter).
- b. *Where progress is evident, schools should be recognized; where progress is found to be limited, adjustments or interventions may be necessary* (J/P, Baldrige, SCTW, NCEA, Gates). In addition, districts and schools should seek continuous improvement and refinement of reform attempts. Although successes should be celebrated, complacency should never set in, as there is always room for further improvement (CDC).

## **Secondary Themes**

The following components of effective districts were mentioned by multiple sources, but were not as prominent as those highlighted above (because they either were mentioned by fewer studies or received generally less emphasis).

- 8. Partnerships/stakeholder involvement.** Some authors suggest that partnerships (for example, with organizations outside the district) and involvement of multiple stakeholders

may be components in district attempts to reform. Some studies indicate that the existence of such relationships is critical whereas others suggest that such relationships may be useful but not necessarily essential. The NAS framework describes that a school or district can help create a positive community climate by actively regarding itself as a part of the community and identifying and engaging potential stakeholders. The Gates attributes note that “parents are recognized as the first teachers.”

- 9. District–school collaboration/shared responsibility and autonomy.** Some authors highlight the importance of different levels of the system (especially districts and schools) working together to “co-construct” reform (D&S). Similarly, some research identifies the need for a “balance” between central authority and school autonomy (Marsh). However, other studies not only omit mention of such balance, but imply a rather stronger role for the district. For instance, one recommends districtwide adoption of a specific curriculum to promote instructional coherence (SDH). The National Center for Educational Accountability’s (NCEA’s) Texas Study offers a possible reconciliation of these views, advocating increased autonomy for schools displaying high performance.
- 10. Resource acquisition and allocation.** A few studies cited the need for consideration of matters of resources (not only financial resources, but also resources such as time and materials). Equitable resource allocation (for example, targeting more resources to more economically disadvantaged schools) was also mentioned by some of the sources (Ed Trust, SCTW). The Mass Insight Education (MIE) benchmarks describe that a district’s improvement goals should be reflected in the way that it secures and allocates money, time, and staff.
- 11. Customized/tailored support for schools.** Finally, some studies suggested that districts tailor their efforts to assist schools to the particular needs and context of each school (M&T, SCTW, Elmore).



## SUMMARY OF DISTRICT IMPROVEMENT THEMES

### Primary Themes

*Successful districts:*

- Focus first and foremost on student achievement and learning
- Have a theory of action for how to effect improvements and establish clear goals
- Commit to professional learning at all levels and provide multiple, meaningful learning opportunities
- Use data to guide improvement strategies
- Enact comprehensive, coherent reform policies
- Have educators who accept personal responsibility for improving student learning and receive support to help them succeed
- Monitor progress regularly and intervene if necessary

### Secondary Themes

*Successful districts focus attention on:*

- Partnerships/stakeholder involvement
- Resource acquisition and allocation
- District–school collaboration/shared responsibility and autonomy
- Customized/tailored support for schools

## Limitations of the Literature

As noted above, the literature on effective districts displays a remarkable degree of consensus about the components of effective districts. However, several limitations of the literature that bear on both the validity and the applicability of the findings must be acknowledged. In addition, it should be noted that while these sources often employ an explicit or implicit “theory of action,” they rarely test the theory empirically.

## Validity

In terms of validity, it is important to note the methodology employed by many of the studies. In particular, most of them began by identifying effective districts (for example, in high-poverty districts with notably high achievement gains) and then attempted to retrospectively determine what factors had been responsible for the observed success. This approach is methodologically limited in several respects:

- First, it employs a technique known as “sampling on the dependent variable”—that is, the selection of districts to study is based on the outcome variable of interest: district success. The problem with this is the possibility that *other* districts may have been using (or attempting) the same strategies, but experiencing less success.<sup>1</sup> If so, then perhaps the success of identified districts was attributable to other hidden factors, such as strategies other than those identified or underlying factors that enabled the identified strategies to be more effective.
- Next, the retrospective determination of factors contributing to success—often identified through after-the-fact interviews with district personnel—may not be entirely reliable. Memory can be selective and is no substitute for direct, in-the-moment observation or a pre-established process for testing theory.
- In addition, most of the studies were qualitative case studies of small numbers of districts. The extent to which the findings can be generalized to other districts—districts that may be quite different from the studied districts with regards to key variables—may be limited.
- Finally, several of the studies defined district “success” on the sole basis of achievement data from state tests. Scores on state tests (particularly those with high stakes attached) may be subject to growth resulting from manipulation of the testing pool and other strategies that would generally not be considered as promoting genuine increases in student learning.<sup>2</sup> Thus, the extent to which the “successful” districts really were genuinely successful may be open to question.<sup>3</sup>

## Applicability

The findings from the literature may also be somewhat limited in their applicability. As can be seen from the synthesis above, the literature is long on broad principles and themes and short on concrete practices. There is certainly no step-by-step “road map” to success, since districts must view the broad principles and then figure out how to put them into practice in ways that make sense in their own contexts. Needless to say, there is no guarantee of success.

---

<sup>1</sup> To their credit, a couple of the studies (e.g., SDH) did include comparison districts and attempted to determine what factors separated the successful districts from the comparison districts.

<sup>2</sup> To their credit, some studies (e.g., CDC) used multiple indicators in identifying “successful” districts.

<sup>3</sup> At the state level, a case in point is Texas, which many have touted as showing tremendous gains in achievement over the past decade. However, some researchers have called into question the genuineness of Texas’ apparent success.

The process of translating principles to a successful strategy that sequences and prioritizes actions is difficult. Although some of the studies noted that effective districts tailor their efforts to assist schools to the particular needs of each *school* (M&T, SCTW, Elmore), the literature does not explicitly consider the differing conditions and contexts across *districts* that need to be addressed in the district improvement process. Perhaps a next step is to move beyond the identification of broad, common principles and to begin to look at how districts *adapt* the principles to their own unique circumstances.

In addition, some of the effectiveness components identified in the literature might be considered to be *preconditions* or *underlying supports* for success. Missing is guidance on how to put these preconditions or supports in place or what to do if they are absent. For example, if they do not already exist, superintendents and school boards need to know *how* to put in place reputed elements of effective performance such as “high expectations for all students,” “a commitment to professional learning,” and/or “acceptance of personal responsibility for student success.”

Certainly the literature’s identification of common themes of district effectiveness is an important first step, and the high degree of consensus across multiple studies warrants at least preliminary consideration of these themes. However, much work remains to be done in determining how, specifically, to support any given district in its attempt to become more effective.

## Helping Districts Move Toward Greater Effectiveness

Although some of the studies indicated that the presence of external strategic partnerships may help districts to be more effective, we were not able to identify any research literature studying *how* external organizations can best support districts in their attempts to increase effectiveness. However, we did identify sample resources and tools that various organizations have developed to help districts, such as:

- *School Communities that Work for Results and Equity: A Portfolio for District Redesign*. This portfolio, developed by the Annenberg Institute for School Reform’s National Task Force on the Future of Urban Districts, offers “concrete and innovative recommendations for improving urban education systems, especially school districts.” (See [http://www.annenberginstitute.org/publications/sctw\\_portfolio.html](http://www.annenberginstitute.org/publications/sctw_portfolio.html).)
- The National Center for Educational Accountability’s (NCEA) Web site (<http://www.nc4ea.org>) has a “self-audit tool” that uses the NCEA’s *Best Practice Framework* “to help educators compare their practices to higher-performing districts, schools, and classrooms.” (This tool professes to be useful to both districts and schools, but it appears to be somewhat more geared toward schools.)
- “Pathways to School Improvement.” This Web site (<http://www.ncrel.org/sdrs>), developed by the North Central Regional Educational Laboratory (NCREL), “synthesizes research, policy, and best practices on issues critical to educators engaged in school improvement.” A Trip Planner Survey Tool (<http://www.ncrel.org/sdrs/trip/welcome.htm>) on the site helps visitors prioritize their use

of the available resources; individuals or groups take one or more surveys and then receive a customized profile suggesting the issues most relevant for their needs.

- Mass Insight Education, a Massachusetts-based not-for-profit organization, provides guidance to the state's districts through a Web site called "Building Blocks" (<http://www.buildingblocks.org>) that supports the implementation of standard-based school reform and conducts district performance audits to improve the performance of a small network of districts.
- Several states also have technical assistance systems designed to support districts and schools (e.g., Alaska, California, Kentucky, and North Carolina).

We have not been able to closely examine—much less critically evaluate—these resources and do not endorse them. However, in addition to tools developed by AIR's *School District Consulting Services*® and its other technical assistance projects, they form the starting point to identify resources that can help guide district improvement efforts.

## **Conclusion**

This summary is intended as a working document, subject to ongoing discussion and revision. It brings together the thinking of AIR and external experts on this question. However, the guidance provided is preliminary given the nature of the methodology employed and the evolving knowledge base in the field of district improvement. Nevertheless, AIR's *School District Consulting Services*® hopes that this summary will provide AIR's clients with a solid knowledge base to guide the planning and implementation of successful district improvement efforts.

## Reference Key

Abbreviation	Reference
AFT	American Federation of Teachers. (2000). <i>Doing what works: Improving big city school districts</i> . Washington, DC: American Federation of Teachers. Retrieved June 8, 2005, from <a href="http://www.aft.org/edissues/downloads/dwwfinal.pdf">http://www.aft.org/edissues/downloads/dwwfinal.pdf</a> .
Baldrige	Baldrige National Quality Program. (2004). <i>Education criteria for performance excellence</i> . Gaithersburg, MD: Baldrige National Quality Program. Retrieved June 8, 2005, from <a href="http://www.quality.nist.gov/PDF_files/2004_Education_Criteria.pdf">http://www.quality.nist.gov/PDF_files/2004_Education_Criteria.pdf</a> .
CDC	The Charles A. Dana Center. (2000). <i>Equity-driven achievement-focused school districts</i> . Austin, TX: The Charles A. Dana Center. Available at: <a href="http://www.utdanacenter.org/research/reports/equitydistricts.pdf">http://www.utdanacenter.org/research/reports/equitydistricts.pdf</a> .
DD	Dailey, D. (n.d.). <i>Districts influencing schools: Rethinking the district role in supporting instructional improvement</i> . Working paper. Dailey, D. (n.d.). <i>District capacity to support reform</i> . Working paper Papers are available from author.
D&S	Datnow, A., & Stringfield, S. (2000). Working together for reliable school reform. <i>Journal of Education for Students Placed At Risk</i> , 5(1&2). Available at: <a href="http://www.aft.org/edissues/downloads/working.pdf">http://www.aft.org/edissues/downloads/working.pdf</a> .
Ed Trust	Haycock, K., Jerald, C., & Huang, S. (2001). Closing the gap: Done in a decade. <i>Thinking K-16: New frontiers for a new century</i> , 5(2), 3-22. A publication of The Education Trust.
Elmore	Elmore, R. F. (1997). Accountability in local school districts: Learning to do the right things. <i>Advances in Educational Administration</i> , 5, 59-82.
Gates	Bill and Melinda Gates Foundation. (n.d.). <i>Helping all students achieve</i> . Handout.
J/P	J/P Associates. <i>The J/P implementation: A comprehensive framework for improving educational outcomes</i> . New York: J/P Associates. Available at: <a href="http://www.jp-online.com/implementation.html">http://www.jp-online.com/implementation.html</a> .
NAS	New American Schools. (2003). <i>Framework for high-performing school districts</i> . Internal Draft. Available from authors.
NCEA	Just for the Kids and The National Center for Educational Accountability. <i>2003 Broad prize for urban education best practice framework</i> . Austin, TX: Just for the Kids and The National Center for Educational Accountability. Retrieved June 8, 2005, from <a href="http://www.just4kids.org/bestpractice/study_framework.cfm?sub=National&amp;study=Broad">http://www.just4kids.org/bestpractice/study_framework.cfm?sub=National&amp;study=Broad</a> .
LFA	Learning First Alliance. (2003). <i>Beyond islands of excellence: What districts can do to improve instruction and achievement in all schools</i> . Washington, DC: Learning First Alliance. Retrieved June 8, 2005, from <a href="http://www.learningfirst.org/lfa-web/rp?pa=doc&amp;docId=62">http://www.learningfirst.org/lfa-web/rp?pa=doc&amp;docId=62</a> .
Marsh	Marsh, J. (2000). <i>Connecting districts to the policy dialogue: A review of literature on the relationship of districts with states, schools, and communities</i> . Seattle, WA: Center for the Study of Teaching and Policy. Retrieved June 8, 2005, from <a href="http://depts.washington.edu/ctpmail/PDFs/District_Lit.pdf">http://depts.washington.edu/ctpmail/PDFs/District_Lit.pdf</a> .
M&T	McLaughlin, M., & Talbert, J. (2003). <i>Reforming districts: How districts support school reform</i> . Seattle, WA: Center for Teaching Policy. Retrieved June 8, 2005, from <a href="http://depts.washington.edu/ctpmail/PDFs/ReformingDistricts-09-2003.pdf">http://depts.washington.edu/ctpmail/PDFs/ReformingDistricts-09-2003.pdf</a> .
MIE	Mass Insight Education. (2004). <i>An academic benchmarking audit of the Lynn public schools: 2003-2004 school year executive summary and the full report</i> . Boston, MA: Mass Insight Education. (Confidential draft provided to authors.)

Abbreviation	Reference
O'Day & Bitter	O'Day, J., & Bitter, C. (2003). <i>Evaluation study of the immediate intervention/underperforming schools program and the high achieving/improving schools program of the public schools accountability act of 1999</i> . Washington, DC: American Institutes for Research. Retrieved June 8, 2005, from <a href="http://www.air.org/publications/documents/PSAA_Evaluation_Final_Report.pdf">http://www.air.org/publications/documents/PSAA_Evaluation_Final_Report.pdf</a> .
SCTW	Annenberg Institute for School Reform. (2002). <i>School communities that work for results and equity</i> . Providence, RI: Annenberg Institute for School Reform at Brown University. Available at: <a href="http://www.annenberginstitute.org/publications/sctw_portfolio.html">http://www.annenberginstitute.org/publications/sctw_portfolio.html</a> .
SDH	Snipes, J., Doolittle, F., & Herlihy, C. (2002). <i>Foundations for success: Case studies of how urban school systems improve student achievement</i> . New York: MDRC. Prepared for the Council of the Great City Schools. Retrieved June 8, 2005, from <a href="http://www.mdrc.org/publications/47/full.pdf">http://www.mdrc.org/publications/47/full.pdf</a> .
TW	Wagner, T. (2000). <i>How schools change: Lessons from three communities</i> . Boston, MA: Beacon Press.

## Annotated Bibliography

---

**Note:** This bibliography will be updated regularly as other relevant studies and reports are identified.

American Federation of Teachers. (2000). *Doing what works: Improving big city school districts*. Washington, DC: American Federation of Teachers. Available at: <http://www.aft.org/edissues/downloads/dwwfinal.pdf>.

*Doing What Works: Improving Big City School Districts* provides an overview of proven, common-sense strategies urban school districts are using to raise student achievement, and further highlights the trend of districtwide improvement. This policy brief articulates how the following reform approaches are used in improving urban districts: setting high standards, implementing research-based instructional programs, offering high-quality professional development, reducing class size, providing additional student supports, ensuring safe and orderly schools, and working together to form partnerships.

American Productivity and Quality Center. (2000). *Benchmarking best practices in accountability systems in education*. Houston, TX: American Productivity and Quality Center. (Note: In mid-2004 APQC created Edvance, a spin-off organization headquartered in Austin, TX, to provide district and school improvement services; <http://www.edvance.com>.) Executive Summary retrieved June 8, 2005, from <http://www.cgcs.org/management/Reports/AccountExecSummary.pdf>.

The American Productivity and Quality Center, the Council of the Great City Schools, the National Alliance for Business, along with 14 urban school districts conducted a study to identify best practices in accountability systems. *Benchmarking Best Practices in Accountability Systems* articulates best practices for seven component areas: leadership, climate/context, operations, human resources, data measurement/management, communications, and standards for teaching and learning. (Information in Executive Summary was too general to accurately enter in chart. Full version of report is available for \$45 through the APQC online bookstore.)

Annenberg Institute for School Reform. (2002). *School communities that work for results and equity*. Providence, RI: Annenberg Institute for School Reform at Brown University. Available at: [http://www.annenberginstitute.org/publications/sctw\\_portfolio.html](http://www.annenberginstitute.org/publications/sctw_portfolio.html).

School Communities that Work: A National Task Force on the Future of Urban Districts was established in 2000 “to help create, support, and sustain entire urban communities of high-achieving schools and to stimulate a national conversation to promote the development and implementation of school communities that do, in fact, work for all children.” This introductory piece discusses “the problem with districts” and suggests that the solution is “a local education support system” centered on supporting results at scale, ensuring equity, and community responsibility. Essential functions of such a system are (1) to provide schools, students, and teachers with needed support and timely interventions; (2) to ensure that schools have the power and resources to make good decisions; and (3) to

make decisions and hold people throughout the system accountable by using indicators of school and district performance and practices.

Baldrige National Quality Program. (2004). *Education criteria for performance excellence*. Gaithersburg, MD: Baldrige National Quality Program. Retrieved June 8, 2005, from [http://www.quality.nist.gov/PDF\\_files/2004\\_Education\\_Criteria.pdf](http://www.quality.nist.gov/PDF_files/2004_Education_Criteria.pdf).

The Baldrige National Quality Program developed education criteria for performance excellence to serve three purposes: to help advance organizational performance practices, to aid the communication and sharing of best practices approached among organizations of all types, and to provide a framework for understanding and managing performance. Eleven core values guide the criteria for performance excellence; they are: visionary leadership, learning-centered education, organizational and personal learning, valuing staff, agility, focusing on the future, managing for innovation, management by fact, social responsibility, focusing on results and creating value, and having a systems perspective.

BASRC/JFTK-CA *Best Practice Study* (Forthcoming). San Francisco, CA: Bay Area School Reform Collaborative (BASRC) and Just For the Kids California (JFTK-CA). Available at: [http://www.basrc.org/research/best\\_practices\\_study.html](http://www.basrc.org/research/best_practices_study.html).

This ongoing study unites BASRC's work on school reform with the school and district improvement framework developed by Just for the Kids (aka, National Center for Educational Accountability, NCEA). For more information on the JFTK approach see the entry cited below.

Bill & Melinda Gates Foundation. (n.d.). *Helping all students achieve*. Handout.

The schools, districts, and networks that are invested in by the Bill & Melinda Gates Foundation aim to reflect a common set of attributes that the Foundation claims research and best practices show are necessary conditions to improve performance and enhance the learning environment for all students. This document lists the attributes of high achievement schools, the attributes of high achievement school districts, and essential components of teaching and learning. The seven attributes of high achievement school districts that the Foundation lists are: distributed leadership, performance accountability, effective governance, shared values, learning partnerships, staff development, and technology infrastructure.

The Charles A. Dana Center. (2000). *Equity-driven achievement-focused school districts*. Austin, TX: The Charles A. Dana Center. Available at: <http://www.utdanacenter.org/research/reports/equitydistricts.pdf>.

This study examined four Texas school districts in which many schools (including high-poverty schools) displayed substantial improvements on a variety of achievement indicators. The researchers used largely qualitative methods to determine the reasons behind these districts' success. The overarching finding was that all four districts featured a widespread and unwavering focus on student achievement; a deeply ingrained belief that all students can achieve to high expectations; educators' willingness to accept responsibility for student learning; and the implementation of practices to support (and further promulgate) the achievement focus, high expectations, and personal responsibility. Although the



specific practices implemented varied, they generally fell under the headings of aligning curriculum/instruction, building/supporting people's capacity to lead and contribute, acquiring and aligning resources, using data to guide improvement, holding people accountable for results while providing them with positive support, working to continually improve, and having multiple strategies in place to support any given goal. Local catalysts and the statewide context of strong accountability (sometimes supplemented even further at the district level) also were found to be important.

Dailey, D. (n.d.). *Districts influencing schools: Rethinking the district role in supporting instructional improvement*. Working paper.

This paper, quite similar in certain sections to the review by Marsh, identifies from the research literature the following themes related to “how districts influence schools and instructional improvement”: (1) balance between central district authority and school autonomy, (2) district provision of a variety of professional development opportunities, (3) district culture and social capacity, (4) district theory of action, (5) comprehensive change, (6) district–state relations, and (7) district response to accountability.

Dailey, D. (n.d.). *District capacity to support reform*. Working paper.

This paper is quite similar to the other Dailey paper, but is organized and phrased slightly differently. Major additions include sections on district–community relations, districts as learning organizations, and capacity to effectively use data.

Datnow, A., & Stringfield, S. (2000). Working together for reliable school reform. *Journal of Education for Students Placed At Risk*, 5(1&2). Available at: <http://www.aft.org/edissues/downloads/working.pdf>.

In Working Together for Reliable School Reform, Datnow and Stringfield identify common characteristics of unusually effective schools and reforms within and among diverse, low-income contexts and pinpoint linkages among classrooms, schools, and systems that enhance the chance of “successful reform selection, implementation, and institutionalization.” The frameworks of High Reliability Organizations and co-construction of school reform are brought together to examine the effectiveness of school reform. Common characteristics of high-performing schools described are: different system levels (school, district, etc.) working together to co-construct reform; clear goals shared by the school and district that are tied to measures of improvement; districts having a coordinated and broad-based plan for disseminating information about reform options to schools; the use of critical inquiry to choose a reform that fits the school's culture and needs; collaborative decisionmaking and buy-in amongst teachers; whole school rather than “pocket” reform; multidimensional, ongoing support and leadership from design teams, district, and school-level educators; and policy systems designed to support reform.

Elmore, R. F. (1997). Accountability in local school districts: Learning to do the right things. *Advances in Educational Administration*, 5, 59–82.

In this essay, Elmore reflects on how the school district role can be reconstructed “around the central principle of adding value to student performance in schools.”

He focuses on the importance of changing teaching practice and student learning; educators' acceptance of responsibility for improving teaching and learning; alignment between individual responsibility, collective expectations, and the requirements of formal accountability systems; increased capacity-building support in exchange for increased accountability for performance; and the need for attention to school context.

Elmore, R.F. (2000). *Building a new structure for school leadership*. Washington, DC: Albert Shanker Institute. Retrieved June 8, 2005, from <http://www.shankerinstitute.org/Downloads/building.pdf>.

In this publication, Elmore synthesizes and expands on his prior writings on district reform and suggests considerations that should be kept in mind by leaders who wish to engage in effective, standards-based school and district improvement efforts.

Haycock, K., Jerald, C., & Huang, S. (2001). Closing the gap: Done in a decade. *Thinking K-16: New frontiers for a new century*, 5(2), 3–22. A publication of The Education Trust. Retrieved June 8, 2005, from [http://www2.edtrust.org/NR/rdonlyres/85EB1387-A6B7-4AF4-BEB7-DF389772ECD2/0/k16\\_spring01.pdf](http://www2.edtrust.org/NR/rdonlyres/85EB1387-A6B7-4AF4-BEB7-DF389772ECD2/0/k16_spring01.pdf).

The first part of this Education Trust publication breaks down the myths about student achievement by examining cross-state data which show that differences in average state test scores for the same demographic categories are often staggering, indicating that poverty and poor communities are not insurmountable obstacles to raising student achievement. The second part of this article establishes six common strategies of successful schools, districts, and states. Haycock, Jerald, and Huang describe the following reform elements: clear goals, assessments that provide honest information and signal needed improvement, challenging curriculum for all students, good teaching for every student, provision of additional student supports, and “upping the ante” by lobbying for more money in poor schools and districts.

J/P Associates. *The J/P implementation: A comprehensive framework for improving educational outcomes*. New York: J/P Associates. Available at: <http://www.jp-online.com/implementation.html>.

J/P Associates are a design-based assistance provider for Direct Instruction. A five-stage framework is outlined that provides the steps necessary to improve and maintain increases in student learning. In this piece, effective schools are characterized as having a clear academic focus and mission, providing consistent and continuing structured staff development, providing frequent progress monitoring, and having strong instructional leadership. Each of the five stages of the J/P Implementation is geared to enable schools to achieve these characteristics of effective schools. The first stage of implementation is focused on creating a strong instructional leadership team with the school principal at the helm. This begins with professional development centered on direct instruction and the coaching of teachers. During the second stage of implementation, elements leading to the school establishing clear, rigorous standards for students and teachers are modeled and administrators begin to work with the coaches in monitoring and providing feedback to teachers. Staff development and monthly

coaching continue. In the third stage of implementation, J/P begins data collection relating to placement testing, grouping, pacing guide analysis, backtesting, and testing for acceleration. These efforts are added to continual teacher training and coaching, and monitoring of instruction by the principal. In the fourth stage of implementation, previous efforts continue and the Leadership Team has developed a common vision of instructional excellence and a clear set of corresponding goals. During the final stage of implementation, J/P tests all areas of the implementation and previous staff development, coaching, and instructional leadership activities continue, even as its district services come to an end. The coaching process is the backbone of the J/P implementation. Coaches work with teachers in their classrooms to guarantee that Direct Instruction is put into practice accurately and that teachers continue to learn. Principals also receive coaching and training to prepare them for instructional leadership.

Just for the Kids and The National Center for Educational Accountability. *2003 Broad prize for urban education best practice framework*. Austin, TX: Just for the Kids and The National Center for Educational Accountability. Retrieved June 8, 2005, from

[http://www.just4kids.org/bestpractice/study\\_framework.cfm?sub=National&study=Broad](http://www.just4kids.org/bestpractice/study_framework.cfm?sub=National&study=Broad).

The National Center for Educational Accountability, in collaboration with Just for the Kids, has developed a graphical framework of “best practices of high-performing school systems” for use as “an organizational schema to examine the practices of consistently high-performing school systems.” (Few details are provided on how this framework and its elements were actually developed.) The framework is based around five organizing themes representing “the major content areas in which practices of high-performing schools systems differ from their average-performing counterparts.” The themes are (1) curriculum and academic goals; (2) staff selection, leadership, and capacity building; (3) instructional programs, practices, and arrangements; (4) monitoring, compilation, analysis, and use of data; and (5) recognition, intervention, and adjustments. Specific “best practices” for each theme are provided for district, school, and classroom practices. At the district level, the practices (by theme, respectively) are as follows: (1) define clear and specific academic objectives by grade and subject; (2) provide strong instructional leaders, highly qualified teachers, and aligned professional development; (3) provide evidence-based instructional programs; (4) develop student assessment and data monitoring systems to monitor school performance; and (5) recognize, intervene, or adjust based on school performance. The framework also incorporates “underlying supports representing critical organizational behaviors or influences that may impact exactly how any given practice is enacted in a district,” but which “have not been found to be defining factors in increased student achievement.” These supports are (1) core beliefs about teaching and learning; (2) organizational knowledge; (3) resource allocation; and (4) local influences, relationships, and communication.

Learning First Alliance. (2003). *Beyond islands of excellence: What districts can do to improve instruction and achievement in all schools*. Washington, DC: Learning First Alliance. Retrieved June 8, 2005, from <http://www.learningfirst.org/lfa-web/rp?pa=doc&docId=62>.

To create this report that highlights policies and practices to improve teaching and learning across entire systems, the Learning First Alliance identified and studied

five high-poverty districts making strides in student achievement through individual interviews, school visits, and focus groups. In examining these high-achieving districts, the authors found the following seven common strategies to improve instruction and student performance: key leaders accepting ownership of challenges that are identified through public accountability data; establishing a systemwide approach to improving instruction; instilling a vision focused on student learning that guides instructional improvement; making decisions based on data, not instinct; adopting new approaches to professional development; redefining leadership roles; and committing to sustaining reform over the long haul.

Lewis, A., & Paik, S. (2001). *Add it up: Using research to improve education for low-income and minority students*. Washington, DC: Poverty and Race Research Action Council. (Linked from Public Schools of North Carolina site). Retrieved June 8, 2005, from [http://www.prrac.org/pubs\\_aiu.pdf](http://www.prrac.org/pubs_aiu.pdf).

Although district-level improvement is not the main focus of this report, it nevertheless contains some district level “success stories” (El Paso, TX; Community District 2, NY; Brazosport, TX) and makes some recommendations, perhaps most appropriately targeted at the district level (e.g., on p. 19, “make sure each school has an equitable distribution of competent teachers”; “select and support principals who know how to establish a collaborate, instructionally focused school environment”; and “provide schools with high-quality expertise as part of consistent, intensive professional development”). Overall, however, it does not systematically identify strategies to be used at the district level.

Marsh, J. (2000). *Connecting districts to the policy dialogue: A review of literature on the relationship of districts with states, schools, and communities*. Seattle, WA: Center for the Study of Teaching and Policy. Retrieved June 8, 2005, from [http://depts.washington.edu/ctpmail/PDFs/District\\_Lit.pdf](http://depts.washington.edu/ctpmail/PDFs/District_Lit.pdf).

This paper reviews the existing research literature (as of 2000) on how districts implement and adapt state policies, the role districts play in the improvement of teaching and learning, and district–community relationships. Marsh identifies two sets of “explanatory and enabling factors,” one regarding districts’ responses to state policies and the other regarding districts’ ability to enact improvements in teaching and learning. The first set includes capacity (human capital, social capital, and physical capital), size, understanding, leadership, organization and governance, political culture and reform history, and nature of the state policy. The second set again includes capacity (human, social, and physical capital\*), understanding (e.g., of reform strategies), and leadership, and adds “balance between central authority and school autonomy.”

*\*Here, human capital includes practitioner knowledge and skills. Social capital includes district “normative culture,” practitioner involvement and collaboration, and relationships with external organizations/agencies. Physical capital includes resources such as time and materials.*

Mass Insight Education. (2004). *An academic benchmarking audit of the Lynn public schools: 2003–2004 school year executive summary and the full report*. Boston, MA:

Mass Insight Education. (Confidential report provided to authors.)

Mass Insight Education (MIE) is a not-for-profit organization that consults with school districts to generate improved student achievement. Their consulting process involves applying benchmarks to the analysis of demonstrably effective school districts and then reapplying these benchmarks through an audit of districts seeking to improve. This audit is organized by three broad areas: expectations for achievement, delivery of services to students, and organization for support. These broad areas drive MIE's benchmarks: higher-standards curriculum, performance-driven systems and culture, effective teaching, targeted intervention, organization of leadership, and allocation of resources (money, time, and staff). For each benchmark, a set of leading indicators and evidence are provided to assess the extent to which these behaviors and systems are at work in the district. These benchmarks or building blocks ([www.buildingblocks.org](http://www.buildingblocks.org)) come together to create a pathway for standards-based reform. Higher standards curriculum and data and performance systems interplay to create effective teaching, which then circles back to higher standards curriculum and data systems for a continuous improvement cycle. Effective teaching leads to the targeted intervention and proactive identification of students falling behind. Allocation of resources and organization of leadership provide the infrastructure for the building blocks to develop.

McLaughlin, M., & Talbert, J. (2003). *Reforming districts: How districts support school reform*. Seattle, WA: Center for Teaching Policy. Retrieved June 8, 2005, from <http://depts.washington.edu/ctpmail/PDFs/ReformingDistricts-09-2003.pdf>.

This study uses multilevel survey data and 4-year case studies to examine the impact of district effects on school reform progress and extract the strategies of “reforming districts.” The data indicate that “the extent of district support for school reform made a significant difference in schools’ reform progress” and that “productive district–school relationships led to mutual gain” because as central staff learned from the experiences of the reforming schools, they improved their capacity to support school reform. Using case studies and survey data, McLaughlin and Talbert identify five key conditions that characterize reforming districts: focus on the system as the unit of change, a learning community at the district level, a coherent focus on teaching and learning, provision of instructional support that is responsive to school needs, and creation of data-based inquiry and accountability. Additionally, the authors use their data to dispel the following three myths about district reform: that teachers and schools resist a strong central office role, that turnover and change will sink reform efforts, and that local politics will defeat a serious reform agenda.

New American Schools. (2003). *Framework for high-performing school districts*. Internal Draft. (Available from authors.)

The New American Schools’ (NAS’) framework, derived through a process that included a review of school and district improvement literature, presents seven indicators of high-performing school districts. Each indicator is briefly described and accompanied by a list of questions to assess the extent of this practice occurring in a district. The seven success

indicators included in this framework are as follows: (1) accurate and public acknowledgment of student performance for which leaders take responsibility, (2) a systemwide inquiry approach to instructional improvement founded on processes of continuous improvement, (3) a comprehensive data collection and analysis system that is able to operationalize stated beliefs and missions, (4) contextual and coherent professional development strategies, (5) redefined leadership roles, (6) commitment to sustained improvement over time, and (7) promotion and participation in a positive community climate.

NAS relied on the following sources to produce their list of success indicators:

- *Thinking K–16, 5(2)*. A Publication of the Education Trust. New Frontiers for a New Century: A National Overview. Spring 2001.
- *High Schools of the Millennium*. Report of the Workgroup. American Youth Policy Forum. August 2000.
- *Breaking Ranks: Changing an American Institution*. National Association of Secondary School Principals. 1996.
- *Redesigning American High Schools*. Harvard Graduate School of Education. Professional Development Institute.
- *Creating a High-Performance School System*. Scott Thompson. *Phi Delta Kappan*. March 2003.
- *Beyond Islands of Excellence: What Districts Can Do To Improve Instruction and Achievement In All Schools*. Learning First Alliance. March 2003.
- *Effective Middle Schools. FoCAL Points, 3*. a publication of the Public Education Network.
- *National Middle School Association Research Summary #4: Exemplary Middle Schools*.

O’Day, J., & Bitter, C. (2003). *Evaluation study of the immediate intervention/underperforming schools program and the high achieving/improving schools program of the public schools accountability act of 1999*. Washington, DC: American Institutes for Research. Retrieved June 8, 2005, from [http://www.air.org/publications/documents/PSAA\\_Evaluation\\_Final\\_Report.pdf](http://www.air.org/publications/documents/PSAA_Evaluation_Final_Report.pdf). Also see the Evaluation Brief, retrieved June 8, 2005, from <http://www.air.org/publications/documents/PSAA%20Eval%20Brief.pdf>.

This evaluation of California’s Immediate Intervention/Underperforming Schools Program—a major component of the statewide accountability policy—found that districts played an important role in school improvement efforts, even though the state did not specify much of a role for districts. In particular, the study found districts significantly influenced instructional practice and achievement trends in low-performing schools. Among the study’s general recommendations for districts are that they should: (1) assume responsibility for the success of all district schools, (2) examine and alter district policies that may be hindering progress at low-performing schools, (3) place priority on improving performance at the lowest performing schools, (4) build capacity for effective planning, (5) promote strategic and coherent planning, (6) support and monitor implementation of plans, (7) recruit and retain high-quality teachers, (8) encourage and support instructional collaboration and professional community among teachers, (9) develop and deploy instructionally strong school site leaders, and (10) promote data-based decisionmaking at school sites.

---

Reynolds, D., Stringfield, S., & Schaffer, E. C. (in press). *The high reliability schools project: Some preliminary results and analyses*. Retrieved June 8, 2005, from <http://www.highreliabilityschools.co.uk/Downloads/Files/DRSSES2003.pdf>.

This document summarizes some of the long-term findings and implications of the application of the “high reliability organizations” that postulates to promote sustainable school and district improvement.

Snipes, J., Doolittle, F., & Herlihy, C. (2002). *Foundations for success: Case studies of how urban school systems improve student achievement*. New York: MDRC. Prepared for the Council of the Great City Schools. Retrieved June 8, 2005, from <http://www.mdrc.org/publications/47/full.pdf>.

This study, conducted by the Manpower Demonstration Research Corporation (MDRC) for the Council of the Great City Schools, identified three urban school districts—Houston, Sacramento, and Charlotte-Mecklenburg—that displayed impressive gains in student achievement and reductions in achievement gaps. The researchers then conducted retrospective case studies of these districts to try to determine the reasons for the apparent success; two comparison districts were also studied. The study found that the following elements were common to the successful districts and lacking in the comparison districts: a focus by all stakeholders (including the school board) on improving student achievement, with establishment of specific goals, timelines, and consequences; consensus/shared vision among stakeholders (especially school board and superintendent) on reform goals and strategies; strong district-level accountability policies; focus on lowest-performing schools and on elementary grade levels; adoption or development of districtwide curricula and instructional approaches and provision of professional development for their implementation; role for central office in guiding/supporting instruction; and use of data-driven decisionmaking. The authors distill from these elements three broad headings: building the foundations for reform (e.g., reaching stakeholder consensus/shared vision for improving student achievement as top priority), developing instructional coherence (e.g., systematic, uniform approach to instruction), and using data-driven decisionmaking. The authors also suggest that “doing all of these things together can have a much larger impact than doing any one of them alone” (p. 7), so it would appear that comprehensiveness of reform strategy was found to be another important element.

Wagner, T. (2000). *How schools change: Lessons from three communities*. Boston, MA: Beacon Press.

In the “Lessons Learned” chapter of his book, Wagner describes three necessary components for school change and improvement. He argues that if one of these three components is missing, the change process is thwarted. The three conditions he specifies are establishing clear academic goals, providing the foundation for a caring community by establishing a set of core values, and creating a culture of collaboration. The component of establishing clear academic goals is rooted in the notion of developing students’ competencies rather than “covering subjects” and requires defined outcomes and goals that are communicated to students and encourages student involvement in the selection of materials and projects. The

core values that create a foundation for a caring community are rooted in teachers establishing personal relationships with their students that nurture individual growth and development and encourage students to discover their unique talents. Finally, collaboration among teachers and with students and the community encourages greater professional responsibility, accountability among staff, and greater returns to training.



**ATTACHMENT 21: CURRICULUM AUDIT, NOVEMBER 2011**

# **New Mexico CLASS Curriculum Audit Handbook**

Prepared for the

New Mexico Public Education Department (NMPED)

by

New Mexico Public Education Department, Priority Schools Bureau with  
Southwest Comprehensive Center, Policy Center at WestEd,  
Center on Instruction, and RMC Research Corporation

September 2011

Prepared for the New Mexico Public Education Department, by the Southwest Comprehensive Center at WestEd with funds from the U.S. Department of Education under cooperative agreement number S283B050049. The content does not necessarily reflect the position or policy of the U.S. Department of Education, nor does mention or visual representation of trade names, commercial products, or organizations imply endorsement by the federal government.

## Table of Contents

I.	Glossary of Terms and Acronyms.....	1
II.	Introduction.....	2
III.	Definitions and Purpose.....	7
IV.	Curriculum Audit Standards.....	8
V.	Curriculum Audit Process .....	9
VI.	Curriculum Audit Report: The Final Product .....	26
	References .....	31
 Appendices		
	Appendix A: Supplemental Sheet for Reading/Language Arts .....	32
	Appendix B: Supplemental Sheet for Mathematics.....	34
	Appendix C: Supplemental Sheet for Multilingual/ Multicultural Learners .....	36
	Appendix D: Supplemental Sheet for Special Education .....	38
	Appendix E: Supplemental Sheet for Response to Intervention .....	40
	Appendix F: Data Organizer for Curriculum Auditors .....	42
	Appendix G: Group Interview Protocol.....	49

## I. Glossary of Terms and Acronyms

The following lists terms and acronyms commonly used in this document.

AYP	<i>Adequate Yearly Progress</i> : targets for the percentage of students that demonstrate proficiency and above in reading and mathematics on NM SBA. AYP targets are established by the NMPED and required by Title I of ESEA.
CA	Corrective Action: status that districts enter after failing to meet the state's established targets for adequate yearly progress (AYP) for five consecutive years.
CCSSO	<i>Council of Chief State School Officers</i> : the national organization of state secretaries, superintendents, and commissioners of public education.
CLASS	<i>Collaboration, Leadership, and Accountability for Student Success</i> : New Mexico's statewide system of support for districts and schools in need of improvement.
ESEA	<i>Elementary and Secondary Education Act</i> : federal law that contains Title I. No Child Left Behind was the 2001 name for this act.
FERPA	<i>Family Education Rights and Privacy Act</i> : federal legislation guaranteeing privacy and confidentiality of student information.
LEA	<i>Local Education Agency</i> : school district.
NMSA	New Mexico Statutes Annotated: laws of the state of New Mexico.
NM SBA	<i>New Mexico Standards-Based Assessments</i> : the statewide assessments required by Title I.
NMPED	<i>New Mexico Public Education Department</i> : the State Education Agency (SEA).
PSB	<i>Priority Schools Bureau</i> : a unit within the NMPED whose task is to help identified districts and schools to improve.
Rtl	<i>Response to Intervention</i> : a model for differentiating instruction.
SDIF	<i>School and District Improvement Framework</i> : developed by NMPED to help guide improvement efforts.
SEA	<i>State Education Agency</i> : in New Mexico, this is the NMPED, the state entity responsible for carrying out state and federal laws regarding K-12 education.
Web EPSS	Electronic version of the <i>Education Plan for Student Success</i> (EPSS), New Mexico's name for district and school improvement plans.

## II. Introduction

In accordance with the state of New Mexico's *Standards of Excellence* (NMSA 22-2C-7-J) as outlined in the *School and District Improvement Framework* (SDIF), districts that fail to meet the state's established targets for adequate yearly progress (AYP) for five consecutive years enter Corrective Action (CA) status. Title I of the federal Elementary and Secondary Education Act (ESEA) requires states to set AYP targets for districts and schools. For each consecutive year that a district (or school) does not demonstrate AYP, the consequences become more intense and state-directed. Districts that enter CA status must fulfill a number of requirements, including completion of a curriculum audit. Requirements for curriculum audits in CA districts also apply to state-chartered charter schools. Local education agencies (LEAs) are not responsible for these schools even though they are, in effect, considered to be LEAs. LEAs are responsible for their district-sponsored charter schools. In CA districts where there are district-sponsored charter schools, curriculum auditors should visit at least one charter school during the course of the onsite portion of the curriculum audit.

The curriculum audit is one component of the state's system of support for districts in need of improvement, and, as such, is tightly integrated with other elements of the system. Collaboration, Leadership, and Accountability for Student Success (CLASS) is New Mexico's name for this statewide system of support. In the first years of not meeting AYP, districts are designated "in need of improvement." During these first 2 years of designation, districts must conduct a self-assessment using the CLASS self-assessment rubrics and use results of this review to inform the district's Web Education Plan for Student Success (Web EPSS), the district improvement plan. The rubrics address three major functions of the district: Dynamic and Distributed Leadership, Culture and Collaborative Relationships, and Quality Teaching and Learning. At the district level, the rubric for a curriculum audit examines district performance in the area of teaching and learning by focusing on the following indicators. The district leadership team:

1. ensures that the district curriculum is research-based and consistently implemented within each grade level and content area across the district.
2. effectively employs a Plan-Do-Study-Act (PDSA) cycle.
3. requires implementation of common short-cycle assessments that align with the curriculum.
4. has a policy stating clear expectations for allocation of instructional time in all core subject areas and implements the policy consistently.
5. provides technology infrastructure for effective integration of technology into classroom instruction and serves as a resource for instructional planning and delivery, assessment, monitoring of student progress, and communication.
6. ensures that teachers be held accountable for sufficient pedagogical content knowledge.
7. monitors and holds all personnel accountable for the use of effective instructional strategies to advance learning of all students.
8. implements a consistent progress reporting system that reflects a shared vision of quality student work.

When a district does not demonstrate improvement in student achievement after conducting the self-assessment and other requirements, it enters CA status. The curriculum audit that CA districts must complete focuses more intensely and more in-depth on indicators of the CLASS self-assessment rubrics described above and on other related aspects of curriculum.

The curriculum audit at the district level parallels and complements the instructional audit at the school level. Just as a district must conduct a curriculum audit when it enters CA, a school in CA must conduct an instructional audit. The curriculum audit should focus on the subject areas and/or subpopulations whose performance resulted in the district's corrective action status.

The instructional audit focuses on how a school delivers the district curriculum and is described in a companion document entitled *New Mexico's CLASS Instructional Audit*

*Handbook*, available from the New Mexico Department of Education's Priority Schools Bureau (PSB).

In both the curriculum and the instructional audits, districts and schools must work with PSB to identify external auditors who are qualified to conduct these audits. Recommendations from both audits must be implemented by the districts and schools with the intent of improving student achievement. Curriculum and instruction were selected because they are the core of the educational process. If some aspect of curriculum and/or instruction is problematic, students will not be achieving at the desired level. Table 1 illustrates the relationship between the CLASS Self-Assessment, the Curriculum Audit, and the Instructional Audit.

**Table I**  
**New Mexico Public Education Department**  
**Table of School and District Assessments and Audits**

	<b>CLASS Self-Assessment Schools and Districts</b>	<b>Instructional Audit Schools Only</b>	<b>Curriculum Audit Districts Only</b>
<b>WHO</b> conducts it?	<ul style="list-style-type: none"> <li>School and district personnel. May be done by external consultants at the discretion of the school or district.</li> </ul>	<ul style="list-style-type: none"> <li>District personnel.</li> <li>External consultants, including specialists in areas of deficiency.</li> </ul>	<ul style="list-style-type: none"> <li>External consultants trained and approved by the PED, including specialists in areas of deficiency.</li> </ul>
<b>WHERE</b> is it focused?	<ul style="list-style-type: none"> <li>Broadly focused on dynamic and distributed leadership, culture and collaborative relationships, and quality teaching and learning.</li> </ul>	<ul style="list-style-type: none"> <li>Curriculum as it is written, taught, and assessed (school responsibilities)</li> <li>Instruction</li> </ul>	<ul style="list-style-type: none"> <li>Curriculum as it is written, taught, and assessed (district responsibilities)</li> </ul>

	<b>CLASS Self-Assessment Schools and Districts</b>	<b>Instructional Audit Schools Only</b>	<b>Curriculum Audit Districts Only</b>
<b>WHAT</b> tools will be used?	<ul style="list-style-type: none"> <li>The CLASS Self-Assessment for Schools (supplemented by the school's classroom observation instrument(s) or the CLASS Self-Assessment for Districts</li> </ul>	<ul style="list-style-type: none"> <li>NM CLASS Instructional Audit</li> </ul>	<ul style="list-style-type: none"> <li>NM CLASS Curriculum Audit</li> </ul>
<b>WHEN</b> will it be conducted?	<ul style="list-style-type: none"> <li>Within first 2 years of designation of school or district in need of improvement.</li> </ul>	<ul style="list-style-type: none"> <li>During school CA year and above.</li> </ul>	<ul style="list-style-type: none"> <li>During district CA year and above.</li> </ul>
<b>WHY</b> is it done?	<ul style="list-style-type: none"> <li>To help schools and districts identify strengths and weaknesses and prioritize areas for improvement.</li> </ul>	<ul style="list-style-type: none"> <li>To improve curriculum and instruction at the school level with the goal of increasing student achievement.</li> </ul>	<ul style="list-style-type: none"> <li>To improve curriculum and instruction districtwide with the goal of increasing student achievement.</li> </ul>
<b>HOW</b> does this tie to the Web EPSS?	<ul style="list-style-type: none"> <li>Results of compiled data inform the priorities in the school or district Web EPSS</li> </ul>	<ul style="list-style-type: none"> <li>Results inform priorities in the school Web EPSS.</li> </ul>	<ul style="list-style-type: none"> <li>Results of district audit and multiple instructional audits inform priorities in the district Web EPSS.</li> </ul>

In addition, both audits each have five supplemental sheets that focus on areas that may be contributing to a school's or district's student achievement. These include the following:

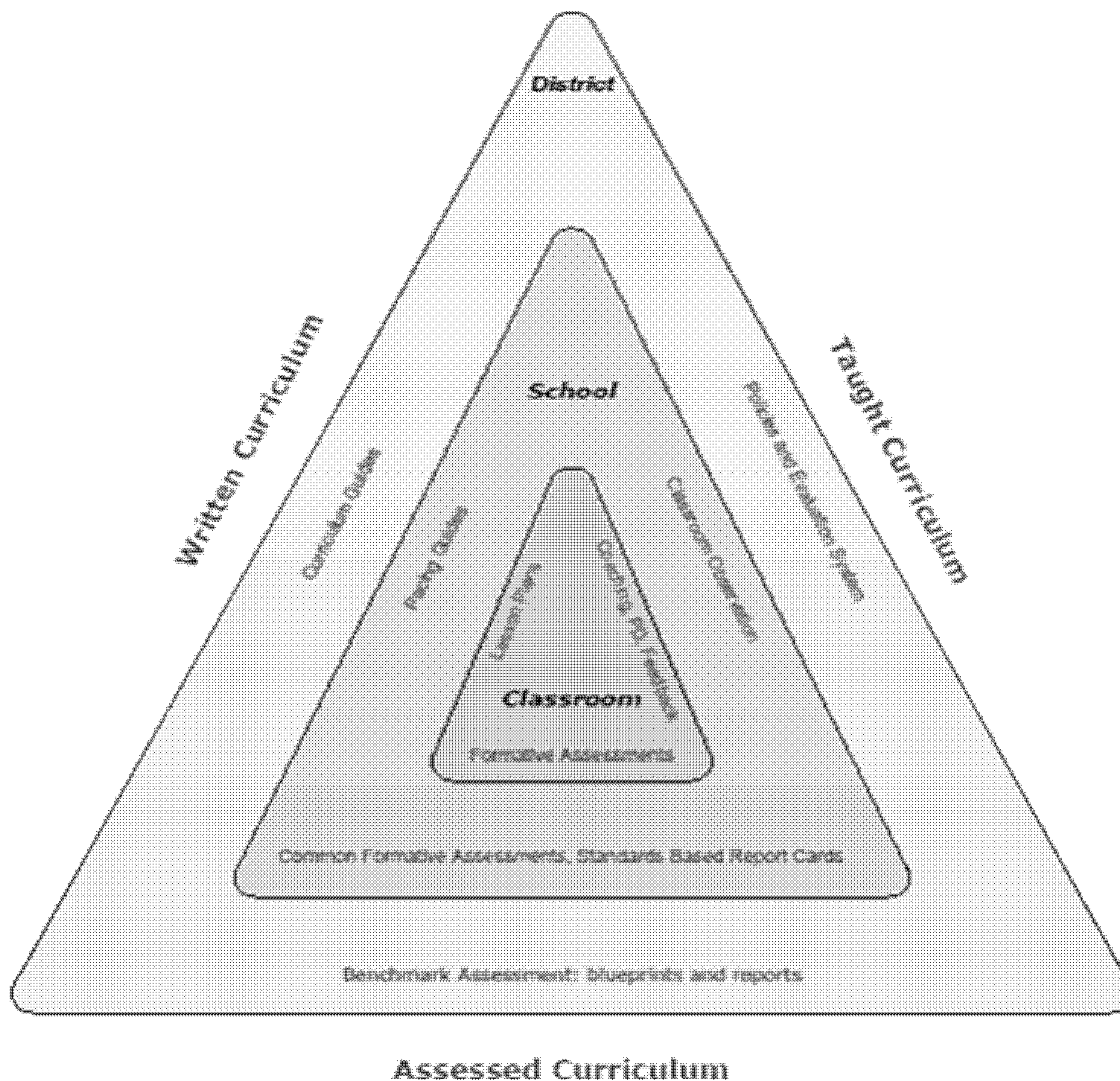
- Appendix A: Supplemental Sheet for Reading/Language Arts
- Appendix B: Supplemental Sheet for Mathematics
- Appendix C: Supplemental Sheet for Multicultural/Multicultural Learners
- Appendix D: Supplemental Sheet for Special Education
- Appendix E: Supplemental Sheet for Response to Intervention



Auditors may select questions from one or more of these sheets, depending on the circumstances in the school or district.

This comprehensive approach enables auditors to assess all aspects of curriculum: the written curriculum, the curriculum that is taught, and the curriculum that is assessed. This approach is portrayed in the graphic labeled Exhibit 1. This document is intended for use by the external auditors, staff of the district (LEA), and staff of the NMPED (SEA). It describes the purpose, process, and product of a curriculum audit and provides tools and templates to be used by the auditors.

**Exhibit 1**  
**New Mexico Public Education Department**  
**Model for the Curriculum and Instructional Audits**



### III. Definition and Purpose

Curriculum is defined in a variety of ways. English (1988), in his seminal work, *Curriculum Auditing*, defined curriculum as “the content (process, attitudes, skills, knowledge) that is to be taught and/or learned at the appropriate level/area/course” (p. 351).

Curriculum is not just the textbook that is being used to teach a particular subject in a classroom, school, or district. It is the compilation of documents that teachers use to deliver the content standards that students are expected to master. These documents have a variety of names and forms: written curriculum guides and handbooks, a written scope and sequence, instructional calendars and pacing guides, as well as textbooks and the materials that accompany them. They are all part of the curriculum.

English and other experts in the field commonly describe three dimensions of curriculum: the written curriculum, the taught curriculum, and the assessed curriculum (pp. 36-37). The written curriculum, contained in the documents described in the previous paragraph, outlines content that the district intends to be taught in classrooms. The taught curriculum is the content that is actually implemented by teachers in classrooms. The assessed curriculum is the content on which state and district tests are built.

The degree of alignment and coherence among and between the written, taught, and assessed curriculums, to a large extent, determines the level of student achievement. Students cannot demonstrate proficiency on curriculum they have not been taught. It is unfair and misleading to assess students on curriculum they have not had the opportunity to learn, and teachers cannot teach curriculum that is unfamiliar or unclear to them. Effective districts strive to bring coherence to the curricula delivered across the system. Successful districts align curricula to state and district standards and assessments (Anderson, 2003). Although schools can develop a common curriculum, a more viable approach is for districts to be responsible for curriculum development. Teachers need a common, coherent, and well-defined curriculum so they know what students should learn, grade by grade and at checkpoints along the way.

Teacher creativity should have less to do with what to teach and more to do with how to teach. By teaching a common curriculum teachers can also be more collaborative, planning and discussing effective instructional strategies (Jerald, 2003).

The curriculum audit examines how well the district as a system implements the curriculum. It is a comprehensive review of the written, taught, and assessed curriculum. The purpose is to determine the extent to which school officials and professional staff have developed and implemented a sound, valid, and operational system of curriculum management. It is an intensive, focused look at how well the school system has set valid direction for student achievement and well-being, concentrates its resources to accomplish those directions, and improves performance over time. Information about the auditing process should be shared with the board in advance of the onsite visit. Upon receipt of the final curriculum audit report, district administrators should share the report with the board, making it a matter of public record.

#### **IV. Curriculum Audit Standards**

The curriculum audits required of New Mexico school districts in CA status reflect commonly accepted audit standards developed by English, which are based on generally accepted concepts from the effective schools research. Since 1979, English (1988, pp. 33-34) and others have used the following standards to guide curriculum auditing:

1. The school district is able to demonstrate its control of resources, programs, and personnel. There is a clear “chain of command” that establishes the governing board as the policy-making body, with an administrative structure that is led by a superintendent and is responsible for carrying out board policies effectively.
2. The school district has established clear and valid objectives for students. With general direction from the board, the district administration communicates clear expectations for what students should know and be able to do in each grade and subject and holds personnel accountable for ensuring that all students meet these expectations.

3. The school district has documentation explaining how programs have been developed, implemented, and conducted. District administration clearly describes, verbally and in writing, how programs have evolved and how they are delivered.
4. The school district uses results from district designed or adopted instruments to adjust, improve, or terminate ineffective practices. The district ensures that assessment data are readily accessible to teachers and principals and that these personnel have the skills to analyze data to inform and adjust instruction.
5. The school district has been able to improve productivity. The bottom line, according to English, is the answer to the following question: “Are we getting better results?”

These standards and the protocols that follow form the foundation of the New Mexico Curriculum Audit.

## **V. Curriculum Audit Process**

According to English (1988), “A curriculum audit is a process of examining documents and practices that exist within a peculiar institution normally called a “school” in a given time, culture, and society” (p. 47). In New Mexico, the core process occurs during a 3-day onsite visit in the CA district that is being audited. Document review is part of this onsite visit. Some document review can and should be done by auditors in advance of the onsite visit. During the 3 days on site, the external auditors conduct individual and/or group interviews with key personnel including board of education members, the superintendent, principals, teachers, students, and parents. Auditors also make onsite visits to schools and conduct other observations in the district. Document reviews, interviews, school visits, and observations make up the data gathering phase of the curriculum auditing process. Auditors ask specific interview questions in order to determine how well the district is meeting the five standards outlined above. Similarly, they review documents, looking for specific items and features that indicate whether or not the district has in place a curriculum management system that meets the five standards and supports student achievement. During school visits, external auditors

are also looking for specific evidence that the district delivers a consistent and coherent curriculum to all students. The entire process, including preparation, document review, onsite visitation and observations, exit interview, and report writing should take 5-7 days, depending somewhat on the size of the district and the number of auditors.

The auditors should closely follow the content and templates for the audit process described below. The sample schedule (see letter that follows) is provided for guidance purposes. If followed, it ensures optimal use of time by both auditor(s) and district personnel. It is designed to yield maximum benefit to all involved. Auditors should take notes throughout the process, organizing them according to the five auditing standards. For the auditors' convenience, each item that appears below in the templates is followed (in parentheses) by the number of the auditing standard to which it relates. A "Data Organizer for Curriculum Auditors" is provided in Appendix F as a mechanism for recording and organizing key points, quotes, and other important data that are gathered throughout the process.

### **Pre-Visit: In Advance of the Site Visit**

In advance of the onsite visit to the district, auditors must successfully complete training required by the NMPED. Auditors should become familiar with New Mexico's curriculum auditing documents and procedures, as well as the district they will be auditing. District and the NMPED websites contain much useful information about district operations, especially performance on state-required assessments.

The auditor(s) should send a letter to the superintendent of the CA district that will be audited as soon as possible after the NMPED has notified the district of the name(s) of the auditor(s) and the dates for the onsite audit visit. In the letter, auditors should request the actual documents (or their location on the Internet) that they intend to review before and during the onsite visit. Auditors should indicate when they plan to conduct the entrance and exit interviews and specify when and where they would like to conduct individual/group interviews, and conduct school site visits. The superintendent

or his/her designee can be asked to make these and other arrangements. A sample letter appears in the text box below.

Dear Superintendent [*insert name*]:

My colleague and I [*specify colleague's names and/or your organization*] look forward to conducting a curriculum audit in your district on [*insert beginning and ending dates*]. As you know, completion of the curriculum audit is a requirement for New Mexico districts in corrective action status. Our intent is to make this process as productive and beneficial to you and your district as possible. In order to make the best use of our time and yours while we are in the district, we would like to review the following documents (hard or soft copies) in advance of the onsite visit:

- Written curriculum documents including curriculum guides, scope and sequence documents, course catalogs, pacing guides, or other documents that will familiarize auditors with your district's curriculum;
- Board of Education policies and regulations related to curriculum, including textbook selection;
- Agendas and minutes of Board of Education meetings conducted in the last 6 months;
- Accreditation and other official reviews of district operations( e.g., state auditor's reports) in the past 3 years;
- The district's Web EPSS, as submitted to the NMPED for the past 3 years; and
- The district's NM SBA data and analyses (in compliance with FERPA) for the past 3 years.

While we are in the district, we will review additional documents such as individual program descriptions, budgets, formative or short-cycle assessment data, analyses of both formative and summative assessment data, and other documents related to curriculum.

We will arrive at the district office at 8:30 am on (*insert date*) and have a brief entrance interview with you and your staff to review the schedule and address questions that have arisen. On the first morning, we would like to interview you individually as well as one or two board members. Please make arrangements for one or two school site visits in the afternoon and a group interview with five to seven principals after school. Site visits take approximately 45 minutes, and group interviews will last no longer than an hour.

On the second day, please arrange one or two group interviews with students (7-10) by grade span and one with parents (7-10) in the morning, followed by a school site visit. One or two more school site visits should be scheduled in the afternoon, with a teacher group interview (7-10 teachers representing all grade levels) after school.

We will finish reviewing documents on the morning of the third day and conduct an exit interview with you and your staff in the afternoon. At this time we will verbally share preliminary findings with you and outline the remainder of the auditing process. For more detail about the schedule and the process, please refer to the enclosed document, *New Mexico Curriculum Auditing Handbook*. Please contact me at (*insert telephone # and/or e-mail address*) if you have questions or concerns.

Sincerely,

XXXX, Lead Auditor

Contact Information

Encl: *New Mexico Curriculum Auditing Handbook*

Auditors should request only documents they intend to review in advance of the site visit. If there is not adequate time for review, the letter should be modified to request that these documents be made available at a central location during the site visit. Auditors should feel free to personalize the letter, as long as the communication remains clear about the general schedule and purpose of the onsite visit.

*Document Review:* Document reviews are a primary source of data in the curriculum auditing process. Auditors review specific documents to formulate and inform findings and recommendations related to specific standards. The guidelines below should be used to review specific documents.

<b>Document</b>	<b>Guidelines for Review</b>
Board Policies and Regulations re: Curriculum, Textbook Selection	Determine what board policies and regulations related to curriculum and textbook selection exist. <ul style="list-style-type: none"> <li>• How current are these policies and regulations? Is there any policy or regulation that is conspicuously absent (e.g., evaluation of curriculum)?</li> </ul>
Accreditation and other Official Reviews of District Operations	Determine what accreditation or other official reviews of district operations have taken place within the last 3 years. <ul style="list-style-type: none"> <li>• What were the results of these reviews re curriculum? List any strengths or weaknesses identified.</li> </ul>
District Web EPSS (last 3 years)	Look for an identifiable logic pattern in the desired outcomes or goals and the activities for achieving the anticipated results. <ul style="list-style-type: none"> <li>• What is that pattern?</li> <li>• Is there evidence that the district/schools are using research-based curriculum and instructional practices? (Please list.)</li> <li>• Do the Web EPSS plans appear credible and feasible? (Please list evidence.)</li> <li>• Do the school(s) and district Web EPPS appear to be aligned? (What is the evidence?)</li> </ul>
Course Catalog, Descriptions.	Review the different course catalogs, descriptions of offerings, and requirements for various schools in the district. Look for consistency where consistency is necessary (e.g., descriptions of core courses, mastery of the state standards, graduation requirements, etc.). Flag any inconsistencies that are questionable.
Curriculum Documents (e.g., Scope and Sequence Outlines,	Look to see that all of these different curricular documents exist. <ul style="list-style-type: none"> <li>• Do they exist for all subject areas and in all schools?</li> <li>• Do these documents appear to be thorough and comprehensive? (Please list evidence.)</li> </ul>

Document	Guidelines for Review
Curriculum Maps and Pacing Guides, Instructional Calendars)	<ul style="list-style-type: none"> <li>• Does there appear to be alignment between and among these various documents?</li> </ul>
Agendas and Minutes of Board Meetings	<p>Look for evidence that curriculum is being addressed (e.g., student achievement data, changes in curriculum or instructional practices, reports on individual programs, etc.).</p> <ul style="list-style-type: none"> <li>• Is curriculum addressed at every board meeting?</li> </ul>
Professional Development Calendars and Evaluations	<ul style="list-style-type: none"> <li>• Is there a professional development calendar for the district?</li> <li>• Do offerings appear to be coordinated among schools and relate directly to school/district goals?</li> <li>• Is most professional development focused on curriculum and instruction?</li> <li>• Are professional development events evaluated and the evaluation data used in planning future events?</li> </ul>
NM SBA Data and Analyses	<ul style="list-style-type: none"> <li>• Are there documents listing NM SBA results, along with analyses of these results, for the last 3 years?</li> <li>• Are these documents readily available?</li> <li>• Do these documents meet the needs of classroom teachers?</li> </ul>
<b>Onsite Document Review</b>	
Short-Cycle Assessment Data and Analyses	<ul style="list-style-type: none"> <li>• Are there documents listing the results of all short-cycle assessments, including an analyses of the data?</li> <li>• Are these documents readily available?</li> <li>• Do these documents meet the needs of classroom teachers?</li> </ul>
Budgets	<p>In looking at the district budgets for the last 3 years, identify major expenditures related to curriculum (new texts, professional development, changes in course offerings, increased support services for students, testing, etc.).</p> <ul style="list-style-type: none"> <li>• Is the amount spent on curriculum about the same each year, or are there fluctuations reflecting district needs?</li> </ul>
Fiscal Audits	<p>Determine if there have been any fiscal audits in the last 3 years.</p> <ul style="list-style-type: none"> <li>• If so, what were the findings; and did any of the findings relate to curriculum? (If there were findings, please list them.)</li> </ul>
Facilities Reviews and Plans	<p>Determine if the district is currently operating under any facilities reviews and plans (e.g., plan for renovating or building a new elementary school).</p> <ul style="list-style-type: none"> <li>• How do these reviews/plans address curricular issues?</li> </ul>



Observations and findings from the review of documents should be recorded and summarized in the “New Mexico Curriculum Audit Document Review Summary” form below.

<b>New Mexico Curriculum Audit Document Review Summary</b>		
<b>Document</b>	<b>Related Standard(s)</b>	<b>Observations/Findings</b>
Board Policies and Regulations re Curriculum, Textbook Selection	1	
Accreditation and Other Official Reviews of District Operations (3 years)	1,3	
District EPSS (3 years)	1,3	
Course Catalogs, Descriptions	2	
Curriculum Documents (e.g., Scope and Sequence, Curriculum Maps, Pacing Guides, Instructional Calendars)	2	
Agendas and Minutes of Board Meetings (6 mos.)	1	
Professional Development Calendars and Evaluations	3	
NM SBA Data and Analyses (3 years)	4	
Short-Cycle Assessment Data and Analyses (3 years)	4	
Budgets (3 years)	5	
Fiscal Audits (3 years)	5	
Facilities Reviews and Plans	5	

## Day 1: First Day of the Onsite Visit

### **Morning**

*Entrance Interview:* The purpose of the entrance interview is to review the 3-day schedule in some detail, determine who from the district office will accompany auditors on school site visits, and take care of other logistical issues. Time should be allotted for district staff to ask questions, and auditors should also have time to ask clarifying questions about the documents they reviewed in advance of the visit. Auditors should reiterate that the audit is intended to help the district identify problems related to curriculum and to provide recommendations that will help the district address these problems, with the ultimate goal of improving student achievement. The superintendent should determine who will attend the entrance interview. Auditors should encourage attendance of all key district personnel such as directors of federal programs, special education, Title I, curriculum and instruction, and bilingual education.

As mentioned earlier in this document, there are five supplemental sheets of questions that the auditors can draw from. They address mathematics, multilingual/multicultural learners, reading/language arts, special education, and RtI (See Appendices A-E.). If any of these five areas are targets for the district, the auditors can select the most appropriate questions to ask. Each question has listed suggested responders, but that will vary with the staffing in a district. For example, a district may not have a curriculum director, but someone will be responsible for curriculum.

*Superintendent Interview:* This is a one-on-one interview between the superintendent and the lead auditor. High-performing districts have superintendents and principals who are strong leaders in the areas of curriculum and instruction. Superintendents who do not have this knowledge or focus may be hesitant to answer these questions in front of their staff. Interview questions address all five audit standards. The number of the standard to which each question relates appears in parentheses after the question.

- ✓ What evidence has been gathered to demonstrate strengths and weaknesses of the district's curriculum? (1,4)
- ✓ How do board policies guide your actions about curriculum and curricular priorities? Please describe a recent curricular decision you made that related to a board policy. (1)
- ✓ How are curriculum decisions at the school site level influenced by overall curricular priorities of the district? (1, 2)
- ✓ How does the district ensure curricular consistency across and among schools? (1,2)
- ✓ What is the district's long-range plan for curriculum? (1,2)
- ✓ What is the main mission of the district? How has it changed during your tenure? (2,3)
- ✓ Have the curricular priorities changed over the years? How? (1,3)
- ✓ Have any programs been terminated based on poor performance? Which ones? What criteria were used to make the decision? (3,4)
- ✓ How are NM SBA test data used by principals to improve instruction or results of your short-cycle assessments? (4)
- ✓ How does your school/district assess subjects that are not tested by NM SBA? (4)
- ✓ Describe a curricular decision that has been based on NM SBA results and/or results of your short-cycle assessments. (4)
- ✓ What guidelines are used to develop budgets? Are NM SBA and short-cycle test results used to guide budget development? How? How are curricular priorities reflected in these guidelines? (5)

*Board Member(s) Interview:* Since board of education members play a critical role in setting curricular priorities, their involvement should go beyond advising and budgeting for curriculum. Optimally, two board members will be interviewed individually. If there are two auditors, one interview with a board member may occur at the same time that the lead auditor is interviewing the superintendent. The second interview should

immediately follow the first, offering no opportunity for board members to discuss questions and answers. The number of the standard to which each question refers appears in parentheses after each question below.

- ✓ What are the mission, purpose, and key objectives of the district's schools? Where do they appear? (2)
- ✓ How do you know if the district's mission is being accomplished? (2)
- ✓ What evidence or data does the administration present to the board to demonstrate that its policies are being followed? (1)
- ✓ Approximately what percentage of time does the board spend on issues related to curriculum? (1)
- ✓ How does the board evaluate the administration's leadership related to curriculum? (1)
- ✓ How does the district's EPSS address curriculum? (2)
- ✓ How does the board evaluate its programs and curricula? (3)
- ✓ What are the strongest and weakest programs in the district? How did they get that way? (3,4)
- ✓ How is the budget adjusted to strengthen programs? (1,3)
- ✓ How often do you receive presentations at board meetings related to student achievement test data? Please describe these presentations. (4)
- ✓ How does the district assess areas of the curriculum that are not included in NM SBA? (2,4)
- ✓ Describe a curricular decision that has been based on NM SBA results and/or results of your short-cycle assessments. (4)
- ✓ How are budget priorities established? (1,5)
- ✓ What criteria do you use to make decisions about budget reductions? (1,5)
- ✓ How do you know that funds spent on curriculum priorities are effective? What data sources do you use? (4,5)

- ✓ How are NM SBA and short-cycle assessment scores used to guide development of the budget? (1,4,5)

### **Afternoon**

*School Site Visit:* Upon entering the school building and meeting with the principal, the auditor must make clear that the visit is not an inspection or personnel evaluation. Rather, the purpose of the school site visit is to provide the auditor with a better understanding of the environment for learning. During the school site visit, the auditor meets with the principal and tours the building, looking for factors that support or facilitate learning and factors that may impede learning. The five indicators identified in the table below link to the five curriculum auditing standards. Using the template provided below for each school site visit, auditors should identify the evidence for their conclusions that each of the five factors is either a facilitator of or barrier to learning.

*Group Interview with Principals:* Principals form the critical link between board curricular policy, central office guidelines, and what actually happens in schools. The ideal size for a group interview of this nature is 5-7 participants. In districts with seven or fewer schools, all principals should be invited to participate. In districts with more than seven schools, participants should include at least one principal from each grade span in the district (e.g., K-5, 6-8, and 9-12). Standard group interview protocols should be followed; a sample group interview protocol appears in Appendix G. Each question relates to the standard in parentheses after the question.

<b>NMPED Curriculum Audit – School Visit Protocol</b>	
<b>School Name:</b>	<b>Date of the Visit:</b>
<b>Principal's Name:</b>	

Item	Area of Need (1)	Area of Concern (2)	Meets Expectations (3)	Exemplary (4)	Evidence
District curriculum documents are readily available and used. (1)					
Goal statements related to academic achievement are visible. (2)					
Student work is displayed. (3)					
Student test data are readily available and used. (4)					
The school has evidence of improving student achievement and closing achievement gaps. (5)					

- 
- ✓ How do board policies influence your curriculum work as a principal? (1)
  - ✓ What kinds of internal curricular problems with consistency have you encounter(ed)? How were they resolved? (1)
  - ✓ Have you or your teachers experienced problems with articulation (or lack thereof) between your curriculum and that of other schools from which you receive children? How are these problems resolved? (1)
  - ✓ How does the district establish priorities for the curriculum? What avenues are available for principals to voice concerns about the curriculum? (1,5)
  - ✓ Do you require teachers to submit lesson plans? If so, how do you determine the extent to which the plans follow the curriculum? If not, how do you monitor the curriculum? (2)
  - ✓ If there is a conflict between the content and methods teachers use in classrooms and board policy, how are they resolved? (1)
  - ✓ How do you learn about and communicate the district's curricular priorities to teachers? (2)
  - ✓ Do the district's goals, as described in the district EPSS, influence your school's goals, as reflected in the school EPSS? How?(2)
  - ✓ How is your evaluation influenced by the district's priorities? (2)
  - ✓ What programs are strongest and weakest in your school? How did they get that way? (3)
  - ✓ How do you improve instructional programs? (3)
  - ✓ How do you know that you are delivering appropriate curriculum to your students? (3)
  - ✓ Do you receive NM SBA data from your district in a usable format (e.g., disaggregated by subgroup)? (4)
  - ✓ What decisions have been made in your school as a result of NM SBA and/or short-cycle test results? (4)
  - ✓ How are curricular priorities established in your school and reflected in the budget? (5)

## Day 2: Second Day of the Onsite Visit

### **Morning**

*Group Interview with Students:* As the ultimate consumers and “end users” of the curriculum, students should also be interviewed. Because younger students (K-6) usually cannot distinguish very well between liking and not liking their teachers and/or the curriculum, group interviews should be conducted with students in seventh grade and beyond. Group interviews of 7-10 students are ideal. If time allows, group interviews should be conducted for students in each grade span; if there is not sufficient time, auditors should conduct a group interview with students from the highest grade span offered in the district (e.g., Grades 7-8 or 9-12), following the guidelines provided in Appendix G. Each question below relates to the standard identified in parentheses.

- ✓ Has the content of the courses (i.e., curriculum) you have taken in math and English been connected from year to year? In other words, have the courses built on content you learned in the previous year or have they repeated it? (1,2)
- ✓ Have your courses (i.e., curriculum) adequately prepared you for exams you have had to take, such as the NM SBA and college entrance exams? If not, what do you think was missing in your coursework? (1,2)
- ✓ Were you adequately prepared academically by your previous school? Why or why not? (2)
- ✓ Do you have the academic support services (tutoring, counseling, library and computer access, etc.) that you need to be successful in school? If not, what is missing? (1)
- ✓ What courses are you required to take that you believe have the least value to you? The most value? (1)
- ✓ What do test scores mean to you? (4)

*Group Interview with Parents:* Like students, parents often have difficulty separating curriculum issues (the “what” that is being taught) from curriculum delivery issues (teaching and instruction). Sometimes a negative opinion of the curriculum is really a negative opinion of the teacher who is delivering it. Auditors may have to ask probing questions to establish a clear focus on the curriculum. For purposes of discussion with



parents, curriculum should be defined as “the content and subjects that are taught in school.” More detailed definitions that appear at the beginning of this document may also be used to clarify the focus of the group interview with parents. Questions below relate to the standards that appear in parentheses.

- ✓ Have you seen a copy of the district’s curriculum? Where? (1)
- ✓ Based on your experiences with your children, what are the strengths of the district’s curriculum? The weaknesses? (1)
- ✓ What do you think needs to be added to the curriculum or receive more emphasis? (1)
- ✓ Do you know how the district establishes curricular priorities? If so, please describe the process. (2)
- ✓ What programs are strongest and weakest in your school? How did they get that way? (3)
- ✓ What do test scores mean to you? (4)
- ✓ How does your child’s school use test data? (4)
- ✓ What else would you like to share with us about the curriculum at your school/district?

### **Afternoon**

*School Site Visit:* See *NMPED Curriculum Audit School Visit Protocol* on p.19.

*Group Interview with Teachers:* In terms of curriculum, classroom teachers are “where the rubber meets the road.” They are the group that is responsible for implementing the curriculum, as outlined in board policy, directed by central administration, and enforced by the principal. They are also the group that is most qualified and likely to identify gaps in the curriculum. To encourage full participation of teachers, at least three teachers from each grade span in the district (e.g., K-5, 6-8, and 9-12) should participate. In districts with fewer than three teachers in each grade span, all teachers should be invited to participate. The protocol in Appendix G should be

followed as closely as possible. Each question below is followed in parentheses by the number of the audit standard to which it refers.

- ✓ How do you determine the content you teach in your classroom? (1)
- ✓ If you have a question regarding curriculum content, whom do you ask? (1)
- ✓ How does your principal ensure curricular consistency and fidelity in your school? (1)
- ✓ How does the district ensure curricular consistency and fidelity in your subject(s) between schools in the district? (1)
- ✓ Have you identified any gaps in the curriculum you are required to teach? If so, what are they? (1)
- ✓ Do/how do you know what the district's curricular goals are for the subject(s) you teach? (2)
- ✓ How is the district's curriculum monitored? (2)
- ✓ What programs are strongest and weakest in your school? How did they get that way? (3)
- ✓ How does your school improve programs? (3)
- ✓ How does your school analyze and use student test data to improve instruction (e.g., disaggregated data)? (4)
- ✓ How do you use student test data to adjust the curriculum you teach? Please provide an example. (4)
- ✓ How does the budget development process support or not support your efforts? What changes in financial priorities are needed to better support your curriculum? (5)

### **Day 3: Third Day of the Onsite Visit**

#### ***Morning***

*Triangulation of Data and Draft Report:* During this time, the auditor(s) should compile and review all the data that have been gathered through reviewing documents,

interviewing key district staff and stakeholders, and visiting schools sites. The template provided in Appendix F may help organize the collected data.

The core of the audit is in the findings. A finding must be substantiated with at least three data sources, which is known as triangulating the data. By the end of their time in the district, auditors will begin to see common patterns and themes related to curricular issues. For example, the visit to elementary school #1 may have revealed that the scope and sequence for math comes from one textbook series, and the visit to school #2 may have revealed a scope and sequence document from another textbook series. Upon reviewing NM SBA data, the auditor notes that mathematics performance throughout the district has stagnated over the past 3 years. If these three data sources (two site visits and NM SBA data analysis) point to a significant finding that the mathematics curriculum in this district does not have clear objectives for what students should know and be able to do, Standard 2 is not met. If there are at least three data points (or two very strong data points) to support it, observations should become a finding in the curriculum audit report. More about findings can be found in the section of this document that addresses writing the curriculum audit report.

The major findings of the audit, with the data that support them, are the focus of the exit interview that is conducted with the superintendent in the afternoon of the last day. These findings and data sources can be jotted down in note form for auditors to use during the exit interview, but they should not be copied and distributed to participants or formalized in any way.

### **Afternoon**

*Exit Interview:* In keeping with the “no surprises” policy of all good auditing processes, the auditor(s) should meet with the superintendent (and anyone else who participated in the entrance interview) in the afternoon of the final day of the site visit. The purpose is to verbally deliver and discuss the preliminary findings of the audit. Auditors should encourage participants in the exit interview to ask clarifying questions about the findings, paying particular attention to any findings that appear to be based on inaccurate or incomplete information. Auditors must assure district personnel that the

final written audit report will be consistent with findings presented during the exit interview. Clearly, the final written report will include much more detail, but it should not contain any major findings that are not addressed in the exit interview. District participants should also be told when to expect the draft report for their review. They will be given the opportunity to correct errors of fact and/or omission in the draft audit report, but they will not have the opportunity to resolve differences of opinion or dispute findings at that point. The exit interview provides the district its opportunity to question findings and conclusions. An exit interview lasts approximately 45 minutes.

### **Post-Visit: Offsite Report Writing**

The curriculum audit report is written after auditors leave the district. It is written in plain, jargon-free language, is double-spaced for easy reading, and is approximately 30-50 pages long, including appendices. The format is outlined and described in the next section of this document. The audit report should be written with the following audiences in mind: the board of education, the district staff, and the public. Because the district should be encouraged to make the audit report public, quotations should be used sparingly, with no attribution to named individuals; instead, the source of the quote should be identified by the category of his/her position (e.g., senior district administrator). The job of the auditor is not to affirm or deny hypotheses or even to solve the district's curriculum problems, but to identify problems relating to curriculum management and suggest viable solutions.

The first draft should be sent to the district for review within ten school days of completing the site visit in the district. Once it receives the draft, the district should be given five school days to review the draft and report errors of fact or omission to the curriculum auditor. Within five school days of receiving the district's response, the auditor should finalize and send the curriculum audit report to the district and the NMPED.

## VI. Curriculum Audit Report: The Final Product

According to English (1988), “A curriculum audit is both a process and a product. It is an activity and an event” (p. 45). The final product, the curriculum audit report, should include the following elements:

- I. Background
  - A. Demographics, enrollment trends, and governance of the district.
  - B. Purpose of the curriculum audit.
  - C. Scope of work.
- II. Methodology
  - A. Documents, interviews, and site visits used as the basis for the audit.
  - B. Curriculum auditing standards.
- III. Findings
  - A. Based on triangulated data.
  - B. Reported/grouped by standard.
- IV. Recommendations
- V. Summary
- VI. Appendices

The purpose and general content of all sections of the report, as well as boilerplate language for some of the sections, are described in greater detail below.

- I. *Background:* Auditors must customize this section, using the following guidelines. The demographic information that is provided in this section of the report should include only those facts that directly impact the district’s capacity to develop and deliver curriculum effectively. For example, a geographically large district with relatively small enrollment has curriculum challenges that are different from the ones faced in urban districts with large enrollments and district offices in a relatively compact area. Similarly, dramatic increases or declines in student enrollment will impact the district’s capacity in the area of curriculum. The governance of the district should be described in terms of the number of members on the board, vacancies and turnover on the board, and the frequency of meetings. Major recent events,

such as a grand jury investigation of the district's comptroller or a scandal in a board election, may also be important to note if the auditor determines that these events have impacted the district's ability to deliver an appropriate and viable curriculum to its students.

The following boilerplate language may be used for:

*Purpose*

The purpose of the curriculum audit is to determine the extent to which the staff and governing board of the district have developed and implemented a system of curriculum management. Systems that manage curriculum effectively use their human and financial resources optimally to deliver an appropriate and viable curriculum to all students.

*Scope of Work*

A curriculum audit is an independent examination of the operations and systems that support and relate to the curriculum. It is conducted by individuals who have been identified and approved by the NMPED. It may be considered as a type of quality control to help the district perform its core function, educating children, as effectively as possible.

II. *Methodology*

New Mexico's model for the curriculum audit is shown in Exhibit 1. It illustrates the three facets of curriculum—the written, taught, and assessed curriculum—and how they are reflected at the district, school, and classroom levels. In order to determine how well the district exercises its responsibilities for curriculum management, and to fulfill its quality control function, the curriculum audit includes:

- **Document Reviews**

Board policies, curriculum documents, NM SBA and other student test results, and other information sources are examined to determine how well the written, taught, and assessed curriculums are linked and aligned.

- **Interviews**

In structured discussions with district administrators, school principals, teachers, students, and parents, curriculum auditors discover the extent to which the district curriculum is being implemented with fidelity. They can also identify strengths and weaknesses in the curriculum that lead to audit findings and recommendations.

- **Site Visits**

Visits to schools reveal the context for learning that exists in the district. Auditors observe the conditions in which teachers teach and students are expected to learn.

Data collected through these means form the basis of the curriculum audit.

*Curriculum Auditing Standards* may also be described using boilerplate language.

1. The school district is able to demonstrate its control of resources, programs, and personnel.
2. The school district has established clear and valid objectives for students.
3. The school district has documentation explaining how programs have been developed, implemented, and conducted.
4. The school district uses results from district-designed and/or adopted instruments to adjust, improve, or terminate ineffective practices or programs.
5. The school district has been able to improve productivity.

### III. *Findings*

This is the most important section of the audit and must be unique to each district.

After gathering the data, auditors carefully review and organize the data around the

five auditing standards. The “Data Organizer for Curriculum Auditors” contained in Appendix F may be a useful tool for organizing and sorting the key evidence from all the data sources (documents, interviews, observations). All the pieces of data or evidence for each standard must then be clustered into common themes, issues, or concerns, which then form the basis for the curriculum audit findings.

There is no magic formula or calculation for taking separate pieces of evidence and combining them into findings. Auditors must apply their knowledge, experience, and expertise to weigh the data carefully, synthesize them, and decide whether or not their conclusions rise to the level of a finding in the curriculum audit report. A process of triangulating the data is useful. Auditors identify three discrete pieces of evidence or two very strong pieces of evidence to support each finding. Usually a document will be one source of data to support a finding because documents are the most tangible and therefore the strongest evidence of the systems that the district does or does not have in place to manage the curriculum

Similarly, there is no magic number of findings or ideal ratio of positive to negative findings. That being said, the number of findings should not overwhelm districts; they should have a reasonable chance of addressing them successfully over a period of 1 or 2 years. Auditors must use their professional expertise and judgment to identify the most important findings; the findings that are unequivocally supported by the data; and the findings that, if properly addressed, will significantly contribute to improving student achievement in the district.

#### *IV. Recommendations*

Recommendations emerge from and relate directly to the findings. Again, there is no magic number, but common sense tells us to not overwhelm a district with recommendations. According to English (1988), “the number of recommendations should not normally exceed 20, unless the system is quite large” (p. 80). Just as with goals in a district improvement plan (Web EPSS in New Mexico), the recommendations should be specific and measurable. Someone should be held



accountable for implementing them, they should be realistic, and they should be doable in a reasonable amount of time.

#### V. *Summary*

As with all good summaries, this one should be short and concise. It should drive home the key messages of the audit without repeating the findings and recommendations. Basically, the summary gives the charge to the district to take specific actions to strengthen curriculum management, ensure that all students are taught an appropriate and viable curriculum, and, ultimately, improve student achievement.

#### VI. *Appendices*

Auditors may select specific documents to include as appendices to the curriculum audit report. It is particularly useful to include documents or portions of documents that support and validate key findings and subsequent recommendations. Decisions to include appendices, and which documents to append to the report, are the responsibility of the auditor.

## References

- Anderson, S. E. (2003). *The school district role in educational change: A review of the literature*. Toronto, CAN: Ontario Institute for Studies in Education, International Centre for Educational Change.
- English, F. W. (1988). *Curriculum auditing*. Lancaster, PA: Technomic. (ERIC Document Reproduction Service No. ED302912)
- Hall, S. L. (n.d.). *Create your implementation blueprint: Introduction*. Retrieved from <http://www.rtinetwork.org/getstarted/develop/create-your-implementation-blueprint>
- Jerald, C. (2003, November). Beyond the rock and the hard place. *Educational Leadership*, 61(3), 12–16.
- New Mexico Code. NM Stat. Ann. §22-2C-7-J. (2010 NMSA 1978).

## Appendix A

### Supplemental Sheet for Reading/Language Arts

Here are some additional questions specifically related to reading/language arts that may be useful to those conducting a curriculum audit, especially if reading/language arts achievement is a target area. The information following the question first indicates the curriculum standard to which the question relates followed by the person or group that may best answer the query. What is the evidence that the district:

- has an approved a coherent and focused K-12 reading/language arts curriculum aligned with the NM Content and Process Standards? *(1, superintendent, board member, director of curriculum)*
- has a K-12 reading/language arts curriculum that addresses the components of reading (i.e., phonological/phonemic awareness, phonics, fluency, vocabulary, and comprehension), writing, speaking and listening, and language in a developmentally appropriate progression? If anything is missing, how do teachers compensate? *(1, curriculum director, principal, teacher)*
- provides teachers with the scope and sequence and pacing guide for this approved curriculum in reading/language arts? *(3, curriculum director, principal, teacher)*
- provides administrators and teachers with clear expectations as to the implementation of this curriculum? *(2, curriculum director, principal, teacher)*
- has a process for monitoring implementation of the curriculum? *(1, curriculum director, principal, teacher)*
- ensures that schools and teachers have adequate resources for instruction (literary and informational texts, leveled texts, technology, and media? What, if anything, is in short supply? *(1, principal, teacher)*
- ensures that supplemental and remedial materials and enrichment activities are being used in addition to the core or primary program? *(1, curriculum director, principal, teacher, parent, student)*
- ensures that all students have access to the approved reading/language arts curriculum? Does access include homeless, economically disadvantaged, and all minority students? *(2, principal, teacher, student, parent)*
- provides a range of assessments to guide instruction in the reading/language arts curriculum that includes screening, formative, progress monitoring,

diagnostic, and summative evaluation? List which ones are currently used. (4, curriculum director, principal, teacher)

- has short-cycle formative assessments that are specifically aligned to the reading/language arts curriculum? (4, curriculum director, principal, teacher)
- ensures that administrators and teachers use data, such as district formative assessments (that are aligned to the approved curriculum and NM standards), to adjust instruction and improve student learning in reading/language arts? (4, principal, teacher)
- provides teachers and principals with adequate and ongoing professional learning to support the implementation of the approved curriculum? If evidence exists, does this professional learning include a teacher learning community in which reading/language arts is the focus? If so, by grade level or across grade levels? (1, principal, teacher)
- makes sure that the professional learning covers pedagogical content knowledge for reading/language arts as well as cultural competence in addressing individual student learning needs? (1, curriculum director, principal, teacher)
- has specific goals for improving student achievement in reading/language arts? If evidence exists, are these goals reflected in the school and district Web EPPS and publicized to the community? (2, principal, teacher, parent)
- supports site leadership in holding teachers accountable for delivering the adopted curriculum with fidelity? (2, superintendent, board member, curriculum director, principal, teacher)

## Appendix B

### Supplemental Sheet for Mathematics

Here are some additional questions specifically related to mathematics that may be useful to those conducting a curriculum audit, especially if mathematics achievement is a targeted area. The information following the question first indicates the curriculum standard to which the question relates followed by the person or group that may best answer the query. What is the evidence that the district:

- has a coherent and focused K-12 mathematics curriculum, aligned with the NM Mathematics Content and Process Standards? (1, *superintendent, board member, curriculum director*)
- provides teachers with guidance as to the pacing and scope and sequence of the district mathematics curriculum? (3, *curriculum director, principal, teacher*)
- provides administrators and teachers with clear expectations as to the implementation of the curriculum? (2, *curriculum director, principal, teacher*)
- has a process for monitoring implementation of the curriculum? (3, *curriculum director, principal, teacher*)
- ensures that all students have access to the mathematics curriculum? Does access include homeless, economically disadvantaged, and all minority students? (2, *principal, teacher, parent, student*)
- uses a curriculum is organized around cognitively demanding, open-ended problems? (3, *curriculum director, teacher, student*)
- ensures that schools and teachers have adequate resources for instruction (textbooks, manipulative materials, graphic calculators, PDAs, etc.)? What, if anything, is in short supply? (1, *curriculum director, principal, teacher, parent, student*)
- has short-cycle formative assessments that are specifically aligned to its mathematics curriculum? If evidence exists, when and to whom are these assessments given? (4, *curriculum director, principal*)
- sets forth the expectation that administrators and teachers use data from district and school assessments (that are aligned to the curriculum and NM standards) to adjust instruction and improve student learning in mathematics? (4, *principal, teacher*)

- ensures that teachers and principals have adequate and on-going professional learning to support the implementation of the curriculum? If evidence exists, does this professional learning include a teacher professional learning community in which mathematics is the focus? If so, by grade level or across grade levels? (1, *principal, teacher*)
- provides professional learning that covers pedagogical content knowledge for mathematics as well as cultural competence in addressing individual student learning needs? (1, *principal, teacher*)
- has specific goals for improving student achievement in mathematics. If evidence exists, are these goals reflected in the district and school Web EPSS and publicized to the community? (2, *principal, teacher, parent*)
- supports site leadership in holding teachers accountable for delivering the adopted curriculum with fidelity? (2, *superintendent, curriculum director, board member, principal, teacher*)

## Appendix C

### Supplemental Sheet for Multilingual/Multicultural Learners

Here are some additional questions specifically related to multilingual/multicultural learners that may be useful to those conducting a curriculum audit, especially if achievement of these students is in a targeted area. The information following the question first indicates the curriculum standard to which the question relates followed by the person or group that may best answer the query. What evidence exists that the district:

- has a coherent and focused K-12 English language development (ELD) curriculum aligned with the NM ELD standards? (1, superintendent, curriculum director)
- follows the approved state Bilingual Application and Budget? (1, superintendent, curriculum director)
- provides teachers with guidance as to the pacing and scope and sequence of the ELD standards? (3, curriculum director, principal, teacher)
- provides administrators and teachers with clear expectations as to the implementation of the curriculum? (2, superintendent, curriculum director, principal, teacher)
- recommends appropriate approaches to instruct multilingual and multicultural learners)? What determines which students receive which methodology? (3, superintendent, curriculum director, board member)
- has specific goals for improving student achievement for multilingual/multicultural learners in the areas of mathematics and reading? Are these goals incorporated into the district and school Web EPSS plans? (2, superintendent, curriculum director, principal)
- provides access to the general education curriculum for all students, including multilingual/multicultural learners? (3, superintendent, principal)
- ensures that supports and interventions are being provided to all students, including multilingual/multicultural learners, in the general education setting? (3, principal, teacher)
- provides guidance to schools on the selection and use of various research-based ELD curricula for multilingual/multicultural learners to include core and supplemental intervention programs. (3, curriculum director, principal, teacher)

- provides teachers with access to the instructional materials they need to support academic language development (e.g., technology, diagnostic measures, intervention programs, etc.)? What, if anything, is in short supply? (1, principal, teacher, parent, student)
- ensures that administrators and teachers use valid assessment data to adjust instruction and improve student learning in reading/mathematics for all students, including multilingual and multicultural learners? (4, curriculum director, principal, teacher)
- provides contact staff if teachers have questions about the assessment and instruction of multilingual/multicultural learners? (1, curriculum director, principal, teacher)
- provides teachers with professional learning focused on providing instruction to students whose first language is other than English [e.g., Guided Language Acquisition and Design (GLAD), Sheltered Instruction Observation Protocol (SIOP), Five Standards of Effective Pedagogy (CREDE)]. Is this professional learning reflected in the district's professional learning plan or calendar? (1, curriculum director, principal, teacher)
- provides teachers with professional learning in cultural competence. Is this professional learning reflected in the district's professional learning plan or calendar? (1, curriculum director, principal, teacher)
- supports site leadership in holding teachers accountable for delivering the adopted curriculum with fidelity? (2, superintendent, special education director, curriculum director, board member, principal, teacher)



## Appendix D

### Supplemental Sheet for Special Education

Here are some additional questions specifically related to special education that may be useful to those conducting a curriculum audit, especially if achievement of special education students is a targeted area. The information following the question first indicates the curriculum standard to which the question relates followed by person or group that may best answer the query. What evidence exists that the district:

- has specific goals for improving student achievement for students with disabilities in the areas of mathematics and reading? Are these goals incorporated into the district and school Web EPSS plans? (2, *special education director, curriculum director, principal*)
- provides access to the general education curriculum for all students, including those with disabilities? (1, *superintendent, special education director, curriculum director, principal, teacher, parent*)
- ensures that supports and interventions are being provided to all students, including supports, accommodations per IEPs, and appropriate interventions in the general education setting? (1, *special education director, principal, teacher, parent*)
- uses scientific research-based curriculum in mathematics and reading for students with disabilities that is age and grade appropriate and is aligned with the core curriculum? (3, *special education director, principal, teacher*)
- uses scientific research-based curriculum in mathematics and reading for students with disabilities that is age and grade appropriate and is aligned with NM Benchmarks and Standards? (1, *special education director, principal, teacher*)
- provides guidance to schools on the selection and use of core and supplemental intervention programs that are appropriate for students with disabilities? (1, *special education director, principal, teacher*)
- makes certain that schools and teachers have access to the instructional materials they need to effectively teach students with disabilities (e.g., assistive technology devices, formative diagnostic measures, intervention programs that are appropriate for students' age/grade level [manipulatives, content area textbooks and teacher resource guides, leveled readers, etc.]? What, if anything, is in short supply and why? (1, *principal, special education director, special education teacher, student, parent*)

- ensures that administrators and teachers use data, such as results of district assessments, to measure/monitor student learning and progress and to adjust instruction in order to improve learning in reading/mathematics for all students, including students with disabilities? What are the specific data being utilized? (4, *principal, teacher, student, parent*)
- uses annual state performance data to pinpoint specific areas of strengths and weaknesses in student academic performance (particularly struggling students and students with disabilities) and subsequently uses these data to inform the development of professional learning opportunities for teachers aimed at strengthening content instruction in the general and special education classroom. (4, *superintendent, special education director, principal, teacher*)
- provides guidance to schools on the selection and use of various assessments (e.g., screening instruments, progress monitoring tools, common based measures, diagnostic measures, etc.)? (3, *special education director, principal, teacher*)
- provides professional learning to general education teachers on topics relevant to effective instructional practices for teaching students with disabilities (e.g., grouping formats, data-based decision making, appropriate accommodations in the classroom)? Is the professional learning reflected in the district's professional learning plan or calendar? (1, *special education director, principal, teacher*)
- provides special education teachers with professional learning focused on providing effective instructional practices for students with disabilities (e.g., error analysis, precision teaching, formative assessments, monitoring student learning, increasing intensity of interventions)? Is the professional learning reflected in the district's professional learning plan or calendar? (1, *special education director, principal, teacher*)
- provides general education and special education teachers with professional learning opportunities on cultural competence? Is the professional learning reflected in the district's professional learning plan or calendar? (1, *special education director, principal, teacher*)
- supports site leadership in holding teachers accountable for delivering the adopted curriculum with fidelity? What evidence demonstrates the support provided to site leadership? What evidence demonstrates how fidelity is being measured and monitored? (2, *superintendent, special education director, curriculum director, board member, principal, teacher*)

## Appendix E

### Supplemental Sheet for Response to Intervention

These questions may be helpful in a curriculum audit, especially in a district that is implementing a multi-tiered approach to help struggling learners in general education, in special education, or both. This process includes regular assessment of proficiency in a skill, determining which students are behind, providing help in small groups for those students below benchmark, assessing regularly to monitor progress, and intensifying instruction for students whose progress is insufficient (Hall, n.d.).<sup>1</sup> The information following the question first indicates the curriculum standard to which the question relates. Even though Response to Intervention is not a curriculum per se, it addresses the design and delivery of curricula to students. Following the number is the person or group that may best answer the query. What evidence exists that the district:

- has a multi-tiered service delivery model (3-tiered system of support) to address students' academic and behavioral needs? (1, superintendent, board member, curriculum director)
- has a system that supports frequent monitoring of student progress to make results-based academic and/or behavioral decisions? (1, curriculum director, principal, teacher)
- provides administrators and teachers with guidance and direction as to the multi-tiered service delivery model (3-tiered system of support)? (2, curriculum director, principal, teacher)
- ensures the universal screening of all students to identify those not making academic or behavioral progress at expected rates? If evidence exists, determine how the universal screening works? (1, principal, teacher, parent)
- makes certain that progress monitoring determines whether academic or behavioral interventions are producing the desired effects? If evidence exists, determine what process is used? (5, principal, teacher)
- ensures that the needs of most students are met through high-quality, research-based instructional and behavioral practices? (Tier 1) (1, curriculum director, principal, teacher)
- makes sure that students needing additional intervention are identified and served through Tier 2 interventions? (1, curriculum director, principal, teacher)

---

<sup>1</sup> The auditors may want to review *The Student Assistance Team (SAT) and the Three-Tier Model of Student Intervention*, the resource guide for New Mexico's RtI Framework.

- Ensures that Tier 3 interventions are implemented? (1, *curriculum director, principal, teacher*)

**Appendix F**  
**Data Organizer for Curriculum Auditors**

Notes	Comments/Questions
<b>Standard 1</b>	
<i>Document Review</i>	
<i>Superintendent Interview</i>	
<i>Board Interview(s)</i>	
<i>Principals' Group Interview</i>	
<i>Students' Group Interview(s)</i>	
<i>Parents' Group Interview</i>	

Notes	Comments/Questions
<i>Teachers' Group Interview</i>	
<i>School Site Visit #1</i>	
<i>School Site Visit #2</i>	
<i>School Site Visit #3</i>	
<b>Standard 2</b>	
<i>Document Review</i>	
<i>Superintendent Interview</i>	
<i>Board Interview(s)</i>	

Notes	Comments/Questions
<i>Principals' Group Interview</i>	
<i>Students' Group Interview(s)</i>	
<i>Parents' Group Interview</i>	
<i>Teachers' Group Interview</i>	
<i>School Site Visit #1</i>	
<i>School Site Visit #2</i>	
<i>School Site Visit #3</i>	

Notes	Comments/Questions
<b>Standard 3</b>	
<i>Document Review</i>	
<i>Superintendent Interview</i>	
<i>Board Interview(s)</i>	
<i>Principals' Group Interview</i>	
<i>Students' Group Interview(s)</i>	
<i>Parents' Group Interview</i>	
<i>Teachers' Group Interview</i>	



Notes	Comments/Questions
<i>School Site Visit #1</i>	
<i>School Site Visit #2</i>	
<i>School Site Visit #3</i>	
<b>Standard 4</b>	
<i>Document Review</i>	
<i>Superintendent Interview</i>	
<i>Board Interview(s)</i>	
<i>Principals' Group Interview</i>	

Notes	Comments/Questions
<i>Students' Group Interview(s)</i>	
<i>Parents' Group Interview</i>	
<i>Teachers' Group Interview</i>	
<i>School Site Visit #1</i>	
<i>School Site Visit #2</i>	
<i>School Site Visit #3</i>	
<b>Standard 5</b>	
<i>Document Review</i>	
<i>Superintendent Interview</i>	

Notes	Comments/Questions
<i>Board Interview(s)</i>	
<i>Principals' Group Interview</i>	
<i>Students' Group Interview(s)</i>	
<i>Parents' Group Interview</i>	
<i>Teachers' Group Interview</i>	
<i>School Site Visit #1</i>	
<i>School Site Visit #2</i>	
<i>School Site Visit #3</i>	

## Appendix G

### Group Interview Protocol

The **set up** for the group interview should include:

- Name tags, sign in sheet, and refreshments on one table on the side of the room.
- Large table with chairs around the table for participants. The auditor/interviewer should sit where he/she can see everyone, typically at the end of one of the tables; the note taker should sit next to the interviewer so he/she can give reminders or ask for clarification as needed.

The **introduction** might be scripted as follows:

Hi, everyone. My name is \_\_\_\_\_ and I am with (name of your organization). We are conducting this interview with you today to gather information about the curriculum (what is taught) in your district. I will ask a series of questions about the curriculum and my colleague \_\_\_\_\_ (note-taker's name) will take notes. There are no right or wrong answers to these questions. We are simply trying to get a better understanding of the curriculum, how it is developed, implemented, monitored, and revised. If a question is not clear to you, please ask me to make it more clear. We have invited people from throughout your community, including district and school administrators, teachers, parents, and students, to talk with us today and tomorrow. Once we have gathered all the information from interviews, reviews of documents, and analyses of data we will issue a curriculum audit report to the district, with our findings and recommendations.

Before we get started, would you all say your name and role in the district? Please be sure you have put your name on the sign-in sheet. I would also like to suggest a few **guidelines** to keep in mind:

- *First, it is not necessary for everyone to answer every question.*
  - Be sure your point of view is represented, but it is not necessary to repeat what someone else has said.  
You may also decline to answer any question.
- *Second, please let many voices be heard.*
  - It is important for many people to speak and not have one or two voices dominate.
- *Third, I may have to cut you short or move on to another question because of time constraints.*
  - If I interrupt you, please accept my apologies, but it will be because we need to move on. I am happy to collect any additional responses later either verbally today or by phone or e-mail, and I will leave you my contact information.
  -
- *Fourth, please be respectful of your colleagues.*

- If you disagree, please say so, but do it in a way that is kind and explain why you disagree.
- *Fifth and finally, please know that the opinions you voice are confidential.*
  - We will not identify your ideas with you as individuals and your name will not appear with focus group summary reports, other than to say that you were a participant.

To **close** the session: Thank you so very much for your time and input. We value your opinion and will seriously consider each and every suggestion you have made. You are one of many groups who will be asked to respond and help us improve this system. We plan to finalize our report to the district within a month. It is then up to the district to implement the recommendations for improvement. Thank you again.

**ATTACHEMENT 22: GUSKEY 5 LEVELS OF PD**

## Guskey's Five Critical Levels of Professional Development Evaluation

Evaluation Level	Typical Questions Addressed	Typical Info. Gathering Methods	What is Measured or Assessed?	How Will Information Be Used?
1. Participants' Reactions	<ul style="list-style-type: none"> <li>• Did participants like it?</li> <li>• Was time well spent?</li> <li>• Did the material make sense?</li> <li>• Will it be useful?</li> <li>• Was the presenter knowledgeable?</li> <li>• Did the physical conditions of the activity support learning?</li> </ul>	<ul style="list-style-type: none"> <li>• Questionnaires administered at the end of sessions.</li> <li>• Focus groups</li> <li>• Interviews</li> <li>• Personal learning log</li> <li>• MeetingWorks internet-based sessions</li> <li>• Analysis of threaded discussion forums</li> </ul>	<ul style="list-style-type: none"> <li>• Initial satisfaction with experience.</li> </ul>	<ul style="list-style-type: none"> <li>• To improve program delivery and design</li> </ul>
2. Participants' Learning	<ul style="list-style-type: none"> <li>• Did participants acquire the intended knowledge or skill?</li> </ul>	<ul style="list-style-type: none"> <li>• Paper and pencil tests</li> <li>• Simulations and demonstrations</li> <li>• Participant reflections (oral and/or written)</li> <li>• Participant portfolios</li> <li>• Case study analysis</li> <li>• MeetingWorks internet-based sessions</li> <li>• Analysis of threaded discussion forums</li> </ul>	<ul style="list-style-type: none"> <li>• New knowledge and/or skills of participants</li> </ul>	<ul style="list-style-type: none"> <li>• To improve program content, format, and organization</li> </ul>

Evaluation Level	Typical Questions Addressed	Typical Info. Gathering Methods	What is Measured or Assessed?	How Will Information Be Used?
3. Organization support and change	<ul style="list-style-type: none"> <li>• What was the impact on the organization?</li> <li>• Did it affect organizational climate or procedures?</li> <li>• Was implementation advocated, facilitated, and supported?</li> <li>• Was the support public and overt?</li> <li>• Were problems addressed quickly and efficiently?</li> <li>• Were sufficient resources made available?</li> <li>• Were successes recognized and shared?</li> </ul>	<ul style="list-style-type: none"> <li>• District and school records</li> <li>• Minutes from meetings</li> <li>• Questionnaires</li> <li>• Focus groups</li> <li>• Structured interviews with participants and school or district administrators</li> <li>• Participant portfolios</li> <li>• Meeting Works internet-based sessions</li> <li>• Analysis of threaded discussion forums</li> </ul>	<ul style="list-style-type: none"> <li>• The organization's advocacy, support, accommodations, facilitation and recognition</li> </ul>	<ul style="list-style-type: none"> <li>• To document and improve organizational support</li> <li>• To improve future change efforts</li> </ul>
4. Participants' use of new knowledge or skills	<ul style="list-style-type: none"> <li>• Did participants effectively apply the new knowledge and skills?</li> </ul>	<ul style="list-style-type: none"> <li>• Questionnaires</li> <li>• Structured interviews with participants and their supervisors</li> <li>• Participant reflections (oral and/or written)</li> <li>• Participant portfolios</li> <li>• Direct observations</li> <li>• Video or audio tapes</li> <li>• Concerns-based Adoption Model</li> </ul>	<ul style="list-style-type: none"> <li>• Degree and quality of information</li> </ul>	<ul style="list-style-type: none"> <li>• To document and improve the implementation of program content</li> </ul>



<b>Evaluation Level</b>	<b>Typical Questions Addressed</b>	<b>Typical Info. Gathering Methods</b>	<b>What is Measured or Assessed?</b>	<b>How Will Information Be Used?</b>
5. Student Learning Outcomes	<ul style="list-style-type: none"> <li>• What was the impact on students?</li> <li>• Did it affect student performance or achievement?</li> <li>• Did it influence students' physical or emotional well-being?</li> <li>• Are students more confident as learners?</li> <li>• Is student attendance improving?</li> <li>• Are dropouts decreasing?</li> </ul>	<ul style="list-style-type: none"> <li>• Student records</li> <li>• School records</li> <li>• Questionnaires</li> <li>• Structured interviews with students, parents, teachers, and/or administrators</li> <li>• Participant portfolios</li> </ul>	<ul style="list-style-type: none"> <li>• Student learning outcomes:               <ol style="list-style-type: none"> <li>1. cognitive (performance and achievement)</li> <li>2. affective ( attitudes and dispositions)</li> <li>3. psychomotor (skills and behavior)</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>• To focus and improve all aspects of program design, implementation, and follow-up</li> <li>• To demonstrate the overall impact of professional development</li> </ul>

**ATTACHMENT 23: IES PRACTICE GUIDE FOR TURNING AROUND CHRONICALLY LOW-  
PERFORMING SCHOOLS**

# Turning Around Chronically Low-Performing Schools



**The Institute of Education Sciences (IES) publishes practice guides in education** to bring the best available evidence and expertise to bear on the types of systemic challenges that cannot currently be addressed by single interventions or programs. Authors of practice guides seldom conduct the types of systematic literature searches that are the backbone of a meta-analysis, although they take advantage of such work when it is already published. Instead, authors use their expertise to identify the most important research with respect to their recommendations, augmented by a search of recent publications to ensure that research citations are up-to-date.

Unique to IES-sponsored practice guides is that they are subjected to rigorous external peer review through the same office that is responsible for independent review of other IES publications. A critical task for peer reviewers of a practice guide is to determine whether the evidence cited in support of particular recommendations is up-to-date and whether studies of similar or better quality that point in a different direction have not been ignored. Because practice guides depend on the expertise of their authors and their group decision-making, the content of a practice guide is not and should not be viewed as a set of recommendations that in every case depends on and flows inevitably from scientific research.

The goal of this practice guide is to formulate specific and coherent evidence-based recommendations for use by educators addressing a multifaceted challenge that lacks developed or evaluated, packaged approaches. The challenge is turning around low-performing schools. The guide provides practical, clear information on critical topics related to school turnarounds and is based on the best available evidence as judged by the review team. Recommendations presented in this guide should not be construed to imply that further research is not warranted to judge the effectiveness of particular strategies for turning around failing schools.

# Turning Around Chronically Low-Performing Schools

**May 2008**

## **Panel**

Rebecca Herman (Chair)  
AMERICAN INSTITUTES FOR RESEARCH

Priscilla Dawson  
TRENTON PUBLIC SCHOOLS

Thomas Dee  
SWARTHMORE COLLEGE

Jay Greene  
UNIVERSITY OF ARKANSAS

Rebecca Maynard  
UNIVERSITY OF PENNSYLVANIA

Sam Redding  
NATIONAL CENTER ON INNOVATION AND IMPROVEMENT

## **Staff**

Marlene Darwin  
AMERICAN INSTITUTES FOR RESEARCH

This report was prepared for the National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences under Contract ED-02-CO-0022.

**Disclaimer**

The opinions and positions expressed in this practice guide are the authors' and do not necessarily represent the opinions and positions of the Institute of Education Sciences or the U.S. Department of Education. This practice guide should be reviewed and applied according to the specific needs of the educators and education agency using it, and with full realization that it represents the judgments of the review panel regarding what constitutes sensible practice, based on the research that was available at the time of publication. This practice guide should be used as a tool to assist in decision-making rather than as a "cookbook." Any references within the document to specific education products are illustrative and do not imply endorsement of these products to the exclusion of other products that are not referenced.

**U.S. Department of Education**

Margaret Spellings  
*Secretary*

**Institute of Education Sciences**

Grover J. Whitehurst  
*Director*

**National Center for Education Evaluation and Regional Assistance**

Phoebe Cottingham  
*Commissioner*

**May 2008**

This report is in the public domain. While permission to reprint this publication is not necessary, the citation should be:

Herman, R., Dawson, P., Dee, T., Greene, J., Maynard, R., Redding, S., and Darwin, M. (2008). *Turning Around Chronically Low-Performing Schools: A practice guide* (NCEE #2008-4020). Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education. Retrieved from <http://ies.ed.gov/ncee/wwc/publications/practiceguides>.

This report is available on the IES web site at <http://ies.ed.gov/ncee/wwc/publications/practiceguides>.

**Alternative Formats**

On request, this publication can be made available in alternative formats, such as Braille, large print, audiotape, or computer diskette. For more information, call the Alternative Format Center at (202) 205-8113.

# Turning Around Chronically Low-Performing Schools

## Contents

Introduction	1
The What Works Clearinghouse standards and their relevance to this guide	5
Turning Around Chronically Low-Performing Schools	4
Overview	4
Summary of level of evidence to support recommendations	6
Checklist for carrying out the recommendations	9
Recommendation 1. Signal the need for dramatic change with strong leadership	10
Recommendation 2. Maintain a consistent focus on improving instruction	14
Recommendation 3. Provide visible improvements early in the turnaround process (quick wins)	22
Recommendation 4. Build a committed staff	27
Appendix A. Postscript from the Institute of Education Sciences	30
Appendix B. About the authors	33
Appendix C. Disclosure of potential conflicts of interest	35
Appendix D. Technical information on the studies	36
References	42

## List of tables

Table 1. Institute of Education Sciences levels of evidence for practice guides	2
Table 2. Recommendations and corresponding levels of evidence to support each	8



## Introduction

The goal of this practice guide is to formulate specific and coherent evidence-based recommendations for use by educators aiming to quickly and dramatically improve student achievement in low-performing schools. Although schoolwide reform models exist, most assume a slow and steady approach to school reform. They do not seek to achieve the kind of quick school turnaround we examine in this practice guide. That is not to say that schools using a packaged schoolwide reform model could not experience dramatic and quick results. Often the differentiating factors are the intensity of the turnaround practices and the speed of putting them in place.

Our expectation is that a superintendent, a principal, or a site-based decision-making council can use this practice guide to help plan and execute school turnaround strategies. The target audience includes school administrators and district-level administrators, key because they can help break down policy and administrative barriers and ease the implementation of intensive school turnaround practices. This guide can help them develop practice and policy alternatives for immediate implementation in schools.

The guide includes specific recommendations and indicates the quality of the evidence that supports the recommendations. It also describes how each recommendation can be carried out. The examples are from case studies but should not be construed as the best or most effective ways to carry out each recommendation. Instead, the examples illustrate practices noted by schools as having had a positive impact on the school turnaround. Note

that the specific ways the practices were implemented varied widely, depending on each school's context.

We, the authors, are a small group with expertise in various dimensions of this topic. Several of us are also experts in research methodology. The evidence we considered in developing this document ranges from expert analyses of turnaround practices to case studies of seemingly effective schools and to correlational studies and longitudinal studies of patterns of school improvement. In all cases, we paid particular attention to patterns of findings replicated across studies. But all recommendations had to rely on low levels of evidence, as defined by the Institute of Education Sciences (IES) Practice Guide standards. We could not find any studies that fit the high-quality experimental and quasi-experimental study standards of the What Works Clearinghouse (<http://ies.ed.gov/ncee/wwc>) and that would provide the strongest evidence of causal validity.

We have taken findings from research and described how a practice or recommendation might unfold in school settings. Our aim is to provide sufficient detail so that educators have a clear sense of the steps needed to follow the recommendation.

A unique feature of practice guides is the explicit and clear delineation of the quality and quantity of evidence that supports each claim. To do this, we used a semi-structured hierarchy suggested by IES. This classification system uses both the quality and the quantity of available evidence to help determine the strength of the evidence base grounding each recommended practice (table 1).

**Table 1. Institute of Education Sciences levels of evidence for practice guides**

<b>Strong</b>	<p>In general, characterization of the evidence for a recommendation as strong requires both studies with high internal validity (i.e., studies whose designs can support causal conclusions) and studies with high external validity (i.e., studies that in total include enough of the range of participants and settings on which the recommendation is focused to support the conclusion that the results can be generalized to those participants and settings). Strong evidence for this practice guide is operationalized as:</p> <ul style="list-style-type: none"> <li>• A systematic review of research that generally meets the standards of the What Works Clearinghouse (WWC) (see <a href="http://ies.ed.gov/ncee/wwc/">http://ies.ed.gov/ncee/wwc/</a>) and supports the effectiveness of a program, practice, or approach with no contradictory evidence of similar quality; OR</li> <li>• Several well-designed, randomized controlled trials or well-designed quasi-experiments that generally meet the standards of WWC and support the effectiveness of a program, practice, or approach, with no contradictory evidence of similar quality; OR</li> <li>• One large, well-designed, randomized controlled, multisite trial that meets the WWC standards and supports the effectiveness of a program, practice, or approach, with no contradictory evidence of similar quality; OR</li> <li>• For assessments, evidence of reliability and validity that meets the Standards for Educational and Psychological Testing.<sup>a</sup></li> </ul>
<b>Moderate</b>	<p>In general, characterization of the evidence for a recommendation as moderate requires studies with high internal validity but moderate external validity, or studies with high external validity but moderate internal validity. In other words, moderate evidence is derived from studies that support strong causal conclusions but where generalization is uncertain, or studies that support the generality of a relationship but where the causality is uncertain. Moderate evidence for this practice guide is operationalized as:</p> <ul style="list-style-type: none"> <li>• Experiments or quasi-experiments generally meeting the WWC standards and supporting the effectiveness of a program, practice, or approach with small sample sizes and/or other conditions of implementation or analysis that limit generalizability and no contrary evidence; OR</li> <li>• Comparison group studies that do not demonstrate equivalence of groups at pretest and therefore do not meet the WWC standards but that (a) consistently show enhanced outcomes for participants experiencing a particular program, practice, or approach and (b) have no major flaws related to internal validity other than lack of demonstrated equivalence at pretest (e.g., only one teacher or one class per condition, unequal amounts of instructional time, highly biased outcome measures); OR</li> <li>• Correlational research with strong statistical controls for selection bias and for discerning influence of endogenous factors and no contrary evidence; OR</li> <li>• For assessments, evidence of reliability that meets the Standards for Educational and Psychological Testing<sup>b</sup> but with evidence of validity from samples not adequately representative of the population on which the recommendation is focused.</li> </ul>
<b>Low</b>	<p>In general, characterization of the evidence for a recommendation as low means that the recommendation is based on expert opinion derived from strong findings or theories in related areas and/or expert opinion buttressed by direct evidence that does not rise to the moderate or strong level. Low evidence is operationalized as evidence not meeting the standards for the moderate or high level.</p>

a. American Educational Research Association, American Psychological Association, & National Council on Measurement in Education (1999).

b. Ibid.

*Strong* refers to consistent and generalizable evidence that a practice causes better outcomes for students in turnaround schools or that certain leadership practices are effective for school turnaround.<sup>1</sup>

*Moderate* refers either to evidence from studies that allow strong causal conclusions but cannot be generalized with assurance to the population on which a recommendation is focused (perhaps because the findings have not been widely replicated) or to evidence from studies that are generalizable but have more causal ambiguity than offered by experimental designs (statistical models of correlational data or group comparison designs for which equivalence of the groups at pretest is uncertain).

*Low* refers to expert opinion based on reasonable extrapolations from research and theory on other topics and evidence from studies that do not meet the standards for moderate or strong evidence.

### **The What Works Clearinghouse standards and their relevance to this guide**

For the levels of evidence in table 1, we rely on WWC evidence standards to assess the quality of evidence supporting educational programs and practices. The WWC addresses evidence for the causal validity of instructional programs and practices according to WWC standards.

---

1. Following What Works Clearinghouse guidelines, we consider a positive, statistically significant effect or large effect size (greater than 0.25) as an indicator of positive effects.

Information about these standards is available at <http://ies.ed.gov/ncee/wwc>. The technical quality of each study is rated and placed into one of three categories:

- *Meets Evidence Standards* for randomized controlled trials and regression discontinuity studies that provide the strongest evidence of causal validity.
- *Meets Evidence Standards with Reservations* for all quasi-experimental studies with no design flaws and randomized controlled trials that have problems with randomization, attrition, or disruption.
- *Does Not Meet Evidence Screens* for studies that do not provide strong evidence of causal validity.

We include an appendix with more technical information about the studies and our decisions regarding the level of evidence for each recommendation. To illustrate the types of studies reviewed, we describe one study for each recommendation. Our goal is to provide interested readers with more detail about the research designs, the intervention components, and the way impact was measured.

We thank Brian Hassel and Dana Brinson for their helpful feedback and reviews of earlier versions of this practice guide. We also express our appreciation to Dr. Marlene Darwin, an AIR staff member involved in every phase of this project, from research analysis to draft text. Her role has been critical for the timely and successful production of this guide.

Dr. Rebecca Herman  
 Dr. Priscilla Dawson  
 Dr. Thomas Dee  
 Dr. Jay Greene  
 Dr. Rebecca Maynard  
 Dr. Sam Redding

# Turning Around Chronically Low- Performing Schools

## Overview

In 1994 the Improving America's Schools Act introduced the concept of holding schools accountable for student performance on state assessments. Although the act encouraged states to assess whether schools were making progress and imposing sanctions on those that did not, it lacked much force. The No Child Left Behind (NCLB) Act of 2001 changed that by requiring a regimen of annual testing in grades 3 through 8 and by imposing sanctions on schools that fail to make adequate yearly progress.<sup>2</sup>

In school year 2006–07, 70 percent of 98,905 schools nationwide (64,546) made adequate yearly progress; 10,676 schools were designated as schools in need of improvement, and 2,302 schools were designated as schools in need of improvement restructuring.<sup>3</sup> All failing schools, especially those that persistently fail, need guidance on what will work quickly to improve student outcomes. These schools generally have explored a variety of strategies to improve student achievement, but without rapid, clear success. They now need to look beyond slow, incremental change and examine practices that will raise and sustain student achievement within one to three years.<sup>4</sup> The need to

---

2. Adequate yearly progress (AYP) is an individual state's measure of progress toward the goal of 100 percent of students achieving to state academic standards in at least reading/language arts and math. It sets the minimum level of proficiency that the state, its school districts, and schools must achieve each year on annual tests and related academic indicators. (<http://www.ed.gov>)

3. Mapping America's Educational Progress (2008).

4. Hassel, Hassel, and Rhim (2007).

quickly improve student achievement is most pressing for low-performing schools that serve disadvantaged students.<sup>5</sup>

How can we provide practical guidance to these schools to turn around their performance in a short time? To answer, we must first turn to research. Unfortunately, the research base on effective strategies for quickly turning around low-performing schools is sparse. The panel did not find any empirical studies that reached the rigor necessary to determine that specific turnaround practices produce significantly better academic outcomes. So, we tapped into less rigorous case study research and theory to provide practical recommendations about school turnaround practices. This research suggests practices likely to improve student learning. But it does not offer proof that these practices will always succeed.

This guide identifies practices that can quickly improve the performance of chronically low-performing schools—a process commonly referred to as creating “turnaround schools.” For this guide, we define turnaround schools as those meeting two criteria.

- First, they began as chronically poor performers—with a high proportion of their students (generally 20 percent or more) failing to meet state standards of proficiency in mathematics or reading as defined under No Child Left Behind over two or more consecutive years.
- Second, they showed substantial gains in student achievement in a short time (no more than three years). Examples of substantial gains in achievement are reducing by at least 10 percentage points the proportion of students failing to meet state standards for proficiency in mathematics or reading, showing

---

5. Ibid.

similarly large improvements in other measures of academic performance (such as lowering the dropout rate by 10 percentage points or more), or improving overall performance on standardized mathematics or reading tests by an average of 10 percentage points (or about 0.25 standard deviations). The schools discussed in this practice guide met these criteria, according to the data reported in the studies.<sup>6</sup>

School improvement and school turnaround both aim to improve student outcomes by changing how schools and classrooms operate. They differ in that school turnaround involves quick, dramatic improvement within three years, while school improvement is often marked by steady, incremental improvements over a longer time. Because of their similar goals, the two may have common approaches, but they differ in implementation. In school improvement, sharing leadership and training existing staff to share responsibility may develop gradually. In school turnaround, a leader may have to quickly identify and train one or two key staff members who are already qualified and prepared to initiate shared leadership. In addition, a turnaround school is more likely to consider replacing staff unable to easily make the transition with those already qualified to do so.

School turnaround literature builds on effective school improvement practices but focuses on how to speed up and increase the impact of these practices. According to one researcher, effective school

turnaround strategies remove factors that inhibit school improvement and that do not support effective teaching and learning.<sup>7</sup> This guide recommends four practices unique to turnaround schools. It does not explore the school improvement literature, which is well documented elsewhere.<sup>8</sup> The four recommendations work together to help failing schools make adequate yearly progress and turn themselves around (see table 2).

This guide does not address comprehensive school reform (CSR) models, a specific approach to school improvement. Schools that adopt those models seek to implement all model components with supports and services provided by the model developer, such as professional development. Research on CSR models examine the models' effects on school improvement rather than the practices that comprise the model implemented by the school. And CSR models are typically designed to make incremental improvements over three to five years.<sup>9</sup> The panel thus determined that CSR evaluations were outside the scope of this practice guide.<sup>10</sup>

We have included only research on "beating the odds" schools (schools that performed better than would be expected from their demographics) if those schools were also turnaround schools. The key distinction is that beating-the-odds schools may have always been high achieving. They have

---

6. The panel was unable to determine whether the schools in one study (Lachat and Smith 2005) showed dramatic improvement in three years because the study noted that data were collected over four years. But the panel chose to include this study in the evidence base because it provides research on practices that five low-performing high schools implemented to raise student achievement.

---

7. Duke (n.d.)

8. For some pivotal research on school improvement, please see Berman and McLaughlin (1978), McLaughlin (1990), Newmann and Wehlage (1995), Purkey and Smith (1983), and Rivlin and Timpane (1975).

9. Desimone (2002).

10. For overviews of the research on Comprehensive School Reform, see Borman, Hewes, Overman, and Brown (2003); Desimone (2002); Herman et al. (1999); Comprehensive School Reform Quality Center (2006a,b,c).

not necessarily made a transition from low to high achievement, a transition that poses some unique challenges (overcoming staff disillusionment and inertia) and requires unique solutions. Because this guide focuses on low-performing schools transitioning to high performance, the case studies are only of schools that were initially low performing. If the studies did not indicate the level of a school's performance, the panel did not include them in its examination of evidence.

### **Summary of level of evidence to support recommendations**

As suggested in the overview, the research base on school turnaround practices is limited. Turnaround schools are, by definition, schools that have demonstrated that they have dramatically improved student outcomes in a short time. Studies of turnaround schools tend to be case studies that look back at factors that may have contributed to the school's success. This research design is particularly weak in determining causal validity for several reasons, including the fact that there is no way to be confident that the features common to successful turnaround schools are not also common to schools that fail.

The recommendations in this guide are based on a collection of case studies of low-performing schools that improved student achievement in one to three years. The panel feels compelled to emphasize that the level of evidence is *low* because none of the studies examined for this practice guide is based on a research methodology that yields valid causal inference. The recommendations are based on 10 case studies that examined turnaround practices across 35 schools: 21 elementary schools, 8 middle schools, and 6 high schools.<sup>11</sup>

---

11. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and

Two of the documents in this review are secondary analyses of primary studies. In each case, the primary document profiles several schools, but the secondary document identifies the strategies common across successful turnaround schools. The panel's recommendations are drawn from the secondary analyses and cited accordingly.

The panel also drew from *Turnarounds with new leaders and staff*.<sup>12</sup> This report draws from research on turnaround schools and on organizational improvement in the business sector, providing substantial background on, and basic principles of, significant school improvement.

The panel also incorporated evidence from a related field, business turnaround.<sup>13</sup> Like school turnaround, business turnaround occurs when a failing business makes dramatic changes to become more successful. Often, turnaround businesses face bankruptcy or dissolution and restructure to become solvent. Schools and businesses share some organizational features, and some business turnaround practices also appear in turnaround schools. This guide draws on evidence from business turnaround to support recommendations for practices in both fields. For example, both schools and businesses that improve outcomes tend to use strong leadership to signal change early in the turnaround process.<sup>14</sup>

The evidence from business turnaround research lends support to the recommendations that schools should signal change in the turnaround process. But because businesses and schools can be very different organizations, we caution against rely-

---

Ouimette (2007); Whiteside (2006); Zargarpour (2005).

12. Kowal and Hassel (2005).

13. Kowal and Hassel (2005); Walberg (2007).

14. Ibid.

ing exclusively on the business turnaround research.<sup>15</sup> For example, businesses often cut costs to promote turnaround, a strategy not relevant to schools. Further, businesses operate under the immediate threat of bankruptcy and termination; schools typically do not. So, this guide does not highlight practices that emerged in the business turnaround research unless they also emerged in the school turnaround research.

Readers should note that the case research on school turnarounds and the business research clearly indicates that there is no specific set of actions that applies equally well to every turnaround situation. Every school described in the case studies examined for this guide applied actions and

practices tailored to the school and local community.

Using their knowledge of school change, panel members emphasize that school turnaround encompasses a set of actions and practices. A school cannot select only one recommendation from this practice guide and reasonably expect quick results. For example, signaling change with strong leadership but not following through with visible improvement early in the school turnaround process (quick wins) could make school staff skeptical. So, readers should view these recommendations as a viable set of practices that have each demonstrated, at least in case studies, that they may work well together in turning around low-performing schools. Appendix 4 presents more information on the research evidence from the case studies to support each recommendation.

---

15. Ibid.

**Table 2. Recommendations and corresponding levels of evidence to support each**

Recommendation	Level of evidence
<p>1. <i>Signal the need for dramatic change with strong leadership.</i> Schools should make a clear commitment to dramatic changes from the status quo, and the leader should signal the magnitude and urgency of that change. A low-performing school that fails to make adequate yearly progress must improve student achievement within a short timeframe—it does not have the luxury of years to implement incremental reforms.</p>	<b>Low</b>
<p>2. <i>Maintain a consistent focus on improving instruction.</i> Chronically low-performing schools need to maintain a sharp focus on improving instruction at every step of the reform process. To improve instruction, schools should use data to set goals for instructional improvement, make changes to immediately and directly affect instruction, and continually reassess student learning and instructional practices to refocus the goals.</p>	<b>Low</b>
<p>3. <i>Make visible improvements early in the school turnaround process (quick wins).</i> These can rally staff around the effort and overcome resistance and inertia.</p>	<b>Low</b>
<p>4. <i>Build a committed staff.</i> The school leader must build a staff that is committed to the school's improvement goals and qualified to carry out school improvement. This goal may require changes in staff, such as releasing, replacing, or redeploying staff who are not fully committed to turning around student performance and bringing in new staff who are committed.</p>	<b>Low</b>

*Source:* Authors' compilation based on analysis described in text.



## Checklist for carrying out the recommendations

Note: These recommendations are explored in greater detail in the practice guide.

### Recommendation 1. Signal the need for dramatic change with strong leadership

- A change in leadership practices in the school is essential. Because the current school leader may be enmeshed in past strategies, a new leader can immediately signal change.
- If there is no change in leadership, the existing leader can signal change by radically altering leadership practices.
- Make the school leader the instructional leader who is highly visible in classrooms.
- Publicly announce changes and anticipated actions.

### Recommendation 2. Maintain a consistent focus on improving instruction

- Examine school-level data on student achievement to identify specific gaps in student learning.
- Have teachers use formative data about individual students to analyze their instruction in light of student progress toward standards.
- Establish priority areas for instructional focus and make necessary changes in those areas to strengthen teaching and improve student learning.
- Arrange for targeted professional development based on analyses of achievement and instruction, differentiated according to teacher needs and the subject areas targeted for instructional improvement.
- Have staff collaboratively conduct a comprehensive curriculum review to ensure

that the curriculum aligns with state and local standards and meets the needs of all students in the school. Be sure to involve teachers in the review.

- Ensure that all school leaders and instructional staff monitor progress regularly, and systematically make adjustments to strengthen teaching and student learning.

### Recommendation 3. Make visible improvements early in the school turnaround process (quick wins)

- Start with a goal that is important, can be achieved quickly, and will provide visible improvement.
- Develop a strategy for accomplishing the goal that can be implemented quickly—for example, the school already has the authority and resources to implement the strategy.
- Consider some common goals for quick wins, such as changing the school's use of time, improving access to resources and the physical facilities, and improving discipline.

### Recommendation 4. Build a committed staff

- Assess the strengths and weaknesses of the staff. Identify staff who are not fully committed to the school turnaround goals or who do not have the qualifications to carry them out.
- Redeploy staff members who have valuable skills but are not effective in their current role.
- Replace staff members who actively resist the school's turnaround efforts.
- Recruit new staff who have the needed specialized skills and competencies for positions in the school—such as interventionists, reading specialists, and mentors and instructional coaches.

## Recommendation 1. Signal the need for dramatic change with strong leadership

A failing school does not have the luxury of years to implement incremental reforms. Instead, leaders at the school should make a clear commitment to dramatic changes from the status quo and signal the magnitude and urgency of those changes. Leadership is key, but it alone is not adequate. The leader also needs to show that dramatic changes will be necessary to turn the school around.

### Level of evidence: Low

The panel judges the level of evidence supporting this recommendation to be *low*, based on 10 case studies that describe school turnaround practices in 35 schools.<sup>16</sup> Of the 10 studies, 2 describe in detail the ways that schools implemented dramatic changes with strong leadership.<sup>17</sup> One study looked at 7 middle schools<sup>18</sup> and the other at 15 elementary schools<sup>19</sup> that participated in school turnarounds. The remaining case studies provide additional support.

### Brief summary of evidence to support this recommendation

The authors of the two studies<sup>20</sup> that described dramatic changes with strong

---

16. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

17. Picucci et al. (2002a); Duke (n.d.).

18. Picucci et al. (2002a).

19. Duke (n.d.).

20. Picucci et al. (2002a); Duke (n.d.).

leadership identified patterns across 22 schools. The majority of the schools started the turnaround with new leaders; all underwent major changes in leadership practices.

The research points out that school leadership is a key part of school change and turnaround.<sup>21</sup> Turnaround leadership should be anchored in school improvement practices and in strategies to make rapid and substantial changes. Although the research did not list a specific set of leadership skills and actions shared by all principals in turnaround schools, some commonalities were identified by the panel. In general, turnaround leaders demonstrated a commitment to developing a learning community for students and staff, with the primary focus of the school on learning and with staff and students working together toward that goal. Specific leadership actions were framed in a child-centered lens and the belief that staff should have the skills and knowledge to provide strong instruction.<sup>22</sup>

School leaders also signaled change by:

- Communicating a clear purpose to school staff.
- Creating high expectations and values.
- Sharing leadership and authority.
- Demonstrating a willingness to make the same types of changes asked of their staff.
- Identifying advocates within the staff.
- Building a consensus that permeated the entire staff.

---

21. Whiteside (2006); Picucci et al. (2002a); Rhim, Kowal, Hassel, and Hassel (2007); Duke (n.d.); Johnson and Asera (1999).

22. Johnson and Asera (1999).

- Eliminating any distractions to ensure that the maximum amount of classroom time was focused on instruction.
- Establishing a cohesive culture.<sup>23</sup>

School leaders committed to the turnaround effort worked toward integrating these principles into their daily practices.

The business research on leadership indicates a broad set of leadership actions in business turnaround.<sup>24</sup> Turnaround leaders figured out what actions would get rapid results and demonstrate an upward trend quickly. They implemented practices that deviated from the prevailing norms. They analyzed performance data. And they relentlessly focused on results.<sup>25</sup> These actions were a catalyst for change to build future successes.

Strong turnaround leadership sometimes met resistance.<sup>26</sup> In several instances, school leaders who took dramatic steps to turn a school around faced calls from parents to resign or be removed. In the face of this resistance, leaders had to remain focused on the goal of raising student achievement. Gradually, teachers saw positive changes and became less resistant. Turnaround leaders learned to strike the right balance between demanding change and developing a collaborative culture within the school and among staff members.

### **How to carry out the recommendation**

---

1. A change in leadership practices in the school is essential. Because the current school leader may be enmeshed in past

---

23. Picucci et al. (2002a).

24. Kowal and Hassel (2005).

25. Rhim et al. (2007).

26. Picucci et al. (2002a); Duke et al. (2005).

strategies, installing a new principal can signal change.<sup>27</sup> The case studies on school turnarounds have numerous instances of new principals being catalysts for change.<sup>28</sup> Teachers often cited the new principal as the motivating force.<sup>29</sup> Case study research on school turnarounds indicates that strong leadership is a critical element of the turnaround process.<sup>30</sup>

In successful turnaround schools, new principals came into the schools with a clear purpose, ready to share responsibility for turning around the school. They immediately began to set clear expectations for students and faculty. They initiated a culture of change from the first day, letting teachers and students know that a defeatist or business-as-usual attitude would not be accepted. They sent the message that everyone—including administrators—needed to change the daily school operations and the way instruction was delivered.

Although new principals entered their school with a determination to raise student achievement, they did not act rashly. Instead, they spent long hours studying the school and its needs. But they still took steps to move the school forward with some immediate changes.

---

2. If a change in leadership does not take place, the existing principal may signal change by substantially reforming leadership practices.<sup>31</sup> Although this can be quite challenging for a principal in a low-performing school, it is possible to radically alter leadership practices and develop a new culture that

---

27. Murphy and Meyers (in press).

28. Duke et al. (2005); Johnson and Asera (1999); Duke (n.d.).

29. Picucci et al. (2002b).

30. Whiteside (2006); Picucci et al. (2002b); Duke (n.d.).

31. Duke et al. (2005); Duke (n.d.).

will signal change to the staff.<sup>32</sup> Key ingredients are recognizing the need to change and possessing a willingness to try new things to raise student performance. This willingness can come from a study of school improvement theory, research, and practice.<sup>33</sup>

The established principal should examine and then eliminate the factors that impede change, by becoming an instructional leader and observing and monitoring classroom instruction.<sup>34</sup> The principal could also begin creating conditions that support teaching and learning in the school. In 5 of 15 schools in a case study report, the school leader did not change; instead, the leadership actions changed.<sup>35</sup>

Typical leadership actions that signaled change in the turnaround school studies were establishing a stronger direction for the school, such as spending more time in classrooms and throughout the school; monitoring teacher and student performance; becoming more accessible to staff and students; and dealing directly with discipline issues.<sup>36</sup>

One principal attended a specialized turnaround leadership program and initiated the turnaround process after one year as principal. Knowing that the school was low performing, she sensed that the staff were eager for change and wanted to see the school raise its student achievement. To signal change and begin to develop targeted goals for the school, she began by analyzing different types of data, such as student achievement, discipline, class size, staffing, and use of instructional time. She brought the staff into the process to identify what was or was not working, and

after these initial steps, began to eliminate practices that were not working.<sup>37</sup>

Principals can signal change by modifying their personal style of leadership in the school. For example, they can change their style by sharing responsibility for learning more openly among all staff, stakeholders, and the administration, by placing an increased value on mutual support, and by ensuring the well-being and safety of students and staff.<sup>38</sup>

Principals can also develop shared leadership by appointing a leadership team or lead teachers.<sup>39</sup> By establishing shared leadership structures and nurturing lead teachers, principals can strengthen the voice of teachers in school decisions and in assuming responsibility for results.

---

3. Through partnerships, schools can publicly announce changes and planned actions.<sup>40</sup> As in the business world, they may want to embark on a marketing campaign, which can take many forms.

One case study of an urban middle school describes an aggressive community campaign to “sell the school to local residents.”<sup>41</sup> The principal led the effort to change the perception of the school. He held coffees with parents and community members and met with parents of prospective students, among other activities, to educate the community. He also reached out to the larger urban community, including institutions of higher education, to solicit partnerships for additional resources. Outreach should not only “sell the school” but also “sell the fact that change must and has come to the school.”

---

32. Kowal and Hassel (2005).

33. Whiteside (2006).

34. Duke (n.d.).

35. Duke (n.d.); Picucci et al. (2002a).

36. Duke (n.d.).

---

37. Duke et al. (2005).

38. Duke (n.d.).

39. Ibid.

40. Kowal and Hassel (2005).

41. Picucci et al. (2002b), p. 33.

In a turnaround middle school, the principal wanted to “reawaken the hallowed history” of the school.<sup>42</sup> The school’s sense of community was reignited through a large 75th anniversary gala for the local community.

In another example of a public campaign, the principal of a large urban high school began the turnaround process, but after a year in which initial progress had been made, the district decided to close the school. The principal, determined to see the school improve, embarked on a public campaign. With support from faculty, students, and parents, the community mobilized a campaign and persuaded the district to keep the school open and to support the principal’s proposed direction for the school’s vision and efforts toward reform.<sup>43</sup>

### Potential roadblocks and solutions

1. Staff may be convinced that the school does not have the potential to change or will never change. Some staff believe that reforms “come and go,” so they can patiently wait out this set of reforms. When leaders in the school can couple signaling change with quick wins (see Recommendation 3), they may be able to dispel the entrenched mindset that the school will never change.<sup>44</sup>

2. If leadership does not change, the leaders may find it much harder to signal change immediately. They may not be able to separate themselves from the policies and practices that prevented changes in the past.<sup>45</sup> In such situations, the district may want to consider providing specialized training for its principals through established programs that focus on intensive training in turnaround

leadership skills, develop a school turnaround plan with a district team, and collaborate with a school support team on such content areas as data analysis, target setting, and action plans.<sup>46</sup>

Principals can do other things to build stronger leadership for the turnaround:

- Visiting and learning from other schools that face similar challenges.
- Immersing themselves in student benchmark and achievement data and such nonachievement data as disciplinary referrals, class size, and use of instructional time to make informed decisions for the school.
- Engaging in additional instructional support activities.
- Drawing on district resources for help in responding to problems constructively.
- Seeking professional development focused on leadership.<sup>47</sup>

3. Signaling change may be difficult when the prevailing community perception of the school is negative.<sup>48</sup> School leaders may need to initiate a public campaign in the community to develop immediate support. In one case study, parents had little confidence in the school, feeling that many students did not receive a quality education. To bolster the community’s trust, the principal initiated early morning meetings with parents when they dropped off their children at school, videotaped classroom and special activities for parents, and invited parents to observe classes.<sup>49</sup>

42. Whiteside (2006).

43. Tung and Ouimette (2007).

44. Duke (n.d.); Johnson and Asera (1999); Kowal and Hassel (2005).

45. Duke (n.d.).

46. Kowal and Hassel (2005); Duke et al. (2005).

47. Johnson and Asera (1999).

48. Picucci et al. (2002a).

49. Johnson and Asera (1999).

## Recommendation 2. Maintain a consistent focus on improving instruction

Turnaround schools focus on improving instruction at every step of the reform process. Turnaround schools use data to set goals for instructional improvement, make changes to affect instruction immediately and directly, and continually reassess student learning and instructional practices to refocus the goals.

### Level of evidence: Low

The panel judges the level of evidence supporting this recommendation to be *low*, based on 10 case studies that describe turnaround practices in 35 schools.<sup>50</sup> All 10 studies describe in detail the ways that turnaround schools maintained a consistent focus on instruction.

All schools in the case studies focused on improving teaching and student learning by analyzing student assessment and classroom data; and regularly monitoring progress and adjusting strategies.

### Brief summary of evidence to support this recommendation

Low performance on standards-based assessments is common for schools in need of turnaround. All schools in the case studies focused on improving teaching and student learning by analyzing student assessment and classroom data, establishing goals for instructional improvement in targeted subject areas, using the goals and

---

50. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a, 2002b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

data to make changes designed to directly affect instruction, and monitoring progress regularly and adjusting strategies.<sup>51</sup>

In a case study of seven schools, “the study schools used common elements that led to change, including building a shared purpose; reflecting on the existing setting before implementing change; planning and implementing improvement strategies; and re-evaluating their efforts.”<sup>52</sup> The study explicitly listed the elements that emerged from all of the studies: set common goals, look at data to plan, and monitor progress.

**Using data to set goals.** All the schools in the case studies used data to set instructional goals.<sup>53</sup> Data included school average student test scores, but went beyond that. In 3 of the 10 case studies, researchers note that the schools collected and analyzed a range of data in addition to achievement test results.<sup>54</sup> In 1 study of an elementary school, the principal and teachers collected and analyzed data on the school’s climate, its sense of community, and its curriculum and instruction.<sup>55</sup>

In addition to looking at diverse types of data, turnaround schools considered data at three levels: at the school level to focus on areas that needed schoolwide improvement to meet adequate yearly progress, at

---

51. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a, 2002b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

52. Picucci et al. (2002a), p. ix.

53. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a, 2002b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

54. Conzemius (2000); Lachat and Smith (2005); Zargarpour (2005).

55. Conzemius (2000).

the classroom level to focus on teachers' instructional strengths and weaknesses, and at the student level to focus on instructional needs of individual students.

At the school level, data were used to identify instructional areas that needed schoolwide improvement. The turnaround schools consistently used data on student achievement to identify gaps in student learning.<sup>56</sup> In one study of 7 middle schools, every one of the schools used school performance data to determine areas of teaching and learning that needed improvement.<sup>57</sup> The schools developed systems to help teachers understand and use the data to guide their teaching, disaggregating data to indicate specific areas of weakness in instruction. In addition, the schools developed processes for defining target areas for schoolwide change. In one case study of 10 schools, 8 realized that they did not have access to sufficient data on student achievement to guide their decision-making and so worked to obtain the necessary data.<sup>58</sup>

At the classroom and program levels, data were used to determine areas of weakness for targeting improvement efforts. One study of turnaround efforts showed that five urban high schools collected a wide variety of data regularly over four years, disaggregating the data by student demographics and participation in school programs, such as special education and remediation classes.<sup>59</sup> They used this information to focus their improvement efforts on specific programs and classes. In addition to disaggregated test data, the schools used principal and peer observations to better understand what was happening in the classrooms and to identify instructional needs.

At the student level, data were used to plan instruction to meet individual needs. For example, most of the seven turnaround schools in one study disaggregated performance data by grade level, learning objectives, responses to individual items, and other factors. They then used the disaggregated data to identify individual students who needed help on specific skills.<sup>60</sup> One principal described the process: "First, look at the data for trends to see what we're doing as teachers. And then you look at individual kids and where they fit in... And they can refer to that [data] and see where kids have strengths and weaknesses in their classrooms."<sup>61</sup> In another study, three elementary schools established Data Action Teams that gathered information from teachers on student performance and analyzed student work samples. They applied a set of standard templates and protocols specific to the different data sets to help teachers use the data to guide policies and practice.<sup>62</sup>

**Changing instruction to meet goals.** All schools in the case studies made changes to directly improve instruction.<sup>63</sup> Some common approaches were teacher collaboration for instruction and instructional planning, targeted professional development in specific areas, and careful reviews of curricula to ensure that the curricula focused on essential content and addressed state standards.

All nine schools in one case study took steps to involve teachers more directly in targeting specific areas for improvement in teaching across the school.<sup>64</sup> The

---

56. Ibid.

57. Picucci et al. (2002a).

58. Duke et al. (2005).

59. Lachat and Smith (2005).

---

60. Picucci et al. (2002a).

61. Picucci et al. (2002a) p. 43.

62. Zargarpour (2005).

63. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

64. Johnson and Asera (1999).

principals guided the planning processes and kept teachers focused on improving instruction. Teachers met in teams, reviewed student work against standards, and used this information to target specific areas for instructional improvement. In one school, teacher teams used disaggregated standardized test scores to identify students who were not reading at grade level for additional academic support, such as one-on-one tutoring.<sup>65</sup> In another, the teams developed a tool to monitor student growth in mathematics, used those data to focus instruction on specific mathematics objectives that students had failed, rechecked student performance on the objectives, and further focused the instruction.<sup>66</sup>

Professional development focused on instructional goals. Once teachers identified specific subject areas to focus on, the principal identified and commissioned intensive professional development to improve teaching in those areas. The schools described in the case studies relentlessly focused on improving teachers' skills and shoring up gaps in their content knowledge and instructional skills.<sup>67</sup>

The approaches to professional development varied, but all involved collaboration and a focus on instructional goals. Seven middle schools in one study engaged teachers in an array of professional development opportunities targeted at improving teaching in critical subject areas.<sup>68</sup> Teachers shared common planning time, participated in workshops on using data to guide instructional decisionmaking, and

received regular support from a designated staff member, such as a lead teacher, instructional facilitator, or reading or mathematics coach. In another study, teachers were organized into vertical teams across grade levels with the goal of creating professional learning communities that offered their own professional development.<sup>69</sup> The teacher teams planned lessons to ensure alignment across grade levels. They also attended summer workshops and used friendly observers in classrooms to give individual teachers direct feedback on their teaching. One elementary school developed weekly faculty workshops focused on skills that contribute to a good learning environment, such as time management and classroom management.<sup>70</sup>

School personnel also examined the curriculum. In one case study of nine elementary schools, all reviewed their curricula and aligned them with the applicable standards and assessments.<sup>71</sup> A careful curriculum review helped ensure that teachers were teaching the skills and knowledge that students needed to succeed on assessments.

Two case studies described schools that decided to overhaul their curriculum.<sup>72</sup> One middle school became a discovery academy consisting of four separate houses, each focusing on a related cluster of academic subjects, such as mathematics, science, and technology.<sup>73</sup> A high school that originally focused on vocational training refocused its curriculum on academics and preparation for postsecondary education.<sup>74</sup>

---

65. Ibid.

66. Ibid.

67. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a, 2002b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005)

68. Picucci et al. (2002a).

---

69. Conzemius (2000).

70. Duke et al. (2005).

71. Johnson and Asera (1999).

72. Duke et al. (2005); Tung and Ouimette (2007).

73. Duke et al. (2005).

74. Tung and Ouimette (2007).



**Monitoring progress and making adjustments.** Once schools identified specific instructional areas in need of improvement and established a plan to improve teaching in these areas, they continually monitored instructional practices and student achievement against goals.<sup>75</sup> All schools in the case studies used benchmark assessments or systematically monitored progress.<sup>76</sup> The principal of one elementary school established a school database tracking system to store information on student progress on benchmark assessments for easy access by all teachers.<sup>77</sup> The principal also showed teachers how to disaggregate the data, create spreadsheets, and conduct item analysis to help monitor student growth on the benchmark assessments. With this information, staff members could refine the school improvement plan and regularly adjust instruction.

A case study of nine urban elementary schools found that the principals, sometimes with the school planning teams, monitored progress by continually analyzing student data, conducting classroom observations, and analyzing student work to determine the adjustments needed in instruction.<sup>78</sup> Principals spent a large part of their time in the classrooms—as much as 40 percent in one school—to observe teaching and improve instruction.<sup>79</sup> Common adjustments in strategies entailed adding professional development in teaching-specific skills and resources, such as supplemental curricula.

---

75. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

76. Ibid.

77. Duke et al. (2005).

78. Johnson and Asera (1999).

79. Ibid.

## How to carry out the recommendation

---

1. Turnaround schools need to examine student achievement data to identify gaps and weaknesses in student learning. Principals can establish a data leader or data teams to organize and lead the effort. They can examine student learning through standards-based assessments and classroom assessments. Using the state assessments or other measures aligned with the state standards helps ensure that the progress in learning will result in higher achievement on high-stakes tests. School personnel can also look at data on factors that contribute to or impede student learning, such as attendance, discipline, and fiscal expenditures. In secondary schools, principals and other staff can examine data on course selection, course enrollment patterns, and course failure rates to identify other problem areas.<sup>80</sup>

For example, one middle school<sup>81</sup> studied student discipline referral data to understand when and why disciplinary problems occurred. These data indicated that a change in lunchroom procedures could reduce disciplinary problems that seemed to occur most often during lunch. The school also examined why students were assigned to in-school suspension and discovered that the majority of students were there for minor problems. To solve the discipline issue and keep students from missing instruction, the school staff developed new guidelines for in-school suspension.

---

2. Teachers can use data to analyze their instruction in light of student progress toward standards.

One case study school demonstrated the importance of using data to guide instruction. The data standards team analyzed student assessments and identified the

---

80. Lachat and Smith (2005).

81. Picucci et al. (2002b).

need for more emphasis on vocabulary and reading comprehension. In response, the teachers used visual and nonlinguistic representations as graphic organizers to enhance their instructional practice.<sup>82</sup>

Another example of the use of data included work in an elementary school where the principal<sup>83</sup> met weekly with teachers by grade level to look at data to guide instruction. Each week, teachers generated a test for each of the core subject areas and data sheets showing the results of the previous week's tests. The previous week's data guided team planning. Teachers and the principal discussed individual student progress and identified areas where students needed additional instruction. In this way, teachers began to differentiate instruction. Staff used weekly test data to regroup students across the grade level and to plan targeted instruction to address the students' particular learning needs.

---

3. Drawing on the results from the analysis of student achievement data and the curriculum review, principals and staff need to determine specific areas of weakness in instruction, establish priority areas for instructional focus, and make changes in those areas to strengthen teaching and improve student learning. Once schools have identified subject areas or instructional practices that need to be strengthened, staff members need to develop a plan with specific steps for improving instruction.

For example, the principal and teachers in one school determined that reading achievement was low, particularly in the comprehension of expository text. They also found in their curriculum review that teachers did not have enough lessons and strategies to use when teaching this literacy skill. The staff developed a plan that included having teachers work together to

develop additional lessons for this skill. They used professional development for teachers to learn how to teach comprehension more effectively, targeted interventions for students who demonstrated the lowest achievement on the skill, and purchased supplemental materials for comprehension instruction. Teachers also recommended providing additional time for reading by lengthening the reading instructional block by 30 minutes a day.<sup>84</sup>

---

4. The school leader should become the instructional leader and be highly visible in classrooms. Strong instructional leadership shows the importance of strengthening instruction that is aligned to standards, curricula, and assessments and guided by ongoing data analysis of both achievement and non-achievement outcomes.<sup>85</sup> The principal needs to set an example, lead the effort, and maintain vigilance toward the targeted, measurable goals.<sup>86</sup>

In one case study, the principal and the assistant principal made short, regular classroom observations. These observations gave school leaders informal and impromptu opportunities to see what instruction was like in classrooms throughout the school. The leaders prepared a one-page summary of the observation within 24 hours to share and discuss with the teacher. Rather than become part of the teacher's formal professional record, the summary was used to hone instructional practices.<sup>87</sup>

In another study, principals in turnaround schools indicated that they spent a lot of time in classrooms, monitored teachers closely, modeled good teaching practices, and were highly visible throughout the

---

82. Zargarpour (2005).

83. Duke et al. (2005).

---

84. Johnson and Asera (1999).

85. Murphy (2007).

86. Picucci et al. (2002a).

87. Whiteside (2006).

school. They were also involved in every phase of instructional planning.<sup>88</sup>

5. Professional development should be based on analyses of achievement and instruction and differentiated for teacher needs and the subject areas targeted for instructional improvement. Teachers need content knowledge and pedagogic knowledge (such as how students learn to read and what the key parts of reading instruction are). They also need instructional strategies for teaching the knowledge and skills to students (such as explicitly showing students the thinking skills needed to comprehend expository text).

Professional development can be delivered in many ways. Schools may choose to combine one or more strategies for providing intensive professional development. For example, several teachers at one urban elementary school<sup>89</sup> participated in weekly mathematics and science classes at a nearby technology institute. The school provided substitute teachers to cover their classrooms. Following the classes, experts from the institute visited the teachers and observed their instruction, providing coaching and support as needed. This intensive and targeted professional development helped teachers directly apply new skills and content knowledge to their teaching. Additional resources for professional development include:

- External technical assistance providers who visit the school regularly to work directly with teachers.
  - Specialized learning academies that provide content knowledge.
- Schools can also provide pedagogic and structural supports to deepen the learning experience and foster greater collaboration among teachers. For example, schools may arrange teachers into grade-level, vertical, or subject-area teams that meet regularly to plan lessons and share teaching strategies.
- As a school implements its professional development plan, it should provide the necessary supports, such as instructional coaches, so that teachers can translate their learning into their daily teaching. The school's capacity to give teachers ongoing support is thus important when selecting the strategy for professional development.
6. Conducting a comprehensive curriculum review can ensure that the curriculum aligns with state and local standards and meets the needs of all students. Teachers need to be involved in the review. But it may also be desirable to seek outside assistance from a curriculum specialist or another person with expertise in aligning a curriculum with standards. Teachers should understand the standards, the specific curriculum units or lessons that address them, and the methods effective for teaching those lessons.
- In this review, teachers can pose such questions as the following:
- Does the curriculum include instruction in all the standards for the subject area?
  - Is there a need to provide supplemental materials or curriculum to address gaps in key skills or topics?

---

88. Duke (n.d.).

89. Ibid.

- Is the curriculum compatible with research-based practices?
- Are the instructional units and lessons in the curriculum designed for teachers to provide explicit, systematic instruction?

A careful and thorough examination of curricula can be accomplished in a number of ways. One turnaround school leader provided stipends for teachers to meet in early mornings for 16 weeks to align the curriculum with standards and to prepare lessons aligned to the standards.<sup>90</sup>

In one school, the principal led the curriculum review and worked with teachers on specific curriculum alignment projects for science and mathematics.<sup>91</sup> Another school formed a committee of science teacher representatives from each grade level.<sup>92</sup> The committee reviewed the curriculum and realized that although some objectives were taught at every grade level, others were not clearly addressed. Their review raised concerns about the way the curriculum was addressed at different grade levels and the school began to create an aligned curriculum. Because this process helped the science teachers, the mathematics teachers launched a similar effort looking specifically for gaps in the mathematics curriculum.

Teachers in another elementary school held weekly grade-level meetings to develop daily instruction plans aligned with both the state standards and the performance expectations at the school. Teachers periodically met with other grade levels to ensure that lessons were clear and well articulated throughout the school.<sup>93</sup>

---

90. Picucci et al. (2002b).

91. Ibid.

92. Ibid.

93. Almanzán (2005).

Another school organized its staff into teams spanning two grades as a way to improve alignment. District personnel provided computer programming and technical assistance to help the teams develop curricula and assessments aligned to standards.<sup>94</sup>

---

7. School leaders and teachers need to continually monitor data, looking for ways to improve instruction. They should monitor progress regularly and make adjustments as needed to strengthen teaching and student learning.

Principals can take the lead in monitoring progress by making daily or frequent classroom walkthroughs, reviewing lesson plans, and critiquing lessons. Teachers can work in teams and with the administration to monitor student progress and identify students who need additional support. All staff in turnaround schools need to make decisions guided by data and provide sharply focused support for teachers to improve their instruction so that students improve their learning.

### **Potential roadblocks and solutions**

---

1. Careful data analysis of student achievement to improve instruction may be new and unfamiliar to teachers. Teachers may also fear reprisals or negative consequences if their classroom data are carefully scrutinized. The systematic use of data requires teachers to shift their attitudes toward solving problems rather than pointing fingers. The turnaround leader can facilitate and model this change in attitude and practice. The principal can also become immersed in the data to support and guide teachers. At times, an outside facilitator or specialized training may be necessary to help teachers fully understand the different types of data and the ways to use these data to further student learning.<sup>95</sup>

---

94. Conzemius (2000).

95. Lachat and Smith (2005).

Researchers described three urban high schools that collaborated with the district's data-system personnel to create a Data Access Plan.<sup>96</sup> The plan included such details as what type of data the schools needed, when the data were needed, and what questions the staff hoped the data would answer. The schools used quarterly data to determine student attendance and course failure rates and had timely access

to the data needed to continue to improve student achievement.

---

2. A faulty plan, a resistant staff or community, or a feeble or inept commitment to change can derail the turnaround. To change instructional practices and improve learning, the learning goals must be realistic, and the changed practices must be sufficient and appropriate to produce the desired results. So, the turnaround plan must be grounded in good data, understood by the school community, executed competently, and modified with experience.

---

96. Ibid.

### **Recommendation 3. Provide visible improvements early in the turnaround process (quick wins)**

Quick wins (visible improvements early in the turnaround process) can rally staff around the effort and overcome resistance and inertia.<sup>97</sup> Certain outcomes that matter to the school can result from changes made quickly at the administrative level without needing teacher buy-in or approval from the district. Although these initial changes may not improve student achievement immediately, they can set the tone for change. A short-term focus on quick wins can establish a climate for long-term change.<sup>98</sup>

Principals may at times feel that they face insurmountable chaos. But when they identify one or two clear goals that can be accomplished quickly, the positive results show that it is possible to reach a school's overarching goal—raising student achievement. So, it is important to identify issues that can be addressed quickly and with noticeable success.<sup>99</sup>

#### **Level of evidence: Low**

The panel judges the level of evidence supporting this recommendation to be *low*, based on 10 case studies that describe turnaround practices across 35 schools.<sup>100</sup>

---

97. Kowal and Hassel (2005).

98. Picucci et al. (2002b).

99. Johnson and Asera (1999).

100. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

One study of nine elementary schools shows particularly clear examples of visible improvements early in the turnaround process.<sup>101</sup>

#### **Brief summary of evidence to support this recommendation**

In case studies of multiple schools, researchers identified quick wins as a common strategy for successful turnarounds.<sup>102</sup> This strategy was also prevalent (although not always explicitly acknowledged by researchers) in the case studies of individual schools and in the business turnaround research.<sup>103</sup>

In one case study of nine elementary schools that demonstrated significant academic gains, school leaders quickly identified and pursued one or two goals that could be met in a short time.<sup>104</sup> In several schools, the principals faced such immediate problems as weak student discipline, parental dissatisfaction, and low teacher morale. In response, the principals chose one area to make progress quickly. The quick wins sent a clear message that the schools were changing.

The focus of the quick wins depended on the needs of the school. But some areas were particularly important and open to rapid change: the use of time,<sup>105</sup> resources and the physical plan,<sup>106</sup> and student discipline.<sup>107</sup>

---

101. Ibid.

102. Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b) Zargarpour (2005).

103. Conzemius (2000); Murphy and Myers (in press); Rhim et al. (2007); Tung and Ouimette (2007); Whiteside (2006).

104. Johnson and Asera (1999).

105. Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Picucci et al. (2002a,b).

106. Ibid.

107. Ibid.

Changing the use of time was a quick win for several turnaround schools: thoughtful changes improved student achievement. Some turnaround schools changed instructional schedules to maximize learning time,<sup>108</sup> others the way teachers could use time for planning.<sup>109</sup> Most often, the schools created common planning times for teachers through grade-level planning teams or content teams in secondary schools.<sup>110</sup>

Changing instructional time also involved student teams in middle schools so that all students on the team shared a common group of core subject teachers. This arrangement allowed teachers to know their students better and to collaborate on meeting individual student needs.<sup>111</sup>

Common planning time for teachers can improve instruction and student discipline—a vehicle for problem-solving and brainstorming while keeping the focus on raising student achievement.<sup>112</sup>

Although no clear evidence links student achievement to changes in the use of instructional time, teachers felt that their instruction improved.<sup>113</sup>

Improving the physical plant was also a quick win in multiple turnaround schools. One principal removed displays that had been posted on the walls for years and put up new displays of student work every two to four weeks. Both parents and teachers appreciated the clean, attractive, and stimulating environment. Staff at another school established a school beautification committee, resulting in a neat and clean building, a fresh coat of white paint,

colorful murals and maps, and new flower beds in front of the school.<sup>114</sup>

Attending to student discipline was another quick win in the case study research. A carefully designed student behavior plan facilitated learning by reducing disruptions and increasing the time and attention that teachers could devote to instruction. Such plans included having teachers and administrators be a visible presence throughout the school during class changes and before and after school. At times, additional strategies were put into place, such as locking all entrances other than the main entrance, reducing transitions between classes, eliminating bells and lockers, and minimizing interactions between younger and older students in the building. Throughout the case study research, reducing disruptive behavior and developing a safe and orderly learning environment could be put into place quickly to initiate the turnaround.<sup>115</sup>

### **How to carry out the recommendation**

---

1. Having set goals for the turnaround, school leaders should identify one or two that build on the school's needs and strengths, are important to staff, and can be achieved quickly. A narrow goal ("increasing the reading achievement of English language learners on a high-stakes test") can be achieved faster than a broad goal ("increasing the achievement of all students in all subjects").

---

2. School leaders should consider strategies that minimize dependence on others for decisions or financial support. A strategy that requires district review and approval or district funding is unlikely to be implemented quickly. Similarly, changing the way teachers approach their work might require a

---

108. Picucci, et al., (2002a).

109. Ibid.

110. Ibid.

111. Ibid.

112. Ibid.

113. Ibid.

---

114. Ibid.

115. Picucci et al. (2002a); Duke et al. (2005); Johnson and Asera (1999).

## 3. PROVIDE VISIBLE IMPROVEMENTS EARLY IN THE TURNAROUND PROCESS (QUICK WINS)

consensus among all teaching staff, which takes time. School leaders should think about strategies that they have the authority and funds to implement and that do not require wholesale involvement of all school staff.

For example, putting alarms on school exits may cut midday truancy faster than having teachers meet individually with parents of chronically truant students. Quick wins do not preclude long-term strategies. In the truancy example, the school might immediately reduce midday truancy with alarmed exits and then follow up with teacher-parent meetings once staff are committed to the changes.

---

3. One goal that a school may set for a quick win is to change the way it uses time—change that can be pursued quickly, with immediate effects on instruction.

School leaders can adjust schedules to improve the functioning of the school, to provide time for academic support, and to give teachers time to collaborate on analyzing data and planning aligned instruction.

If a low-performing school struggles with maintaining its focus on academics, an adjustment in the schedule to ensure uninterrupted blocks of instructional time could provide an immediate reorientation toward academics. Several secondary schools limited student access to electives until the students were performing at grade level. The time they would have spent on electives was spent strengthening their basic academic skills. Core academic classes could not be interrupted for assemblies, counselor visits, or other activities that would take away from instructional time.<sup>116</sup>

Teachers in one school started a Discovery Room, open throughout the school day and staffed with an experienced teacher.

---

116. Picucci et al. (2002b).

Students could go there for extra help, especially during electives or lunch.<sup>117</sup>

At another school the principal—after noting that the breakfast program had turned into an opportunity for parents to linger throughout the morning and distract their children from instruction—changed things. Parents were instructed to say goodbye at the door, and breakfast was served in the classroom. So, instruction began without distractions within 15 minutes of student arrival at the school. Parents were welcome, but the school did not become a gathering place for them to socialize and to come and go as they pleased.<sup>118</sup>

---

4. Some schools changed the schedule to provide common planning time, an immediate benefit for teachers.<sup>119</sup> Teachers felt that the meetings were a critical element of their work, especially when a specific day, time, and agenda were set. The meetings also provided stability and continuity in the collaboration and planning process.<sup>120</sup> But some teachers did not know how to make the most of the planning opportunities. So, in several case studies, the schools hired an outside facilitator or went to the district for specialized technical assistance.<sup>121</sup> School leadership can also support productive collaboration, aligning practices to goals and maintaining focus.<sup>122</sup>

Although staff collaboration can take time to develop, some schools had a small group of staff members that were frustrated with the lack of improvement and ready to quickly initiate collaboration among colleagues.<sup>123</sup> Communicating their

---

117. Ibid.

118. Duke et al. (2005).

119. Zargarpour (2005).

120. Ibid.

121. Picucci et al. (2002a).

122. Zargarpour (2005).

123. Picucci et al. (2002a).



commitment to working with other staff more hesitant to collaborate, they stimulated opportunities to talk with one another, share ideas and lesson plans, and plan instruction as teams rather than as individuals.

---

5. If a school decides to improve access to instructional materials, textbooks, and basic school supplies for a quick win, the principal can do several things to produce quick results. All textbooks and supporting materials should be ordered and immediately available to staff and students. If the district procurement system is complex, the principal can designate a staff member to learn how to navigate the system and follow up on orders. Teachers also need a workroom with a copy machine, phones, and computers, in addition to a place to relax, mingle with other teachers, and hold grade-level team meetings.

Teachers in some schools, thinking of their instructional materials as “their own,” may not be inclined to share their successful approaches or materials with other teachers. A well organized resource room can overcome this tendency. Some turnaround schools created a Teacher Resource Room that combined many of these functions and instructional materials and professional resources. But a new mindset must accompany the physical changes. Principals can help teachers adopt this new mindset when materials are available when they need them.

Basic school supplies should be provided to all teachers. At times, teachers may have felt that basic supplies, like colored pencils and staplers, were in short supply, so they hoarded them for a rainy day. A careful analysis of spending patterns across departments may reveal some unevenness in supplies.

---

6. Immediate improvement of school facilities, such as painting, fixing broken fixtures, and cleaning school grounds, can signal

change and a quick win.<sup>124</sup> It is likely that the staff and the community will notice the improvements in the school’s appearance. At times, simply replacing worn displays with new displays that change periodically is effective. Big improvements in a school’s appearance can also be accomplished by working closely with the building engineer, who can do many little things to improve the learning environment in classrooms, such as maintaining stable room temperatures.

Painting the school is not always feasible. But maps, murals, and wall posters can make drab hallways bright and colorful. Students at the school or older students from a nearby secondary school can paint colorful murals and pictures in the hallways.<sup>125</sup>

Other examples of quickly improving facilities are replacing broken chairs, painting lockers, displaying student work, and buffing floors.<sup>126</sup> Before the school year began, one principal took immediate action to clean up a dirty, cluttered school. The administrator met with the custodial staff and district personnel to create and supervise a plan to clean up the school’s environment before students arrived.<sup>127</sup>

---

7. Establishing a safe and orderly school environment is another quick win.

One urban middle school set rules for behavior that were simple and strictly enforced. Gangs were prevalent, and school safety was a primary concern. The school administrators and safety officer maintained a vigilant presence at various entrances when students arrived in the morning and were dismissed in the afternoon. Boys and girls entered through different

---

124. Ibid.

125. Ibid.

126. Picucci et al. (2002b).

127. Duke et al. (2005).

entrances, and fighting and inappropriate language were prohibited.<sup>128</sup>

Another middle school sought parent assistance in discipline. The dean of students called every parent of every child who had a disciplinary issue and asked the parent to come to the school that day to reinforce the urgency of correcting the behavior. Teachers also had more autonomy in addressing disciplinary problems. The administration made it known to parents that students who came to school late would stay late to compensate for the lost instructional time. Indiscriminate tardiness was not tolerated.<sup>129</sup>

In one example of out-of-control student behavior, a low-performing middle school with 500 students logged 1,181 disciplinary referrals in one fall semester. The school made sweeping changes to the school schedule in the next fall semester, and disciplinary referrals dropped to 205. The district also created a special alternative program for referring over-age middle schoolers with discipline problems. The school's willingness to send students to this program sent a clear message that inappropriate behavior would not be tolerated.<sup>130</sup>

---

128. Whiteside (2006).

129. Duke et al. (2005).

130. Ibid.

### Potential roadblocks and solutions

---

1. A failing school needs to change in many areas, and parents and school and district staff may push for addressing many goals simultaneously and immediately, making it difficult to focus on any one goal. The principal must be willing to keep the focus, even when pressured to broaden the goals pursued. Setting a goal that is clearly a priority for most stakeholders eases that pressure by ensuring an initial base of support. Setting a very short timeline for accomplishing that goal can also help. A quick win on one goal and turning right away to other important goals can help staff and parents feel that their concerns will eventually be addressed.<sup>131</sup>

---

2. A quick win that is not sustained becomes yet another example of the transience of school reform and fodder for those who resist change. Accomplishing a quick win can persuade school staff that the school can and will change. But it is equally important to follow up the quick win with strategies to sustain that success. Cleaning and fixing the school could be followed with regular inspections and maintenance. Establishing a resource room for teachers could be followed with funds set aside to continually update the room. Providing uninterrupted blocks of instructional time could be followed with a review of how that time was used and professional development for teachers to use large blocks of time.

---

131. Murphy (2007).

## Recommendation 4. Build a committed staff

The school leader needs to build a staff that is committed to the school's improvement goals and qualified to meet them. Changes in staff may be required, such as releasing, replacing, or redeploying those who are not fully committed to turning around school performance or bringing in new staff to better meet the goals. Some teachers in a low-performing school may retreat to their classrooms to avoid the larger, perhaps negative, school climate.<sup>132</sup> Breaking this pattern may require changes in staff or in the ways that some staff are used. This recommendation focuses on having the right staff in the right places. Professional development to help staff reach the school's goals is an essential element of all school reform efforts and should be part of turnaround schools. That is not unique to turnaround schools, however, so it is not the focus of the discussion here.

### Level of evidence: Low

The panel judges the level of evidence supporting this recommendation to be *low*, based on 10 case studies that describe turnaround practices across 35 schools.<sup>133</sup> One study of 15 turnaround schools is especially relevant for this recommendation.<sup>134</sup> The remaining 9 studies

---

132. Johnson and Asera (1999).

133. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

134. Duke (n.d.).

also showed turnaround schools building committed staff.<sup>135</sup>

### Brief summary of evidence to support this recommendation

A common thread from the case study research was the care that school leaders took to choose the right staff for the school and to deploy staff members carefully to meet the student needs.<sup>136</sup> School leaders needed to make certain that the selected staff fit the vision of the school and its context. Not all teachers were trained and prepared to work with a challenging student body.<sup>137</sup> School leaders highly valued teachers who accepted their students at their individual starting points, both academically and behaviorally, and who were committed to working with students to raise their level of achievement.

Case study research indicates that successful schools had a shared common purpose and a belief that all students can learn.<sup>138</sup> Thus, building a committed staff was essential, with everyone of the same mindset. A cohesive staff also set high expectations for instruction, with everyone's efforts focused on improving student performance. A committed staff displayed this mindset by caring about students, building pride in the school, the staff, and oneself, demonstrating a willingness to be diligent, and doing whatever

---

135. Conzemius (2000); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

136. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

137. Whiteside (2006).

138. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

it took to meet goals and raise student achievement.<sup>139</sup>

A committed staff built strong professional relationships among colleagues, possibly improving instruction and teacher satisfaction. It was easier to build close relationships at a small school than at a large school, but large schools built structures to connect colleagues and create a small-school feel.<sup>140</sup>

In one analysis of 15 turnaround schools, all the case study schools made some staffing changes.<sup>141</sup> Principals of 9 schools took action to remove staff who did not have the skills to raise student achievement or who were not committed to the effort.<sup>142</sup> In 11 schools, principals created one or more new positions, such as program coordinators or reading specialist.<sup>143</sup> They also took such actions as developing differentiated staffing plans, creating specialized intervention teams, and modifying job descriptions.<sup>144</sup>

### **How to carry out the recommendation**

1. The school leader should assess the strengths and weaknesses of the staff and identify staff members who are not fully committed to the turnaround efforts.<sup>145</sup> The school turnaround case studies and the business turnaround research do not support the wholesale replacement of staff.<sup>146</sup> The school leader needs to understand staff and the commitment of each staff member

---

139. Picucci et al. (2002a).

140. Ibid.

141. Duke (n.d.).

142. Ibid.

143. Ibid.

144. Ibid.

145. Ibid.

146. Kowal and Hassel (2005).

to the turnaround process.<sup>147</sup> Consequently, the school leader should spend considerable time getting to know teachers and their individual skills, personality, knowledge, background, and goals. Getting to know teachers also involves spending time in their classrooms. The school leader can then use this information to place a teacher in a classroom that better “fits” both the teacher and the students.<sup>148</sup>

2. The school leader should redeploy staff members who offer valuable skills but are not effective in their current role and bring in new staff with specialized skills and competencies for specific positions, such as intervention or reading specialists.<sup>149</sup> In the schools in the case studies, new positions were most often designed to coordinate programs or to bring in teachers with specialized training, such as an instructional specialist, a reading specialist, a school-community liaison, or a computer specialist.<sup>150</sup>

By examining staff strengths and weaknesses, a school leader can determine a better fit for some personnel. This may include modifying job descriptions, differentiating staffing, or creating intervention teams,<sup>151</sup> tailoring the positions of staff members to individual strengths and school needs. Some differentiated staffing strategies have the lowest reading groups taught by the classroom teacher and a reading specialist—and special education teachers team with regular education teachers in the general classroom. For example, one school arranged to have a Title I-supported reading teacher trained to be a Reading Recovery teacher so that she could provide differentiated services.<sup>152</sup>

---

147. Zargarpour (2005); Murphy (2007).

148. Johnson and Asera (1999).

149. Tung and Ouimette (2007).

150. Duke (n.d.).

151. Ibid.

152. Conzemius (2000).

School leaders should also look at the roles of support personnel, such as the lunchroom supervisor or lunchtime aides. Their roles might be expanded to improve efficiency in the cafeteria or provide one-on-one tutoring when the lunch shift is over.<sup>153</sup>

---

3. The school leader should replace staff members who resist the school turnaround efforts.<sup>154</sup>

One school principal noted that it is important to “get the right people on the bus and [be] prepared to take some people off the bus [who] don’t belong.”<sup>155</sup> However, the school leader could work to develop staff members who have potential. In one synthesis of case studies of successful school turnarounds,<sup>156</sup> principals in 9 of the 15 schools took steps to remove staff who lacked the requisite skills or the desire and commitment to significantly raise student achievement. In several instances, staff members were transferred to other schools. For example, one teacher who wanted to continue to provide pullout remedial reading classes, even though this format did not fit the redesigned literacy orientation, was moved out of the school.<sup>157</sup>

---

153. Johnson and Asera (1999).

154. Duke (n.d.); Tung and Ouimette (2007); Zargarpour (2005).

155. Zargarpour (2005), p. 177.

156. Duke (n.d.).

157. Johnson and Asera (1999).

## Potential roadblocks and solutions

---

1. Collective bargaining agreements can often forestall immediate staff changes. Usually these agreements have stipulations for seniority: more-senior staff might have priority in transfers, be able to choose the grade level to teach, or be able to select certain subject and class assignments. Soliciting support from the union at the outset of the turnaround efforts can be a key task. When a union has an opportunity to participate as an active partner in the turnaround efforts, it may be easier to create work-arounds or renegotiate certain stipulations in the contract.

---

2. In addition to the complications that may arise from collective bargaining agreements, teachers may be unwilling to leave a school. The principal can suggest early retirement if appropriate, reassign teachers to new areas within the school, or even take more decisive steps, such as not renewing a contract or counseling an ineffective teacher to leave the profession.

---

3. When a principal makes targeted staff replacements, replacements are not always readily available. For rural schools, replacing teachers can be an especially large challenge. Principals may need to “grow their own” by encouraging effective instructional assistants to seek certification and apply for an emergency credential. Principals can also consider providing incentives for new teachers.<sup>158</sup>

---

158. Mazzeo and Berman (2003).

## Appendix A. Postscript from the Institute for Education Sciences

### What is a practice guide?

The health care professions have embraced a mechanism for assembling and communicating evidence-based advice to practitioners about care for specific clinical conditions. Various called practice guidelines, treatment protocols, critical pathways, best practice guides, or simply practice guides, these documents are systematically developed recommendations about the course of care for frequently encountered problems, ranging from physical conditions, such as foot ulcers, to psychosocial conditions, such as adolescent development.<sup>159</sup>

Practice guides are similar to the products of typical expert consensus panels in reflecting the views of those serving on the panel and the social decisions that come into play as the positions of individual panel members are forged into statements that all panel members are willing to endorse. Practice guides, however, are generated under three constraints that do not typically apply to consensus panels. The first is that a practice guide consists of a list of discrete recommendations that are actionable. The second is that those recommendations taken together are intended to be a coherent approach to a multifaceted problem. The third, which is most important, is that each recommendation is explicitly connected to the level of evidence supporting it, with the level represented by a grade (high, moderate, low).

The levels of evidence, or grades, are usually constructed around the value of particular types of studies for drawing causal conclusions about what works. Thus, one typically finds that a high level

of evidence is drawn from a body of randomized controlled trials, the moderate level from well designed studies that do not involve randomization, and the low level from the opinions of respected authorities (see table 1). Levels of evidence also can be constructed around the value of particular types of studies for other goals, such as the reliability and validity of assessments.

Practice guides also can be distinguished from systematic reviews or meta-analyses, such as the What Works Clearinghouse (WWC) intervention reviews or statistical meta-analyses, which employ statistical methods to summarize the results of studies obtained from a rule-based search of the literature. Authors of practice guides seldom conduct the types of systematic literature searches that are the backbone of a meta-analysis, although they take advantage of such work when it is already published. Instead, authors use their expertise to identify the most important research with respect to their recommendations, augmented by a search of recent publications to ensure that the research citations are up-to-date. Furthermore, the characterization of the quality and direction of the evidence underlying a recommendation in a practice guide relies less on a tight set of rules and statistical algorithms and more on the judgment of the authors than would be the case in a high-quality meta-analysis. Another distinction is that a practice guide, because it aims for a comprehensive and coherent approach, operates with more numerous and more contextualized statements of what works than does a typical meta-analysis.

Thus, practice guides sit somewhere between consensus reports and meta-analyses in the degree to which systematic processes are used for locating relevant research and characterizing its meaning. Practice guides are more like consensus panel reports than meta-analyses in the breadth and complexity of the topic that

---

159. Field and Lohr (1990).

is addressed. Practice guides are different from both consensus reports and meta-analyses in providing advice at the level of specific action steps along a pathway that represents a more-or-less coherent and comprehensive approach to a multifaceted problem.

### **Practice guides in education at the Institute of Education Sciences**

The Institute of Education Science (IES) publishes practice guides in education to bring the best available evidence and expertise to bear on the types of systemic challenges that cannot currently be addressed by single interventions or programs. Although IES has taken advantage of the history of practice guides in health care to provide models of how to proceed in education, education is different from health care in ways that may require that practice guides in education have somewhat different designs. Even within health care, where practice guides now number in the thousands, there is no single template in use. Rather, one finds descriptions of general design features that permit substantial variation in the realization of practice guides across subspecialties and panels of experts.<sup>160</sup> Accordingly, the templates for IES practice guides may vary across practice guides and change over time and with experience.

The steps involved in producing an IES-sponsored practice guide are first to select a topic, which is informed by formal surveys of practitioners and requests. Next, a panel chair is recruited who has a national reputation and up-to-date expertise in the topic. Third, the chair, working in collaboration with IES, selects a small number of panelists to co-author the practice guide. These are people the chair believes can work well together and have the requisite expertise to be a convincing

source of recommendations. IES recommends that at least one of the panelists be a practitioner with experience relevant to the topic being addressed. The chair and the panelists are provided a general template for a practice guide along the lines of the information provided in this preamble. They are also provided with examples of practice guides. The practice guide panel works under a short deadline of 6–9 months to produce a draft document. The expert panel interacts with and receives feedback from staff at IES during the development of the practice guide, but they understand that they are the authors and, thus, responsible for the final product.

One unique feature of IES-sponsored practice guides is that they are subjected to rigorous external peer review through the same office that is responsible for independent review of other IES publications. A critical task of the peer reviewers of a practice guide is to determine whether the evidence cited in support of particular recommendations is up-to-date and whether studies of similar or better quality that point in a different direction have not been ignored. Peer reviewers also are asked to evaluate whether the evidence grade assigned to particular recommendations by the practice guide authors is appropriate. A practice guide is revised as necessary to meet the concerns of external peer reviews and gain the approval of the standards and review staff at IES. The process of external peer review is carried out independent of the office and staff within IES that instigated the practice guide.

Because practice guides depend on the expertise of their authors and their group decision-making, the content of a practice guide is not and should not be viewed as a set of recommendations that in every case depends on and flows inevitably from scientific research. It is not only possible but also likely that two teams of recognized experts, working independently to produce

---

160. American Psychological Association (2002).

a practice guide on the same topic, would generate products that differ in important respects. Thus, consumers of practice guides need to understand that they are, in effect, getting the advice of consultants. These consultants should, on average, provide substantially better advice than an

individual school district might obtain on its own because the authors are national authorities who have to reach agreement among themselves, justify their recommendations in terms of supporting evidence, and undergo rigorous independent peer review of their product.

**Institute of Education Sciences**



## Appendix B. About the authors

### Panel

**Rebecca Herman**, a managing research analyst at the American Institutes for Research, holds a Ph.D. in sociology from Johns Hopkins University. As the project director for the first phase of the What Works Clearinghouse, she was responsible for the U.S. Department of Education's flagship project to set standards for education research and use those standards to identify effective educational programs, practices, and approaches. She has provided congressional testimony and served on many expert panels on setting standards for outcomes research and on comprehensive school reform. She specializes in evaluating, designing, and conducting research on education improvement; setting standards for the quality of education research; and reviewing research based on those standards.

**Priscilla Dawson**, a school principal in urban settings for 18 years, earned her Ed.D. from the University of Pennsylvania. She has won multiple principal awards and was featured in the film documentary *Girls in the Middle*, which depicts her work in increasing mathematics and science achievement among middle school girls. Her leadership in schools "in need of progress" has increased poor, minority students' levels of achievement.

**Thomas S. Dee** is an associate professor in the Department of Economics at Swarthmore College and a faculty research fellow with the programs on education, children, and health at the National Bureau of Economic Research. He has recently held visiting appointments at Stanford University and Princeton University. His research focuses largely on policy-relevant issues in the economics of education. Recent examples are econometric evaluations of

the racial and gender interactions between students and teachers and an assessment of the effects of schooling on adult civic engagement.

**Jay P. Greene** is endowed chair and head of the Department of Education Reform at the University of Arkansas and a senior fellow at the Manhattan Institute. Greene earned his Ph.D. from the Government Department at Harvard University in 1995. His research was cited four times in the Supreme Court's opinions in the landmark *Zelman v. Simmons-Harris* case on school vouchers, and his articles have appeared in major policy and academic journals, as well as in major newspapers. Dr. Greene is the author of *Education Myths*. Dr. Greene conducts research and writes about education policy, including such topics as school choice, high school graduation rates, accountability, and special education.

**Rebecca A. Maynard** is University Trustee Chair Professor of Education and Social Policy at the University of Pennsylvania, senior program associate at the W. T. Grant Foundation, and affiliate scholar at Abt Associates. She teaches graduate courses in program evaluation and policy analysis, the economics of economics and education, and research synthesis methods. She also maintains an active research agenda focused on school improvement, youth risk reduction, and employment skills development. She has published widely on welfare policy, educational innovation, employment and training, teenage pregnancy and parenthood, and evaluation design. Her research has appeared in a wide range of journals and in publications of the Brookings Institution, the Urban Institute Press, the National Academy of Sciences, Russell Sage, University of Michigan Press, and University of Wisconsin Press. She has testified before Congress on welfare policy, teenage pregnancy prevention, and child-care policy, and she frequently advises U.S. and foreign government agencies on

various aspects of education and social welfare policy.

**Sam Redding** is the executive director of the Academic Development Institute and director of the National Center on Innovation & Improvement. He holds a doctorate in educational administration from Illinois State University and is a graduate of Harvard's Institute for Educational Management. Dr. Redding was a senior research associate of the Laboratory for Student Success at Temple University from 1995 to 2006. He is the executive editor of the *School Community Journal*. He has written a book on continual school improvement, edited books on restructuring state systems and on home-school relations, and published numerous articles and book chapters on education topics. In 1994, Illinois State University awarded him the Ben Hubbard Leadership Award for his service to public education. The Illinois State Board of Education similarly honored him in 1990. Dr. Redding has served on the boards of nine nonprofit

and civic organizations and is a member of three leadership teams for the state of Illinois.

### **Staff**

**Marlene Darwin**, a senior research analyst at the American Institute for Research, received her Ph.D. in education from George Mason University. She helped develop the 2009 Framework for the National Assessment of Educational Progress Test for Reading, wrote an adolescent literacy toolkit for the Neglected and Delinquent Technical Assistance Center, developed the reading taxonomy to be used for technical assistance for states in the development of adult education literacy program standards, and led the production of the Comprehensive School Reform Quality Center's five consumer-oriented reports on comprehensive school reform and education service provider models. With 15 years of classroom experience, she specializes in research-to-practice in literacy, school reform, and high schools.

## **Appendix C. Disclosure of potential conflicts of interest**

Practice guide panels are composed of individuals who are nationally recognized experts on the topics about which they are rendering recommendations. The Institute of Education Sciences (IES) expects that such experts will be involved professionally in a variety of matters that relate to their work as a panel. Panel members are asked to disclose their professional involvements and to institute deliberative processes that encourage critical examination of the views of panel members as they relate to the content of the practice guide. The potential influence of panel members' professional engagements is

further muted by the requirement that they ground their recommendations in evidence that is documented in the practice guide. In addition, the practice guide undergoes independent external peer review prior to publication, with particular focus on whether the evidence related to the recommendations in the practice guide has been appropriately presented.

The professional engagements reported by each panel member that appear most closely associated with the panel recommendations are noted below.

No professional engagements or commitments were reported by the panel members that were identified as a potential conflict of interest.

## Appendix D. Technical information on the studies

### Recommendation 1. Signal the need for dramatic change with strong leadership

Schools should make a clear commitment to dramatic changes from the status quo, and the leader should signal the magnitude and urgency of that change. A low-performing school that fails to make adequate yearly progress must improve student achievement within a short timeframe. It does not have the luxury of years to implement incremental reforms.

#### Level of evidence: Low

The panel judges the level of evidence supporting this recommendation to be low, based on 10 case studies that describe turnaround practices in 35 schools: 21 elementary, 8 middle, and 6 high schools.<sup>161</sup> Of the 10 studies, 2 describe in detail the ways that schools implemented dramatic changes with strong leadership.<sup>162</sup> One<sup>163</sup> looked at 7 middle schools, and the other<sup>164</sup> at 15 elementary schools that participated in school turnarounds. The remaining case studies provided additional support.<sup>165</sup>

161. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a, 2002b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

162. Picucci et al. (2002a); Duke (n.d.).

163. Picucci et al. (2002a).

164. Duke (n.d.).

165. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a, 2002b); Tung

Across the case studies, either the turnaround schools initiated the change process with a new leader, or the existing leader implemented new practices. Typically, leaders engaged in such practices as setting a stronger direction for the school, strengthening partnerships across the school community, regularly visiting classrooms and monitoring instruction, being visible throughout the school, and directly addressing discipline issues.

#### Example of one case study in which the school leaders signaled change

The case study analyzed 15 elementary schools that engaged in turnaround initiatives and sustained improvements for at least two years. Turnaround efforts at these schools focused on reversing a pattern of low performance in literacy and mathematics. The schools were examined to identify changes that took place as a result of the turnaround process.

In the study, all schools signaled change by changing leadership practices. Ten of the 15 schools initiated the turnaround process and signaled change by replacing the principal. In the other 5 schools, the existing school leaders exercised leadership differently to signal change. They changed the school's mission and focus, leadership style, school culture, and leadership structures.

Principals in the turnaround schools identified a lack of direction for the school and signaled change by developing a highly focused mission that targeted specific areas for change. Most often, these changes focused on instruction in literacy. After principals signaled change with one or more targets, they used the targets to plan for such activities as staff development and resource allocation.

and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

The leadership style of new and existing leaders in the turnaround schools also changed. Although specific aspects of leadership styles were not identified in the study, some common aspects of leadership appeared across the schools. Principals spent a great deal of time in classrooms, closely monitored teachers' instructional practices, and in some modeled instruction and coached teachers. They also became visible throughout the school and were accessible to staff and the school community. And they dealt directly with student discipline.

Principals also signaled change by taking steps to alter the culture of the schools. In 12 of the 15 schools, they changed at least one aspect of school culture. They commonly refocused the culture on the basis of such core beliefs as the ability of all children to learn, the value of teamwork and collaboration, and the shared responsibility for student achievement. The beliefs were put into practice through changes in organizational processes and planning and interventions to help struggling students.

Additional changes were made to distribute leadership, such as using team leaders or lead teachers. In all schools, teachers were instrumental in making important school-level decisions for change.

The attention to detail and the willingness to signal change from the outset contributed much to turnaround efforts. Both new and existing school leaders signaled change through a variety of practices that improved student performance.

## **Recommendation 2. Maintain a consistent focus on improving instruction**

Chronically low-performing schools need to maintain a keen focus on improving instruction at every step of the reform process. To

improve instruction, schools should use data to set goals for instructional improvement, make changes designed to affect instruction immediately and directly, and continually reassess student learning and instructional practices to refocus the goals.

### **Level of evidence: Low**

The panel judges the level of evidence supporting this recommendation to be *low*, based on 10 case studies that describe turnaround practices in 35 schools: 21 elementary, 8 middle, and 6 high schools. All 10 studies describe in detail how turnaround schools maintained a consistent focus on instruction.<sup>166</sup>

All schools in the case studies used data analysis to identify and set priorities for instructional needs at the school, class, and student levels; targeted professional development to addressing those needs; reviewed the curriculum for alignment with objectives; and regularly monitored progress and adjusted strategies.

### **Example of one case study in which the schools maintained a consistent focus on improving instruction**

The case study looked at using data to turn around five low-performing urban high schools.<sup>167</sup> Specifically, researchers examined the schools' use of disaggregated data to measure progress and guide the turnaround process, factors that promoted or acted as barriers to data use, and future policy and practice implications of data use to guide reform efforts.

The populations of the five schools ranged from 1,400 to 1,800 students. In four of

166. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a, 2002b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

167. Lachat and Smith (2005).

the schools, Hispanic students represented slightly more than 50 percent of the students. Three high schools were in the same district and operated under a district-mandated reform effort. The fourth was in a district with a district reform plan in place, but with schools implementing site-based decision making. The fifth school was the only public high school in its district.

The five high schools were considered large comprehensive high schools in high-poverty urban districts with diverse student populations. Many students did not perform at grade level on state assessments. Although not representative of high schools across the country, the schools were considered by researchers to be typical of many low-performing, medium-to-large urban high schools. Each school exhibited issues similar to those facing many schools.

As an integral piece of its turnaround efforts, each high school formed a data team, responsible for data analysis and dissemination. Four factors influenced the use of data at each school: the quality of and access to the data, the school's and district's capacity to disaggregate data, the collaborative use of data by staff, and the leadership structures that supported data use. The focus on data was intended to enable a school to set goals on the basis of school and student needs and to measure progress toward those goals.

For example, the study schools had small learning communities but needed increased access to the timely release of data to assign students to the communities. To establish equity across communities, each school worked with the district to ensure more timely access to a broader range of data. The three high schools in the same district, in conjunction with district personnel, developed a Data Access Plan for releasing quarterly attendance and course grade data much faster.

Each school also created a team to collaborate on data analysis, focusing on clearly defined questions. That helped staff look more deeply at the data to direct the school's improvement efforts. School teams looked specifically at how school policies, teacher beliefs, teaching and learning conditions, and teaching practices could affect student achievement. That made it easier for staff to base their decisions on objective data, rather than prevailing beliefs or norms, and to maintain their focus on improving student achievement.

Schools used defined leadership structures to advance the use of data to guide the turnaround process. In two high schools, school leadership led the use of data. In all five schools, using data to guide turnaround efforts was strongly influenced by the shared leadership roles among other administrators and teacher leaders. The schools also used facilitators to support them in learning how to use data to guide improvements. School data teams increased communication within the school community around trends and issues revealed by the data.

### **Recommendation 3. Provide visible improvements early in the turnaround process (quick wins)**

Quick wins (visible improvement early in the turnaround process) can rally staff around the effort and overcome resistance and inertia. Certain outcomes that matter to the school can result from changes made quickly at the administrative level without needing approval from the district or teacher buy-in. Although these initial changes do not necessarily improve student achievement immediately, they have the potential to have an impact on some important aspects of the school and set the tone for change. In the short term, focusing on

quick wins can establish a climate for long-term change.

### **Level of evidence: Low**

The panel judges the level of evidence supporting this recommendation to be *low*, based on 10 case studies that describe turnaround practices in 35 schools: 21 elementary, 8 middle, and 6 high schools.<sup>168</sup> One study of 9 elementary schools shows particularly clear examples of visible improvements early in the turnaround process.<sup>169</sup>

The case studies indicate that school leaders were instrumental in achieving quick wins—by identifying the neediest areas in the school, determining the actions needed to address those areas, and taking action quickly to address those needy areas. The leaders were willing to take actions that deviated from the prevailing norms and that would be catalysts for ongoing changes.

### **Example of one case study in which the school leaders provided quick wins**

The study is a compilation of individual cases that tell the turnaround story in nine urban elementary schools.<sup>170</sup> The nine shared the following characteristics: the majority of students met the low-income criteria, the schools were in urban areas across the country and did not have selective admissions policies, student achievement in mathematics and reading was higher than the state average after three years of assessment data, evidence did not suggest that the schools exempted large numbers of students from assessments because of limited

English proficiency or disabilities, and they agreed to participate in the study.

Many of the nine school schools used similar practices, although they differed in size, grade configurations, student demographics, and curricula. To collect data on specific practices at each school, qualitative researchers visited each school for two days. At the schools, they interviewed principals, at least one teacher from each grade level, other school administrators, and parents. Parents and teachers also took part in focus groups so that researchers could gain multiple perspectives. District personnel were also interviewed. Researchers observed a range of settings within the schools, such as classrooms, hallways, and playgrounds. They also observed staff meetings and professional development activities and reviewed documentation. They sought to discover what had changed and how those changes were made.

In several schools, principals came on board in an atmosphere of overwhelming problems of student discipline, teacher morale, parent and community dissatisfaction, and academic apathy. School leaders initially identified and pursued important but attainable first goals to demonstrate quick wins. They wanted to communicate an unambiguous message to all stakeholders that the schools were changing. Following initial success, they used the accomplishments to move toward more ambitious goals.

For example, at two schools, the quick wins addressed student discipline and immediate steps to create a safe and orderly environment. At another school, initial efforts were directed at reducing disruptions to instructional time and increasing the focus on strong academic instruction. The principal at a fourth school unified a parent-teacher association from two ethnically separate parent organizations. At several schools, principals directed their initial efforts toward the facility to create

168. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

169. Johnson and Asera (1999).

170. Johnson and Asera (1999).

a more attractive environment conducive to learning.

Within the first few weeks and months of the turnaround efforts, these changes sent the message—to students, parents, the community, and the staff—that the schools were improving. The successes also helped forestall any excuses and prepared the school communities for more challenging long-term changes. Thus, the first successes “became the cornerstone for future successes.”<sup>171</sup>

### **Recommendation 4. Build a committed staff**

---

*The school leader must build a staff committed to the school's improvement goals and qualified to carry out school improvement. This goal may require releasing, replacing, or redeploying staff who are not fully committed to turning around student performance and bringing in new staff who are committed.*

#### **Level of evidence: Low**

The panel judges the level of evidence supporting this recommendation to be *low*, based on 10 case studies that describe turnaround practices in 35 schools: 21 elementary schools, 8 middle schools, and 6 high schools.<sup>172</sup> One study of 15 turnaround schools is especially relevant for this recommendation.<sup>173</sup> The remaining 9 studies also showed turnaround schools building committed staff.<sup>174</sup>

---

171. *Ibid.*, p. 11.

172. Conzemius (2000); Duke (n.d.); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005); Picucci et al. (2002a, 2002b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

173. Duke (n.d.).

174. Conzemius (2000); Duke et al. (2005); Johnson and Asera (1999); Lachat and Smith (2005);

Across the 10 case studies, school leaders took steps to build a strong, committed staff dedicated to the turnaround. In each school, staff changes occurred, but no school changed its entire staff. School leaders focused on developing a staff dedicated to improving instruction, assessment, and classroom management skills and to sustaining the turnaround beyond one or two years.

### **Example of one case study in which school leaders built a committed staff**

The example comprises two related studies: volume I is an analysis of themes that emerged from a study of seven high-poverty middle schools demonstrating strong academic improvement; volume II is a compilation of in-depth case studies of each school.<sup>175</sup> Together, the studies sought to uncover the practices, policies, and belief systems that contributed to better academic performance. The seven schools had different configurations encompassing grade ranges from 4 to 9 grade. At least 50 percent of the student population participated in the free or reduced-price lunch program. Only schools with open enrollment that showed a strong growth rate over three years were included. In general, the schools exhibited characteristics typical of high-poverty schools and communities but varied in school size, community type, geographic locales, and student populations.

Researchers collected data through four-day site visits, conducting interviews and focus group discussions with different members of the school community. They also reviewed documentation and observed classes, transition times, and staff meetings.

---

Picucci et al. (2002a,b); Tung and Ouimette (2007); Whiteside (2006); Zargarpour (2005).

175. Picucci et al. (2002a,b).



In each school, the leader made it clear from the outset that defeatist attitudes would not be tolerated. All teachers needed to be committed to improving student performance. In some cases, teachers were ready for that commitment. Others needed support to make the needed changes, and still others could not make the commitment and had to be reassigned or released.

One principal told staff members that if they wanted to stay at the school, their commitment to change was necessary. Some teachers were not able to accept the school's goals and either left voluntarily or were asked to leave. Of 125 teachers, 25 left the school during the years of the turnaround efforts. Similar staffing changes were noted in the other schools. To build a committed staff, principals looked for individuals whose beliefs and values aligned to those of the school. In this way, principals did not need to focus their energies on persuading people to accept the change. All staff could become advocates for change.

In another middle school, the principal recognized that some teachers were not willing to make the needed changes but decided to give everyone two years to adjust. After the second year, it was evident that the school was not the right setting for some teachers. Some left voluntarily, others were asked to leave, and others stayed but did not fully support the changes they were asked to make in the turnaround process. So, the principal placed them in positions where they would have minimal impact on student learning. As new positions in the school opened, the principal looked for teachers willing to support the school's mission for change.

In the seven middle schools, a committed staff was essential to implementing the dramatic change necessary to turnaround a low-performing school. The staff at these schools helped build on the quick wins initiated by the principal and developed capacity for sustained improvement.

## References

- Almanzán, H.M. (2005, summer). Schools moving up. *Educational Leadership*, 62. Retrieved September 2007, from <http://www.ascd.org/portal/site/ascd/menuitem.459dee008f99653fb85516f762108a0c>
- American Educational Research Association, American Psychological Association, and National Council on Measurement in Education. (1999). *Standards for educational and psychological testing*. Washington, DC: American Educational Research Association.
- American Psychological Association. (2002). Criteria for practice guideline development and evaluation. *American Psychologist*, 57: 1048–1051.
- Berman, P., and McLaughlin, M.W. (1978). *Federal programs supporting educational change: Vol. 8. Implementing and sustaining innovations*. Santa Monica, CA: RAND.
- Borman, G.D., Hewes, G.M., Overman, L.T., and Brown, S. (2003). Comprehensive school reform and achievement: a meta-analysis. *Review of Educational Research*, 73(2): 125–230.
- Comprehensive School Reform Quality Center. (2006a, April). *CSRQ Center report on education service providers*. Washington, DC: American Institutes for Research, Comprehensive School Reform Quality Center.
- Comprehensive School Reform Quality Center. (2006b, November). *CSRQ Center report on elementary school comprehensive school reform models*. Washington, DC: American Institutes for Research, Comprehensive School Reform Quality Center.
- Comprehensive School Reform Quality Center. (2006c, November). *CSRQ Center report on middle and high school comprehensive school reform models*. Washington, DC: American Institutes for Research, Comprehensive School Reform Quality Center.
- Conzemius, A. (2000). Framework. *Journal of Staff Development*, 21(1): 38–41.
- Desimone, L. (2002). How can comprehensive school reform models be successfully implemented? *Review of Educational Research*, 73(3): 433–479.
- Duke, D. (n.d.). *Keys to sustaining successful school turnaround*. Unpublished manuscript. Charlottesville, VA: Darden/Curry Partnership for Leaders in Education. Retrieved August 2007, from [http://www.darden.edu/html/standard.aspx?menu\\_id=39&styleid=3&id=3215](http://www.darden.edu/html/standard.aspx?menu_id=39&styleid=3&id=3215)
- Duke, D.L., Tucker, P.D., Belcher, M., Crews, D., Harrison-Coleman, J., Higgins, J., et al. (2005). *Lift-off: launching the school turnaround process in 10 Virginia schools*. Unpublished manuscript. Charlottesville, VA: Darden/Curry Partnership for Leaders in Education. Retrieved August 2007, from [http://www.darden.edu/html/standard.aspx?menu\\_id=39&styleid=3&id=3215](http://www.darden.edu/html/standard.aspx?menu_id=39&styleid=3&id=3215)
- Field, M.J., and Lohr, K.N. (Eds.). (1990). *Clinical practice guidelines: directions for a new program*. Washington, DC: National Academy Press.
- Hassel, B., Hassel, E., and Rhim, L.M. (2007). Overview of restructuring. In H. Walberg (Ed.), *Handbook on restructuring and substantial school improvement* (pp. 9–22). Lincoln, IL: Center on Innovation and Improvement.
- Herman, R., Aladjem, D., McMahan, P., Masem, E., Mulligan, I., O'Malley, A.S., et al. (1999). *An educator's guide to school-wide reform*. Arlington, VA: Educational Research Service.
- Johnson, J.F., and Asera, R. (Eds.). (1999). *Hope for urban education: a study of nine high-performing, high-poverty, urban elementary schools*. Washington, DC: Policy Studies Associates and The University of Texas at Austin, The Charles A. Dana Center.
- Kowal, J.M., and Hassel, E.A. (2005). *Turnarounds with new leaders and staff*. Washington, DC: The Center for Comprehensive School Reform and Improvement.

- Lachat, M.A., and Smith, S. (2005). Practices that support data use in urban high schools. *Journal of Education for Students Placed at Risk*, 10(3): 333–339.
- Mapping America's Educational Progress. (2008). Retrieved February 29, 2008, from <http://www.ed.gov/nclb/accountability/results/progress/nation.html>
- Mazzeo, C., and Berman, I. (2003). *Reaching new heights: turning around low-performing schools*. Washington, DC: National Governors Association, Center for Best Practices.
- McLaughlin, M.W. (1990). The RAND change agent study revisited: macro perspectives and micro realities. *Educational Researcher*, 19(9): 11–16.
- Murphy, J. (2007). Restructuring through learning-focused leadership. In H. Walberg (Ed.), *Handbook on restructuring and substantial school improvement* (pp. 71–84). Lincoln, IL: Center on Innovation and Improvement.
- Murphy, J., and Meyers, C. (2007). *Turning around failing schools: lessons from the organizational sciences*. Thousand Oaks, CA: Corwin Press.
- Newmann, F., and Wehlage, G. (1995). *Successful school restructuring: a report to the public and educators by the Center on Organization and Restructuring of Schools*. Madison, WI: Center on Organization and Restructuring of Schools.
- Picucci, A.C., Brownson, A., Kahlert, R., and Sobel, A. (2002a). *Driven to succeed: high-performing, high-poverty, turnaround middle schools. Volume I: cross-case analysis of high-performing, high-poverty, turnaround middle schools*. Austin, TX: The University of Texas at Austin, The Charles A. Dana Center.
- Picucci, A.C., Brownson, A., Kahlert, R., and Sobel, A. (2002b). *Driven to succeed: high-performing, high-poverty, turnaround middle schools. Volume II: case studies of high-performing, high-poverty, turnaround middle schools*. Austin, TX: The University of Texas at Austin, The Charles A. Dana Center.
- Purkey, S.C., and Smith, M.S. (1983). Effective schools: A review. *The Elementary School Journal*, 83(4): 426–452.
- Rhim, L.M., Kowal, J.M., Hassel, B.C., and Hassel, E.A. (2007). *School turnarounds: a review of the cross-sector evidence on dramatic organizational improvement*. Chapel Hill, NC: Public Impact, and Lincoln, IL: Academic Development Institute.
- Rivlin, A.M., and Timpane, P.M. (Eds.). (1975). *Planned variation in education: should we give up or try harder?* Washington, DC: The Brookings Institution.
- Tung, M., and Ouimette, R. (2007, April). *Promising results and lessons from the first Boston District School converting to pilot status*. Paper presented at the annual meeting of the American Educational Research Association, Chicago, IL. Retrieved December 2007, from [http://www.ccebos.org/BCLA\\_conversion\\_study.pdf](http://www.ccebos.org/BCLA_conversion_study.pdf)
- Walberg, H.J. (Ed.). (2007). *Handbook on restructuring and substantial school improvement*. Lincoln, IL: Center on Innovation and Improvement.
- Whiteside, V.B. (2006). *Meeting the challenge of No Child Left Behind: how an inner-city middle school succeeded*. Unpublished doctoral dissertation. Fordham University, New York City.
- Zargarpour, N. (2005). *A collective inquiry response to high-stakes accountability*. Unpublished doctoral dissertation. Claremont Graduate University, Claremont.

**ATTACHMENT 24: SIOP PROTOCOL**

## The Sheltered Instruction Observation Protocol (SIOP)

Observer: \_\_\_\_\_ Teacher: \_\_\_\_\_  
 Date: \_\_\_\_\_ School: \_\_\_\_\_  
 Grade: \_\_\_\_\_ ESL level: \_\_\_\_\_  
 Class: \_\_\_\_\_ Lesson: \_\_\_\_\_

**Directions:**

Circle the number that best reflects what you observe in a sheltered lesson. You may give a score from 0-4 or NA. Cite under “Comments” specific examples of the behaviors observed.

	Total Score: _____	% Score: _____	Tape #: _____	
1. <u>Clearly defined content objectives</u> for students <i>Comments:</i>	4	3	1	Preparation 2 Content <u>objectives</u> for students implied No clearly defined <u>content objectives</u> for students NA
2. <u>Clearly defined language objectives</u> for students <i>Comments:</i>	4	3	1	Language <u>objectives</u> for students implied No clearly defined <u>language objectives</u> for students NA
3. <u>Content concepts</u> appropriate for age and educational background level for students <i>Comments:</i>	4	3	1	Content <u>Concepts</u> somewhat appropriate for age and educational background level of students Content concepts inappropriate for age and educational back ground level of students NA
4. <u>Supplementary materials</u> used to a high degree,	4	3	1	Some use of <u>supplementary materials</u> No use of <u>supplementary materials</u> NA

making the lesson clear and meaningful (e.g., graphs, models, visuals)

*Comments:*

4	3	2	1	0	NA
5. <u>Adaptation of content (e.g., text, assignment) to all levels of student proficiency</u>		Some adaptation of content to all levels of student proficiency		No significant adaptation of content to all levels of students proficiency	

*Comments:*

4	3	2	1	0	NA
6. <u>Meaningful activities that integrate lesson concepts (e.g., surveys, letter writing, simulations, constructing models) with language practice opportunities for reading, writing, listening, and/or speaking</u>		Meaningful activities that integrate lesson concepts, but provide little opportunity for language practice with opportunities for reading, writing, listening and/or speaking		No meaningful activities that integrate lesson concepts with language practice	

*Comments:*

4	3	2	1	0	NA
7. <u>Concepts explicitly linked to students' background experiences</u>		Building Background Concepts loosely linked to students' background experiences		Concepts not explicitly linked to students' back ground experiences	

*Comments:*

4	3	2	1	0	NA
8. <u>Links explicitly made between past learning and new concepts</u>		Few links made between past learning and new concepts		No links made between past learning and new concepts	

*Comments:*

	4	3	2	1	0	NA
9.	Key vocabulary emphasized (e.g., introduced, written, repeated, and highlighted for students to see)		<u>Key vocabulary</u> introduced, but not emphasized		<u>Key vocabulary</u> not emphasized	

*Comments:*

	4	3	2	1	0	NA
10.	<u>Speech</u> appropriate for students' proficiency level (e.g., slower rate, enunciation and simple sentence structure for beginners)	Comprehensible Input	<u>Speech</u> sometimes inappropriate for students' proficiency level		<u>Speech</u> inappropriate for students' proficiency level	

*Comments:*

	4	3	2	1	0	NA
11.	<u>Explanations of academic tasks</u> clear	<u>Explanations of academic tasks</u> somewhat clear	<u>Explanations of academic tasks</u> unclear			

*Comments:*

	4	3	2	1	0	NA
12.	Uses a variety of <u>techniques</u> to make content concepts clear (e.g., modeling, visuals, hand-on activities, demonstrations, gestures,	Uses some <u>techniques</u> to make content concepts clear	Uses few or no techniques to make content concepts clear			

body language)

*Comments:*

	4	3	2	1	0	NA
13.	Provides ample opportunities for students to use <u>strategies</u> (see Glossary)		Provides students with inadequate opportunities to use <u>strategies</u>		No opportunity for students to use <u>strategies</u>	

*Comments:*

	4	3	2	1	0	NA
14.	Consistent use of <u>scaffolding</u> techniques throughout lesson, assisting and supporting student understanding, such as think alouds (See Glossary)		Occasional use of <u>scaffolding</u>		No use of <u>scaffolding</u>	

*Comments:*

	4	3	2	1	0	NA
15.	Teacher uses a variety of <u>question types including those that promote higher-order thinking skills</u> throughout the lesson (e.g., literal, analytical, and interpretive questions)		Teacher infrequently poses <u>questions that promote higher-order thinking skills</u>		Teacher does not pose <u>questions that promote higher-order thinking skills</u>	

*Comments:*



	4	3	Interaction 2	1	0	NA
16. Frequent opportunities for <u>interactions</u> and discussion between teacher/student and among students, which encourage elaborated responses about lesson concepts			<u>Interactions</u> mostly teacher-dominated with some opportunities for students to talk about or question lesson concepts		<u>Interaction</u> primarily teacher-dominated with no opportunities for students to discuss lesson concepts	
<i>Comments:</i>						
17. <u>Grouping configurations</u> support language and content objectives of the lesson (See Glossary)			<u>Grouping configurations</u> unevenly support the language and content objectives		<u>Grouping configurations</u> do not support the language and content objectives	
<i>Comments:</i>						
18. Consistently provides sufficient <u>wait time</u> for students responses			Occasionally provides sufficient <u>wait time</u> for students responses		Never provides sufficient <u>wait time</u> for student responses	
<i>Comments:</i>						
19. Ample opportunities for students to <u>clarify key concepts</u> in L1 (See Glossary) as needed with aide, peer, or L1 text			Some opportunities for students to <u>clarify key concepts</u> in L1		No opportunities for students to <u>clarify key concepts</u> in L1	
<i>Comments:</i>						

20. Provides <u>hands-on</u> materials and/or manipulative for students to practice using new content knowledge	4	3	Practice / Application 2	1	NA
<i>Comments:</i>			Provides few <u>hand-on</u> materials and/or manipulative for students to practice using new content knowledge		Provides no <u>hands-on</u> materials and/or manipulative for students to practice using new content knowledge
21. Provides activities for students to <u>apply content and language knowledge</u> in the classroom	4	3	3	1	NA
<i>Comments:</i>			Provides activities for students to <u>apply either content or language knowledge</u> in the classroom		Provides no activities for students to <u>apply content or language knowledge</u> in the classroom
22. Uses activities that integrate all <u>language skills</u> (i.e., reading, writing, listening, and speaking)	4	3	2	1	NA
<i>Comments:</i>			Uses activities that integrate some <u>language skills</u>		Uses activities that apply only one <u>language skill</u>
23. <u>Content objectives</u> clearly supported by lesson delivery	4	3	Lesson Delivery 2	1	NA
<i>Comments:</i>			<u>Content objectives</u> supported somewhat by lesson delivery		<u>Content objectives</u> not supported by lesson delivery
24. <u>Language objectives</u> clearly supported by lesson delivery	4	3	2	1	NA
<i>Comments:</i>			<u>Language objectives</u> supported somewhat by		<u>Language objectives</u> not supported by lesson delivery

lesson delivery

*Comments:*

4	3	2	1	0	NA
25. <u>Students engaged</u> approximately 90-100% of the period (See Glossary)		<u>Students engaged</u> approximately 70% of the period		<u>Students engaged</u> less than 50% of the period	

*Comments:*

4	3	2	1	0	NA
26. <u>Pacing</u> of the lesson appropriate to the students' ability level		<u>Pacing</u> generally appropriate, but at times too fast or too slow		<u>Pacing</u> inappropriate to the students' ability level	

*Comments:*

4	3	2	1	0	NA
27. <u>Comprehensive review</u> of <u>key vocabulary</u>		Review / Assessment <u>Uneven review</u> of <u>key vocabulary</u>		<u>No review</u> of <u>key vocabulary</u>	

*Comments:*

4	3	2	1	0	NA
28. <u>Comprehensive review</u> of <u>key content concepts</u>		<u>Uneven review</u> of <u>key content concepts</u>		<u>No review</u> of <u>key content concepts</u>	

*Comments:*

4	3	2	1	0	NA
29. Regularly provides <u>feedback</u> to students on their output (e.g., language, content, work)		<u>Inconsistently</u> provides <u>feedback</u> to students on their output		<u>Provides no feedback</u> to students on their output	

*Comments:*

	4	3	2	1	0	NA
30.	Conducts <u>assessment</u> of student comprehension and learning of all lesson objectives (e.g., spot checking, group response) throughout the lesson (See Glossary)		Conducts <u>assessment</u> of students comprehension and learning of some lesson objectives		Conducts no <u>assessment</u> of student comprehension and learning of lesson objectives	

*Comments:*

**ATTACHMENT 25: REFERENCES**

## References

- Aitkin, M., & Longford, N. (1986). Statistical modeling issues in school effectiveness studies. *Journal of the Royal Statistical Society, 149*(1), 1-43.
- Baler, E., P. Goldschmidt, F. Martinez, S. Swigert (2002). In Search of School Quality and Accountability: Moving Beyond the California Academic Performance Index (API), National Center for Research on Evaluation, Standards, and Student Testing (CRESST) University of California, Los Angeles, U.S. Department of Education Office of Educational Research and Improvement.
- Ballou, D., Sanders, W, & Wright, P. (2004). Controlling for student background in value-added assessment of teachers. *Journal of Educational and Behavioral Statistics, 29*(1), 37-65.
- Betebenner, D. (2009). Norm- and Criterion-Referenced Student Growth, *Educational Measurement: Issues and Practice, Winter, 28*(4), pp. 42–51.
- Briggs, D. C., Weeks, J. P., & Wiley, E. (2008). Vertical scaling in value-added models for student learning. National conference on value-added, Madison, Wisconsin.
- Briggs, D., and J. Weeks. (2009). The sensitivity of value-added modeling to the creation of a vertical score scale. *Education Finance and Policy 4* (4): 384–414.
- Bryk, A. S., & Weisberg, H. I. (1977). Use of the nonequivalent control group design when subjects are growing. *Psychological Bulletin, 84*(5), 950-962.
- Campbell, D. T., & Stanley, J. C. (1963). *Experimental and quasi-experimental designs for research*. Boston: Houghton Mifflin.
- Choi, K., Goldschmidt, P., and F. Martinez, (2004). Monitoring school improvement over years using a hierarchical model under a multiple-cohorts design: comparing scale score to NCE results, paper presentation at the annual meeting of the American educational research association, San Diego, CA.
- Choi, K., P. Goldschmidt, and K. Yamashiro (2005) Exploring Models of School Performance: from Theory to Practice in National Society for the Study of Education v. 104, Joan Herman and Ed Haertel Eds. Blackwell pub.
- Goldschmidt, P. K Choi, C. Boscardin, K. Yamashiro, J.F. Martinez, Fernandez, and W. Auty (2006) Extending Common Methodological Approaches to School Accountability and Evaluation: Latent Class and Longitudinal Models. Symposium, AERA, San Francisco, CA
- Goldschmidt, P., P. Roschewski, K. Choi, W. Auty, S. Hebbler, R. Blank, A. Williams (2005). Policymakers Guide to Growth Models for School Accountability: How do Accountability Models Differ? The Council of Chief State School Officers, Washington, DC.
- Goldstein, H., & Spiegelhalter, D. J. (1996). League tables and their limitations: Statistical issues in comparisons of institutional performance. *Journal of the Royal Statistical Society, Series A, 159*, 384-443.
- Goldstein, H., & Spiegelhalter, D. J. (1996). League tables and their limitations: Statistical issues in comparisons of institutional performance. *Journal of the Royal Statistical Society, Series A, 159*, 384-443.
- Hambleton, R. K., & Swaminathan, H. (1987). *Item Response Theory: Principles and applications*, Boston, MA: Kluwer.
- Hanushek, E. A. (1979). Conceptual and empirical issues in the estimation of education production functions. *Journal of Human Resources, 14* (3): 351-388.

- Hanushek, E. (2011). *Valuing teachers*. Cambridge, MA: Education Next. Retrieved from <http://educationnext.org/valuing-teachers/>.
- Hanushek, E. A., & Raymond, M. E. (2001, June). The confusing world of educational accountability. *National Tax Journal*, 54(2), 365-384.
- Hanushek, E., A., Steven Rivkin, and Lori Taylor (1996). Aggregation and the estimated Effects of School, *The Review of Economics and Statistics*, v. 78(4), pp 611-27.
- Heck, R. H. (2000, October). Examining the impact of school quality on school outcomes and improvement: A value-added approach. *Educational Administration Quarterly*, 36(4), 513-552.
- Linn, R. L., and Haug, C. (2002). Stability of school-building accountability scores and gains. *Educational Evaluation and Policy Analysis*, 24(1), 29-36.
- Linn, R.L. (2000). Assessments and accountability. *Educational Researcher*, 20(2), 4-16.
- Linn, Robert, (1998). Standards Based Accountability- Ten Suggestions, CRESST Technical Report 490, *Standards-Led Assessment: Technical and Policy Issues in Measuring School and Student Progress*, 1998.
- Lockwood, J.R. and Daniel F. McCaffrey. 2007. "Controlling for individual heterogeneity in longitudinal models, with applications to student achievement," *Electronic Journal of Statistics*. Vol 1, ppl 223-252.
- McCaffrey, D. F., Lockwood, J. R., Koretz, D., Louis, T. A., and Hamilton, L. (2004). Models for Value-Added Modeling of Teacher Effects. *Journal of Educational and Behavioral Statistics*, Vol. 29, No. 1, pp. 67-101.
- Mehrens, W. A. (1997). The consequences of consequential validity. *Educational Measurement: Issues and Practice*, 16(2), 16-19.
- Messick, S. (1995). Validity of Psychological Assessment: Validation of Inferences from Persons' Responses and Performances as Scientific Inquiry Into Score Meaning, *American Psychologist*, 5(9), pp. 741-749.
- Meyer, R. H. (1996). Value-added indicators of school performance. In E. A. Hanushek & D.W. Jorgenson (Eds.), *Improving America's schools: The role of incentives* (pp. 197-223). Washington, DC: National Academic Press.
- Novak, J., & Fuller, B. (2003). Penalizing diverse schools? Similar test scores, but different students, bring federal sanction. PACE Policy brief. Berkeley, CA: Policy Analysis for California Education.
- Raudenbush, S. (2001). Comparing personal trajectories and drawing causal inferences from longitudinal data. *Annual Review of Psychology*, 52, 501-525.
- Raudenbush, S. (2001). Comparing personal trajectories and drawing causal inferences from longitudinal data. *Annual Review of Psychology*, 52, 501-525.
- Raudenbush, S. W. (2004). What are value-added models estimating and what does this imply for statistical practice? *Journal of Educational and Behavioral Statistics*, 29 (1), 121-129.
- Raudenbush, S. W., & Bryk, A. S. (1987). Application of hierarchical linear models to assessing change. *Psychological Bulletin*, 104(3), 396-404.
- Raudenbush, S. W., and Bryk, A. S. (2002). Hierarchical linear models: applications and data analysis methods, (2<sup>nd</sup> ed.). Thousand Oaks, CA: Sage.
- Rogosa, D. R., Brandt, D., & Zimowski, M. (1982). A growth curve approach to the measurement of change. *Psychological Bulletin*, 92, 726-74.

- Seltzer, M., Frank, K., & Bryk, A. (1994). The metric matters: The sensitivity of conclusions about growth in student achievement to the choice of metric. *Educational Evaluation and Policy Analysis, 16*, 41-49.
- Singer, J. and J. Willet (2003). Applied Longitudinal Data Analysis: Modeling Change and Event Occurrence. Oxford University Press.
- Tekwe, C., R. Carter, C-X Ma, J. Algina, M. Lucas, J. Roth, M. Ariet, T. Fisher, M. Resnick (2004). An Empirical Comparison of Statistical Models for Value Added Assessment of School Performance, *Journal of Educational and Behavioral Statistics*, Spring, 20(1), 11-36.
- Thum, Y.M. (2003). No Child Left Behind: Methodological Challenges & Recommendations for Measuring Adequate Yearly Progress. CSE Technical Report. Los Angeles, CA: Center for the Research on Evaluation, Standards, and Student Testing, University of California Los Angeles.
- Willms, D. & Raudenbush, S. (1989). A longitudinal hierarchical linear model for estimating school effects and their stability, *Journal of Educational Measurement, 26*(3), 209-232.
- Wright, P. (2010). An Investigation of Two Nonparametric Regression Models for Value-Added Assessment in Education, SAS White Paper, March, SAS institute.
- Wright, S. P. (2008). Estimating Educational Effects using Analysis of Covariance with Measurement Error. Paper presented at CREATE/NEI Conference, Wilmington, NC, October 2008. Accessed 12-24-2009 at <http://www.createconference.org/documents/archive/2008/2008wright.pdf>.
- Wu, K.B., Goldschmidt, P., Boscardin, C., and D. Sankar (2009). International benchmarking and determinants of mathematics achievement in two Indian states, *Education Economics, 17*(3), 395-412.
- Yen, W. M. (1986). The choice of scale for educational measurement: An IRT perspective. *Journal of Educational Measurement, 23*(4), 299-325.