

NOTES

¹ University of Michigan, Survey Research Center, Institute for Social Research. (1998, December 18). Monitoring the Future Study Press Release. Ann Arbor: Author. University of Michigan, Survey Research Center, Institute for Social Research (1998). Unpublished tabulations from the Monitoring the Future Study.

² U.S. Department of Education & U.S. Department of Justice. (1998). *Annual Report on School Safety 1998*. Washington, DC: Author.

³ Silvia, E.S., Thorne, J., & Tashjian, C. (1997). *School-Based Drug Prevention Programs: A Longitudinal Study in Selected School Districts. Final Report*. Washington, DC: U.S. Department of Education.

⁴ *Guidelines for School and Community Programs to Promote Lifelong Physical Activity Among Young People* U.S. Department of Health and Human Services, Public Centers for Disease Control and Prevention, Morbidity and Mortality Weekly Report, March 7, 1997/ Vol. 46/No. RR-6, P. 4.

⁵ *Guidelines for School and Community Programs to Promote Lifelong Physical Activity Among Young People* U.S. Department of Health and Human Services, Public Centers for Disease Control and Prevention, Morbidity and Mortality Weekly Report, March 7, 1997/ Vol. 46/No. RR-6.

S 1422 IS

106th CONGRESS

1st Session

S. 1422

To amend the Elementary and Secondary Education Act of 1965 to improve the quality of education and raise student achievement by strengthening accountability, raising standards for teachers, rewarding success, and providing better information to parents.

IN THE SENATE OF THE UNITED STATES

July 22, 1999

Mr. SCHUMER introduced the following bill; which was read twice and referred to the Committee on Health, Education, Labor, and Pensions

A BILL

To amend the Elementary and Secondary Education Act of 1965 to improve the quality of education and raise student achievement by strengthening accountability, raising standards for teachers, rewarding success, and providing better information to parents.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

SECTION 1. SHORT TITLE.

This Act may be cited as the 'School Quality Counts Act'.

TITLE I--STATE PLANS FOR IMPROVING BASIC PROGRAMS OPERATED BY STATE AND LOCAL EDUCATIONAL AGENCIES.

SEC. 101. ACCOUNTABILITY.

(a) IN GENERAL- Section 1111(b)(2) of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6311(b)(2)) is amended--

(1) in subparagraph (A)--

(A) by striking 'and' at the end of clause (i);

(B) by striking the period at the end of clause (ii) and inserting '; and'; and

(C) by adding at the end the following:

‘(iii) the State toward enabling all children in schools receiving assistance under this part to meet the State’s student performance standards.’;

(2) in subparagraph (B), by striking clauses (i) and (ii) and inserting the following:

‘(i) that establishes a single high standard of performance for all students;

‘(ii) that takes into account the progress of all students of each local educational agency and school served under section 1114 or 1115;

‘(iii) that compares the proportions of students who are ‘not proficient’, ‘partially proficient’, ‘proficient’, and ‘advanced’ at the grade levels at which assessments are conducted with the proportions of students in each of the 4 categories at the same grade level in the previous school year;

‘(iv) that considers separately, within each State, local educational agency, and school, the performance and progress of students by gender, by each major ethnic and racial group, by English proficiency status, by migrant status, by students with disabilities as compared to nondisabled students, and by economically disadvantaged students as compared to students who are not economically disadvantaged (except that such disaggregation shall not be required in a case where the number of students in a category is insufficient to yield statistically reliable information or the results would reveal individually identifiable information about an individual student); and

‘(v) that includes annual numerical goals for improving the performance of all groups specified in clause (iv) and narrowing gaps in performance between these groups.’; and

(3) by adding at the end the following:

‘(C) The Secretary shall collect and review the information from States on the adequate yearly progress of schools and local educational agencies required under subparagraphs (A) and (B) for the purpose of determining State and local compliance with section 1116.’.

(b) REGULATIONS- The Secretary shall promulgate regulations and amendments to regulations to carry out the amendments made by subsection (a) not later than 6 months after the date of the enactment of this Act and shall review State plans submitted under section 1111 of the Elementary and Secondary Education Act of 1965 before such date to determine their compliance with the regulations. The Secretary shall require States to revise their plans if necessary to satisfy the requirements of the regulations. Such revised plans shall be submitted to the Secretary for approval not later than 1 year after the date of enactment of this Act.

SEC. 102. SCHOOL REPORT CARDS.

Section 1111(b) of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6311(b)) is amended--

(1) by amending the subsection heading to read as follows: '(b) STANDARDS, ASSESSMENTS, AND ACCOUNTABILITY- '

(2) by redesignating paragraphs (4) through (8) as paragraphs (6) through (10), respectively; and

(3) by inserting after paragraph (3) the following:

'(4) DISSEMINATION OF RESULTS TO PARENTS- Each State plan shall contain assurances that, beginning in the 2001-2002 school year, and annually thereafter, all schools served under this part shall--

'(A) report the results of all assessments described in paragraph (3) used to measure the performance of a student attending the school to each parent or legal guardian of the student;

'(B) report the results in a uniform and understandable format;

'(C) ensure that the reports are based on the same assessments described in paragraph (3);

'(D) include in the reports a description of whether the student has demonstrated 'advanced', 'proficient', 'partially proficient', or 'not proficient' levels of performance in each subject area;

'(E) include in the reports--

'(i) a comparison of the proportions of students enrolled in that school, in the local educational agency, and in the State who are 'not proficient', 'partially proficient', 'proficient', and 'advanced' in each subject area, for each grade level at which assessments are conducted, with proportions in each of the same 4 categories at the same grade levels in the previous school year;

'(ii) the percentage of students in the school on which the results in clause (i) are based; and

'(iii) information, in the aggregate, on the qualifications of classroom teachers in the student's school, including--

'(I) the percentage of classroom teachers in the school who meet all State and local requirements to teach at all grade levels and in all subject areas in which they provide instruction;

'(II) in middle and secondary schools, the percentage of classes taught by teachers who do not have a college major, or who have not passed a rigorous subject area test, in the subject being taught; and

'(III) the percentage of classroom teachers in the school teaching under 'emergency' or other provisional credentials.

‘(5) DISSEMINATION OF RESULTS TO THE PUBLIC- Each State plan shall contain assurances that, beginning in the 2001-2002 school year, and annually thereafter, each State shall--

‘(A) ensure that overall student performance data on all assessments described in paragraph (3) are compiled, published, and disseminated widely to the general public;

‘(B) ensure that the data includes a comparison of the proportions of students who are ‘not proficient’, ‘partially proficient’, ‘proficient’, and ‘advanced’ at the grade levels at which assessments are conducted with proportions in each of the same 4 categories at the same grade levels in the previous school year;

‘(C) ensure that the data is disaggregated within the State, local educational agency, and school by gender, by each major racial and ethnic group, by English proficiency status, by migrant status, by students with disabilities as compared to nondisabled students, and by economically disadvantaged students as compared to students who are not economically disadvantaged (except that such disaggregation shall not be required in a case where the number of students in any category is insufficient to yield statistically reliable information or the results would reveal individually identifiable information about an individual student);

‘(D) ensure that the reports are--

‘(i) distributed to local print and broadcast media; and

‘(ii) posted on a web site on the Internet.’.

SEC. 103. TEACHER QUALITY.

Section 1111 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6311) is amended--

(1) by redesignating subsections (c) through (g) as subsections (e) through (i), respectively; and

(2) by inserting after subsection (b) the following:

‘(c) TEACHER QUALITY-

‘(1) DISSEMINATION TO PARENTS- Each State plan shall contain assurances that all schools served under this part make available to each parent, in a uniform and understandable format, information on the qualifications of their child’s classroom teachers with regard to the subject areas and grade levels in which the teacher provides instruction. Such information shall include--

‘(A) whether the teacher has met all State qualification and licensing criteria for the grade levels and subject areas in which the teacher provides instruction;

‘(B) whether the teacher is teaching under ‘emergency’ or other provisional status;

‘(C) the college major of the teacher and any other graduate certification or degree held by the teacher, and the field or discipline of each certification or degree.

‘(2) SPECIAL PARENTAL NOTIFICATION- Each State plan shall contain assurances that--

‘(A) the State shall ensure that all schools served under this part notify in writing the parents or guardians of any student who is receiving academic instruction from a teacher who has not fully met all State requirements to provide instruction at the grade level at which, and in the subject areas in which, the teacher is providing instruction to the student;

‘(B) the notification required under subparagraph (A) shall be made--

‘(i) to parents or guardians of any student who is receiving instruction from a teacher who has been exempted from State qualification and licensing criteria or for whom State qualification or licensing criteria have been waived under ‘emergency’, ‘provisional’, or other similar procedures;

‘(ii) not more than 15 days after the student has been assigned to a teacher described in the subparagraph; and

‘(C) before being allowed to accept a teaching assignment in the State, a teacher who has not fully met all State requirements to provide instruction at a grade level or in a subject area in which the teacher is to provide instruction is informed of the notification requirement under this paragraph.

‘(3) PUBLIC REPORTING- Each State plan shall contain assurances that the State shall compile, aggregate, publish, distribute to major print and broadcast media outlets throughout the State and post on a web site on the Internet the information described in paragraph (1) for each school, local educational agency, and the State.

‘(4) QUALIFICATIONS OF CERTAIN INSTRUCTIONAL STAFF-

‘(A) Each State plan shall contain assurances that, not later than 2 years after the date of the enactment of the School Quality Counts Act--

‘(i) all instructional staff who provide services to students under section 1114 or 1115 have demonstrated the subject matter knowledge, teaching knowledge, and teaching skill necessary to teach effectively in the content area or areas in which they provide instruction, according to the criteria described in this paragraph;

‘(ii) except as provided in subparagraph (F), funds under this part may not be used to support instructional staff who provide services to students under section 1114 or 1115 for whom State qualification or licensing requirements have been waived or who are teaching under an ‘emergency’ or other provisional credential.

‘(B) For purposes of subparagraph (A), instructional staff who teach elementary school students are required, at a minimum, to hold a bachelor’s degree and demonstrate general knowledge, teaching skill, and subject matter knowledge required to teach effectively in reading, writing, mathematics, social studies, science, and other elements

of a liberal arts education.

‘(C) For purposes of subparagraph (A), instructional staff who teach in middle schools and secondary schools are required, at a minimum, to hold a bachelor’s degree or higher and demonstrate a high level of competence in all subject areas in which they teach through--

‘(i) a high level of performance on rigorous academic subject area tests; or

‘(ii) completion of an academic major in each of the subject areas in which they provide instruction and at least a B average.

‘(D) For purposes of subparagraph (A) funds under this part may be used to employ teacher aides or other paraprofessionals who do not meet the requirements under subparagraphs (B) and (C) only if such aides or paraprofessionals--

‘(i) provide instruction only when under the direct and immediate supervision, and in the immediate presence, of instructional staff who meet the criteria of this paragraph; and

‘(ii) possess particular skills necessary to assist instructional staff in providing services to students served under this Act.

‘(E) Each State plan shall contain assurances that beginning on the date of the enactment of the School Quality Counts Act, no school served under this part may use funds received under this Act to hire instructional staff who do not fully meet all the criteria for instructional staff described in this paragraph.

‘(F) Each State plan shall contain assurances that not later than 6 months after the date of the enactment of the School Quality Counts Act, and annually thereafter, the principal of each school served under this part shall, in writing, attest to the fact that all members of their instructional staff meet the requirements of this paragraph. In a case in which there are instructional staff who have yet to meet all requirements to provide instruction in each of the subject areas and at each of the grade levels to which they are assigned to teach, the principal shall submit, in writing, a plan for ensuring that not later than 2 years after the date of the enactment of the School Quality Counts Act all instructional staff will either meet all requirements under this paragraph or will no longer provide instruction to students served under this part.

‘(G) For purposes of this paragraph, the term ‘instructional staff’ includes any individual who has responsibility for providing any student or group of students with instruction in any of the core academic subject areas, including reading, writing, language arts, mathematics, science, and social studies.

‘(d) Each State plan shall describe how the State educational agency will help each local educational agency and school develop the capacity to comply with the requirements of this section.’.

SEC. 104. QUALIFIED TEACHER IN EVERY CLASSROOM.

(a) IN GENERAL- Title I of the Elementary and Secondary Education Act of 1965 is amended by

inserting after section 1119 the following new section:

‘SEC. 1119A. A QUALIFIED TEACHER IN EVERY CLASSROOM.

‘(a) USES OF FUNDS- In order to meet the goal under section 1111(c)(4) of ensuring that all instructional staff have the subject matter knowledge, teaching knowledge, and teaching skill necessary to teach effectively in the content area or areas in which they provide instruction, local educational agencies may, notwithstanding any other provision of law, use funds received under title II, title VI, and section 307 of the Department of Education Appropriations Act, 1999, the Higher Education Act of 1965, or the Goals 2000: Educate America Act--

‘(1) to recruit fully qualified teachers, including through the use of signing bonuses or other financial incentives;

‘(2) to collaborate with programs that recruit, place, and train qualified teachers; or

‘(3) to provide the necessary education and training, including paying the costs of college tuition and other student fees (for programs that meet the criteria under section 203(2)(A)(i) of the Higher Education Amendments of 1998), to help current teachers or other school personnel who do not meet these criteria attain the necessary qualifications and licensing requirements, except that in order to qualify for college tuition payments under this clause, an individual must be within 2 years of completing an undergraduate degree and must agree to teach for at least 2 subsequent years after receiving such degree in a school that--

‘(A) is located in a local educational agency that is eligible in that academic year for assistance under this title; and

‘(B) for that academic year, has been determined by the Secretary to be a school in which the enrollment of children counted under section 1124(c) exceeds 50 percent of the total enrollment of that school.

‘(b) CORRECTIVE ACTION- The State educational agency shall take corrective action consistent with section 1116(c)(5)(B)(i), with the goal of meeting the requirements under this paragraph, against any local educational agency that does not make sufficient effort to comply with section 103 within the time specified. Such corrective action shall be taken regardless of the conditions set forth in section 1116(c)(5)(B)(ii). In a case in which the State fails to take corrective action, the Secretary shall withhold funds from such State up to an amount equal to that reserved under sections 1003(a) and 1603(c).’.

(b) INSTRUCTIONAL AIDES- Section 1119 of Elementary and Secondary Education Act of 1965 is amended by striking subsection (i).

(c) CLERICAL AMENDMENT- The table of sections for the Elementary and Secondary Education Act of 1965 is amended by inserting after the item relating to section 1119 the following new item:

‘Sec. 1119A. A qualified teacher in every classroom.’.

SEC. 105. LIMITATION.

Part E of title XIV of the Elementary and Secondary Education Act of 1965 is amended by adding at

the end the following:

‘SEC. 14515. PROHIBITION REGARDING PROFESSIONAL DEVELOPMENT SERVICES.

‘None of the funds provided under this Act may be used for any professional development services for a teacher that are not directly related to the curriculum and content areas in which the teacher provides instruction.’.

TITLE II--ACADEMIC ACHIEVEMENT AWARDS PROGRAM

SEC. 201. ACADEMIC ACHIEVEMENT AWARDS.

Subpart 1 of part A of title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6311-6323) is amended--

(1) by redesignating sections 1120, 1120A, and 1120B as sections 1120A, 1120B, and 1120C, respectively; and

(2) by inserting after section 1119A, as added by section 104 of this Act, the following:

‘SEC. 1120. ACADEMIC ACHIEVEMENT AWARDS.

‘(a) ESTABLISHMENT OF PROGRAMS- Each State receiving a grant under this title shall establish an Academic Achievement Awards Program to recognize and reward--

‘(1) local educational agencies and schools that operate programs under section 1114 or 1115 and that demonstrate outstanding yearly progress, consistent with section 1111(b)(2)(A), for 2 or more consecutive years; and

‘(2) teachers who provide instruction in such programs.

‘(b) RESERVATION- Each State receiving a grant under this title shall reserve, from the amount (if any) by which the funds received by the State under this title for the fiscal year exceed the amount received by the State in the preceding fiscal year, 25 percent of such additional amount (plus any additional amount the State may find necessary to address a demonstrated need for an academic achievement award program), for awards to local educational agencies, schools, and teachers of classes that demonstrate outstanding yearly progress (consistent with section 1111(b)(2)(B)) for 2 or more consecutive years.

‘(c) TYPES OF AWARDS- Each State shall use funds reserved under this section to present financial awards to--

‘(1) the schools and local educational agencies that the State determines have demonstrated the greatest progress in improving student achievement (consistent with section 1111(b)(2)(B)); and

‘(2) teachers who demonstrate the ability to consistently help students make significant achievement gains, consistent with section 1111(b)(2)(B), in the subject areas in which the teacher provides instruction.

‘(d) CALCULATION OF AWARD AMOUNTS- Award amounts to local educational agencies and schools shall be proportionate to the amount of aid such local educational agency or school received under this part for the preceding fiscal year. The amount awarded to a teacher that qualifies for an award under this section shall be uniform throughout the State.

‘(e) SPECIAL RULE- Each State shall allocate not less than 85 percent of funds reserved under subsection (b) to schools that--

‘(1) reside in a local educational agency that is eligible in that academic year for assistance under section 1124; and

‘(2) for that academic year, have been determined by the Secretary to be a school in which the enrollment of children counted under section 1124(c) exceeds 50 percent of the total enrollment of that school,

or to teachers providing instruction within such schools.

‘(f) AUTHORIZATION OF APPROPRIATIONS- There are authorized to be appropriated to carry out this section such additional sums as may be necessary to supplement the academic achievement awards program. Such funds shall be allocated to a State in an amount proportionate to the amount of aid such State received under this part for the preceding fiscal year.’.

TITLE III--CONFORMING AMENDMENTS; EFFECTIVE DATE

SEC. 301. CONFORMING AMENDMENTS.

(a) SECTION 102 CONFORMING AMENDMENTS-

(1) STANDARDS AND ASSESSMENTS- Section 1111(b) of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6311(b)) is amended--

(A) in paragraph (1)(C), by striking ‘paragraph (6)’ and inserting ‘paragraph (8)’; and

(B) in paragraph (7)(A), by striking ‘paragraph (6)(B)’ and inserting ‘paragraph (8)(B)’.

(2) SCHOOL IMPROVEMENT- Section 1116(c)(1)(C) of such Act (20 U.S.C. 6317(c)(1)(C)) is amended by striking ‘section

1111(b)(7)(B)’ and inserting ‘section 1111(b)(9)(B)’.

(3) STATE REVIEW AND LOCAL EDUCATIONAL AGENCY IMPROVEMENT- Section 1116(d)(3)(A)(ii) of such Act (20 U.S.C. 6317(d)(3)(A)) is amended by striking ‘section 1111(b)(7)(B)’ and inserting ‘section 1111(b)(9)(B)’.

(4) BUILDING CAPACITY FOR INVOLVEMENT- Section 1118(e)(1) of such Act (20 U.S.C. 6319(e)(1)) is amended by striking ‘section 1111(b)(8)’ and inserting ‘section 1111(b)(10)’.

(b) SECTION 103 CONFORMING AMENDMENTS- Section 1111(d)(1) of the Elementary and

Secondary Education Act of 1965 (20 U.S.C. 6311(d)(1)) is amended--

- (1) in subparagraphs (C) and (E)(ii), by striking 'and (c)' and inserting 'and (e)'; and
- (2) in subparagraph (D), by striking 'or (c)' and inserting 'or (d)'.

(c) SECTION 201 CONFORMING AMENDMENTS-

(1) AUTHORIZATION OF APPROPRIATIONS- Section 1002 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 6302) is amended--

(A) in subsection (a), by striking 'section 1120(e)' and inserting 'section 1120A(e)'; and

(B) in subsection (e), by striking 'section 1120(e)' and inserting 'section 1120A(e)'.

(2) ADDITIONAL STATE ALLOCATIONS FOR SCHOOL IMPROVEMENT- Section 1003(b) of such Act (20 U.S.C. 6303(b)) is amended by striking 'section 1120(e)' both places it appears and inserting 'section 1120A(e)'.

(3) ASSURANCES- Section 1112(c)(1)(F) of such Act (20 U.S.C. 6312(c)(1)(F)) is amended by striking 'section 1120' and inserting 'section 1120A'.

(4) LOCAL EDUCATIONAL AGENCY DISCRETION- Section 1113(b)(1)(C)(i) of such Act (20 U.S.C. 6313(b)(1)(C)(i)) is amended by striking 'section 1120A(c)' and inserting 'section 1120B(c)'.

(5) ASSURANCES- Section 1304(c)(2) of such Act (20 U.S.C. 6394(c)(2)) is amended--

(A) by striking 'section 1120' and inserting 'section 1120A'; and

(B) by striking 'section 1120A' and inserting 'section 1120B'.

(6) PROGRAMS AND PROJECTS- Section 1415(a)(2)(C) of such Act (20 U.S.C. 6435(a)(2)(C)) is amended by striking 'section 1120A' and inserting 'section 1120B'.

(7) SUPPLEMENT, NOT SUPPLANT- Section 1415(b) of such Act (20 U.S.C. 6435(b)) is amended by striking 'section 1120A' and inserting 'section 1120B'.

SEC. 302. EFFECTIVE DATE.

Except as otherwise provided, the amendments made by this Act shall take effect on the date of the enactment of this Act.

END

S 475 IS

106th CONGRESS

1st Session

S. 475

To amend the Higher Education Act of 1965 to increase the amount of loan forgiveness for teachers.

IN THE SENATE OF THE UNITED STATES

February 25, 1999

Mr. SCHUMER introduced the following bill; which was read twice and referred to the Committee on Health, Education, Labor, and Pensions

A BILL

To amend the Higher Education Act of 1965 to increase the amount of loan forgiveness for teachers.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

SECTION 1. INCREASE IN LOAN FORGIVENESS FOR TEACHERS.

(a) FEDERAL STAFFORD LOANS-

(1) AMENDMENT- Section 428J of the Higher Education Act of 1965 (20 U.S.C. 1078-10) is amended--

(A) in subsection (b)--

(i) by redesignating paragraph (2) as paragraph (4); and

(ii) in paragraph (1)--

(I) by amending the matter preceding subparagraph (A) to read as follows:

‘(1) has been employed as a full-time elementary school or secondary school teacher;’;

(II) by striking subparagraph (A);

(III) by redesignating subparagraphs (B) and (C) as paragraphs (2) and (3), respectively; and

(IV) in paragraph (2) (as redesignated by subclause (III)), by striking ‘and’

after the semicolon;

(B) in subsection (c), by amending paragraph (1) to read as follows:

‘(1) IN GENERAL- The Secretary shall repay the amount of the loan obligations owed by a borrower on loans made under section 428 or 428H that are outstanding during each of the first 5 years of teaching described in subsection (b). The Secretary shall repay the total amount of all loan obligations owed by a borrower for each loan made under section 428 or 428H that is outstanding after the 5th year of teaching described in subsection (b). No borrower may receive a reduction of loan obligations under both this section and section 460.’;

(C) by striking subsections (f) and (g), and inserting the following:

‘(f) PREVENTION OF DOUBLE BENEFITS- No borrower may, for the same service, receive a benefit under both this section and subtitle D of title I of the National and Community Service Act of 1990 (42 U.S.C. 12571).’; and

(D) by redesignating subsection (h) as subsection (g).

(2) EFFECTIVE DATE- The amendments made by paragraph (1) shall take effect as if included in the amendment made by section 424 of the Higher Education Amendments of 1998.

(b) DIRECT LOANS-

(1) AMENDMENT- Section 460 of the Higher Education Act of 1965 (20 U.S.C. 1087j) is amended--

(A) in subsection (b)(1)--

(i) by redesignating subparagraph (B) as subparagraph (D); and

(ii) in subparagraph (A)--

(I) by amending the matter preceding clause (i) to read as follows:

‘(A) has been employed as a full-time elementary school or secondary school teacher;’;

(II) by striking clause (i);

(III) by redesignating clauses (ii) and (iii) as subparagraphs (B) and (C), respectively; and

(IV) in subparagraph (B) (as redesignated by subclause (III)), by striking ‘and’ after the semicolon;

(B) in subsection (c), by amending paragraph (1) to read as follows:

‘(1) IN GENERAL- The Secretary shall cancel the amount of the loan obligations owed by a borrower on a Federal Direct Stafford Loan or a Federal Direct Unsubsidized Stafford Loan

that are outstanding during each of the first 5 years of teaching described in subsection (b). The Secretary shall cancel the total amount of all loan obligations owed by a borrower for each such loan that is outstanding after the 5th year of teaching described in subsection (b).’;

(C) by striking subsections (f) and (g), and inserting the following:

‘(f) PREVENTION OF DOUBLE BENEFITS- No borrower may, for the same service, receive a benefit under both this section and subtitle D of title I of the National and Community Service Act of 1990 (42 U.S.C. 12571).’; and

(D) by redesignating subsection (h) as subsection (g).

(2) EFFECTIVE DATE- The amendments made by paragraph (1) shall take effect as if included in the amendment made by section 456 of the Higher Education Amendments of 1998.

END

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To amend the Internal Revenue Code of 1986 to exclude from income the salary of certain teachers who teach in high-poverty schools. (Introduced in the House)

HR 2611 IH

106th CONGRESS

1st Session

H. R. 2611

To amend the Internal Revenue Code of 1986 to exclude from income the salary of certain **teachers** who teach in high-poverty schools.

IN THE HOUSE OF REPRESENTATIVES

July 26, 1999

Mr. GEORGE **MILLER** of California introduced the following bill; which was referred to the Committee on Ways and Means

A BILL

To amend the Internal Revenue Code of 1986 to exclude from income the salary of certain **teachers** who teach in high-poverty schools.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

SECTION 1. EXCLUSION FROM GROSS INCOME OF WAGES OF CERTAIN TEACHERS IN HIGH-POVERTY SCHOOLS.

(a) IN GENERAL- Part III of subchapter B of chapter 1 of the Internal Revenue Code of 1986 (relating to items specifically excluded from gross income) is amended by redesignating section 138

as section 139 and by inserting after section 137 the following new section:

‘SEC. 138. WAGES OF TEACHERS IN HIGH-POVERTY SCHOOLS.

‘(a) IN GENERAL- Gross income does not include amounts received as wages by a qualified teacher employed at a high-poverty school.

‘(b) LIMITATION- The exclusion under subsection (a) shall not apply to any taxpayer whose adjusted gross income for the taxable year exceeds \$120,000.

‘(c) QUALIFIED TEACHER DEFINED- For purposes of this section--

‘(1) IN GENERAL- The term ‘qualified teacher’ means an academic teacher, a special education teacher, or a bilingual teacher. The term does not include an individual teaching under an emergency or other provisional status in which any State teaching qualification or licensing criteria have been waived.

‘(2) ACADEMIC TEACHER- The term ‘academic teacher’ means an individual who meets all of the following criteria:

‘(A) The teacher has performed at a high level on academic subject matter tests, or has a bachelor’s degree or higher with an academic major in each of the subjects taught by the teacher.

‘(B) The principal of the school where the teacher is assigned asserts that the teacher is qualified to provide instruction in each academic course and in each grade level taught at the school.

‘(C) In the case of a teacher of students in elementary school, the teacher must have demonstrated the teaching skill and general subject matter knowledge required to teach effectively in reading, writing, mathematics, social studies, science, and other elements of a liberal arts education.

‘(D) In the case of a teacher of students in middle school or secondary school, the teacher must have demonstrated a high level of teaching skill and subject matter knowledge in all of the subject areas that they teach.

‘(d) OTHER DEFINITIONS- For purposes of this section--

‘(1) ACADEMIC SUBJECTS- The term ‘academic subjects’ includes English, language arts, social studies, history, mathematics, science, and related subjects.

‘(2) HIGH-POVERTY SCHOOL- The term ‘high-poverty school’ means a school in which at least 50 percent of the students attending such school are eligible for free or reduced-cost lunches under the school lunch program established under the National School Lunch Act.

‘(3) SCHOOL- The term ‘school’ means any public school which provides elementary education or secondary education (through grade 12), as determined under State law.

‘(4) WAGES- The term ‘wages’ has the meaning provided by section 3401(a).’.

(b) CLERICAL AMENDMENT- The table of sections for part III of subchapter B of chapter 1 of such Code is amended by striking the item relating to section 139 and inserting the following:

‘Sec. 138. Wages of **teachers** in high-poverty schools.

‘Sec. 139. Cross references to other Acts.’.

(c) EFFECTIVE DATE- The amendment made by this section shall apply to amounts received in taxable years beginning after December 31, 1999.

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Dear....,

As you consider the reauthorization of the Elementary and Secondary Education Act (ESEA) -- the first major education bill of the new millennium -- I urge you to build on the progress of the past eight years. Working in partnership, we have made great strides toward our shared goal of educating all our children to world-class standards.

Nearly all States have adopted standards, and even our lowest performing students are showing gains in reading and math. But far more is needed to ensure that each and every child is given the opportunity to reach their full potential. All our children must learn to challenging standards, be taught by highly qualified teachers, and attend safe, modern, and disciplined schools. And, for the sake of our children, we must also hold the entire education system accountable for ensuring that these efforts come together to improve student achievement. I encourage you to pass a bipartisan bill that reflects the following four goals:

1. Teach All Children to High Standards. A bipartisan bill must help students establish a solid foundation for learning by reducing class sizes, expanding after-school and summer school programs, helping all students read by the end of third grade, and closing the digital divide through purchase and acquisition of education technology. It must help close the learning gap between low- and high- achieving students by targeting resources and attention on students furthest from meeting State and local standards. And, it must support innovation by expanding public school choice. Special attention must be paid to the needs of limited-English proficient students who face a multitude of barriers to success in school.
2. Strengthen Accountability. A bipartisan bill must support rigorous, statewide accountability systems, provide resources to States for turning around failing schools, establish school report cards to inform parents about the education their children are receiving, and end social promotion by giving all students the extra learning opportunities they need to catch up to their peers.
3. Improve Teacher Quality. A bipartisan bill must provide support high quality professional development to ensure that teachers can help students reach high standards and are trained to use the latest technologies. States must be held accountable for ensuring that all teachers are certified in-field, or are in the process of receiving certification. States must also eliminate the practice of allowing students to be taught by unqualified paraprofessionals.
4. Provide Safe, Disciplined, and Drug-Free Learning Environments. A bipartisan bill should provide for emergency school repair, concentrate resources to support research-based drug and violence prevention programs, and require sound, equitable discipline policies in every school. To advance learning, schools must have safe and supportive environments, and to protect children's health, they must be smoke-free.

If these principles are reflected in your ESEA bill, I feel confident that we can achieve the country=s ambition to help all students reach their full potential and master challenging academic standards. I look forward to working with you in the coming months to accomplish this goal.

ESEA - SENATE DRAFT

February 25, 2000

Sec. 3. Definitions

Defines *parental involvement* to require that any effort to involve parents must serve parents of children across *all* school levels (p.10-11) and that *all* early childhood parental involvement activities include the full panoply of activities required under Title I. This could create an unintended burden to schools and districts, and might in fact discourage them from involving parents in any decisions or planning activities.

Definition of *mentoring* may need to be broadened to include teachers; it currently includes only children and youth.

TITLE I: Helping Disadvantaged Children Meet High Standards

Part A: Improving Basic Programs Operated by Local Educational Agencies

Major Concerns:

- **Weak Accountability.** The draft does not encourage the use of a single, rigorous accountability system within states that applies to both Title I and non-Title I schools. Research demonstrates that when States have two accountability systems, the Title I system gets the least attention. In addition, it would be preferable to include the accountability framework proposed by the Administration, which makes clear what the components of the accountability system are, and ensures that schools are accountable for increases in overall student performance and the performance of the lowest achieving children. It also is important to allow for the use of alternative mechanisms to identify schools for improvement in cases where the State can demonstrate student achievement gains.
- **Teacher Quality.** The draft does not include provisions to strengthen teacher quality by requiring a 10 percent set aside for professional development; does not raise the minimum education required for paraprofessionals or clarify the scope of their work; does not require that all new teachers be certified in the field in which they teach or have a bachelor's degree and be working to full certification in three years; and does not include the research-based description of professional development activities contained in the Administration bill. Research indicates that teacher quality is the single most important indicator of increased student achievement.
- **Inadequate reporting of student achievement.** Draft does not require reporting on student achievement for disaggregated groups of students (other than possibly economically disadvantaged and LEP students), and it is not clear which disaggregations are used for accountability.
- **Targeting.** The draft perpetuates the problem of not allocating sufficient Title I resources to the areas of greatest need by: 1) expanding the hold-harmless so it applies to concentration grants; 2) allowing districts that become ineligible for Title I grants to continue receiving funds for 5 years; and 3) does not allocate enough funds through targeted grants.

Other Issues:

Section 102: Authorization of Appropriations

The draft does not include a 2.5 percent set aside for intervening in schools identified for school improvement or corrective action. Instead it proposes that 50% percent of all new appropriations above \$8,076,000,000 be reserved for three purposes—improving schools, developing assessments, and awards.

Adds new language relating to the existing 0.5 percent set aside for school improvement (p.16, line 24-p.17, line 19). The language provides that if the appropriation does not exceed \$8,076,000,000 then .5 percent can be reserved for school improvement from Parts (a), (c) and (d). Then, if appropriations go above this amount, the Secretary reserves 50 percent for the purposes described above and the State may also reserve 0.5 percent from parts (c) and (d). (Clarification: Is the reference to part (d) meant to be the current part (d) which is neglected and delinquent program or the parent assistance centers in the Majority draft?) It also retains the authorization for additional appropriations for school improvement, so these would be three separate sources of accountability funding.

The draft does not repeal the authorization for capital expenses as proposed in the Administration bill – instead it phases it out over 3 years.

Section 103: State Plans

Requires AYP to be defined in a way that all students meet both the State's proficient and advanced performance levels in 10 year. It also adds language that AYP be defined in a way that results in continuous and substantial academic improvement for all students (which is similar to that in EEACA) including economically disadvantaged students and LEP students, except that **this clause does not apply if the State can demonstrate to the Secretary that it has an insufficient number of these children.** (It is not clear how a State would be eligible for Title I funds if it did not have many economically disadvantaged children. If the intent is to require separate AYP definitions for each of these subgroups the language should say so specifically. Current law contains similar language right now and the Department has not read current law to require separate AYP definitions for these groups.)

P. 23, lines 11 – 13. This language, which says that AYP definition must be “linked” to assessments, is inconsistent with the language on line 3 which requires AYP to be based primarily on the standards and assessments. Everything should be struck though the word “permitting” on line 13” and insert “that permit”

P. 24, line 1. The draft **does not include a requirement that Title I assessments use tests written in Spanish** for Spanish-speaking students if a Spanish-language assessment is more likely than an English-language test to yield accurate information on what those students know and can do in content areas other than English. (The draft does include a requirement that LEP students who have attended school in the U.S. for three or more consecutive years be assessed in English on the reading/language arts assessment.) This provision—with other testing requirements—makes sure schools are held accountable for both English language and content acquisition for LEP students.

P. 24, lines 14 – 18. This language is in the wrong section—(H) requires that assessments provide individual student reports on the attainment of student performance standards. All the language after that would more appropriately be in a school report card generally – as drafted language would require individual student reports on drop out rates and attendance which is probably not what is intended.

The draft **does not delete obsolete assessment language on transitional assessments.**

The draft **does not include the accountability framework** proposed by the administration to strengthen Title I accountability by making clear what the components of the accountability system are, ensuring that schools are accountable for increases in overall student performance and the performance of the lowest achieving children, encouraging the use of a single accountability system within states that applies to both Title I and non-Title I schools, and allowing the use of alternative mechanisms to identify schools for improvement in cases where the State can demonstrate student achievement gains..

P. 27, line 10. Includes a special rule postponing requirements related to science standards until 9/1/2005, but does not require the development of science standards.

Section. 103: Schoolwide Programs

The draft keeps the 50% threshold, but doesn't include any of the changes proposed by the Administration that would make schoolwides more effective, for example, by emphasizing coherent research-based approaches for raising student achievement by reforming the entire school including clarifying the need for a comprehensive needs assessment, a coherent design to improve teaching and learning, and a regular review of the school's process in implementing the schoolwide plan.

The draft does not include a requirement for schoolwide plans to be peer reviewed.

(P. 24, line 18. Makes technical changes expanding the illustrative list of parent involvement activities.)

Section 104: Local Educational Agency Plans

The draft **does not include language requiring diagnostic assessments to determine the literacy level of first graders** in order to identify early reading problems.

The draft does not require LEAs to describe in their plan how they will promote the use of extended learning time such as before- and after- school and summer school.

The draft **does not require LEAs to provide an assurance that that they will annually assess the English proficiency of LEP children** and use the results to guide and modify instruction in the content areas.

Page 30, line 22 through 25 duplicates Page 29 lines 23 to 25.

The draft contains no requirement that LEA plans be peer-reviewed or that plan revisions be submitted to States for approval.

Section 106. Targeted Assistance Programs

(The draft makes changes in the eligible children provisions that would provide more flexibility in operating pre-K programs. Note: The term "early childhood services" and Pre-K are mixed-up in different places—minor issue.)

The draft does not include language that would require programs to **use research-based approaches.**

Section 107: Assessment and Local Educational Agency and School Improvement

In general, the draft moves more towards the EEACA provisions. However, there are still concerns:

Adds expanded local reporting requirement by LEAs with regard to schools. However these reports do not have to provide specific data on economically-disadvantaged and LEP students if the State can demonstrate it has an insufficient number of such students; reports can be provided directly to teacher and parents or just widely disseminated. LEAs do not have to issue such a report if the State does.

P. 38, line 22. Adds language clarifying that schools have 30 days to review data before LEA makes final decision on designating a school for improvement—does not require LEAs to consider a school's comments.

P. 40. Adds requirement that schools identified for improvement spend 10 percent of their funds annually on professional development.

Adds new provisions to the list of mandatory corrective actions from EEACA such as instituting a new curriculum, but requires that LEA use not less than one of these options. Allowing students to transfer is an independent option, but the draft, as written, **would allow schools to provide the transfer option without being required to take any action to improve the low-performing school.**

P. 51, Line 19. Provides **no timeline for when SEAs must take corrective action against LEAs.**

P. 54, line 19. **Delays accountability** by providing that no corrective actions can be taken against LEAs until final assessments are in place.

Section 108: Parental Involvement

Information From Parental Information and Resource Centers – This provision should be revisited taking into consideration the changes in the Parent Information Centers that the Administration has proposed to help these centers assist greater numbers of parents.

Section 109: Professional Development

The draft makes **no changes to improve teacher quality in Title I schools**--either by ensuring that only qualified teachers serve our poorest children, or by supporting increased investments in improving instruction through professional development. For example, the draft does not include provisions to strengthen teacher quality by requiring a 10 percent set-aside for professional development, does not include the research-based description of professional development activities, does not raise the minimum education required for paraprofessionals or clarify the scope of their work, and does not require that all new teachers be certified in the field in which they teach or have a bachelor's degree and be working to full certification in three years.

The draft does not clarify that child-care providers can be included in joint professional development activities.

Section 110. Participation of Children Enrolled in Private Schools

Lines 19 – 22. Requiring consultation to include a discussion of who provides services to eligible children attending private schools would enable private school officials to object to the particular teacher that would be providing the services. This language should be modified so as not to suggest that private schools would determine which individuals provide which services.

The language on third-party contractors could be extremely burdensome for public school officials.

Section 1113

The draft adds a provision, which the Administration supports, restoring the one-year grandfather clause. This clause would enable LEAs to serve an ineligible school for one additional year if that school was eligible and served the preceding fiscal year.

Section 114 plus: Allocations

The draft holds all districts harmless at the FY 99 funding level.

The draft allows districts that no longer meet the eligibility requirements for concentration grants to continue to receive these funds for 5 consecutive years after the time they become ineligible.

The draft does not make changes that would increase funding for Puerto Rico, but instead, maintains the current SPPE adjustment provision for Puerto Rico. Rather than using 40% of a state's per pupil expenditure (as is done for the states), Puerto Rico's adjusted SPPE is tied to the lowest state's PPE and compared to 32% of the national PPE. This language artificially reduces Puerto Rico's allocations.

Part B: Even Start Family Literacy Programs

(The bill has picked up many of the Administration's provisions that the previous draft (S. 1891) did not have. These provisions include:

- Discretionary rather than mandatory Statewide Initiative grant authority (except that a conforming change is needed under Reading Excellence, sec.2260(b)(3)) .
- State plan provision that is similar to the Administration's proposal.
- A number of revised program elements that local projects must provide:
 - high-quality, intensive family literacy services.
 - a year round program with instructional services during the summer months
 - serving a 3-year age range
 - encouraging families to regularly attend and remain in the program a sufficient time to meet their goals
 - continuity of services at critical times in the lives of families
 - independent local evaluation to be used for continuous improvement.
- Adding a family literacy program expert to the subgrant review panel.

In addition, the bill improves upon research provisions in the House bill by placing the research authority with the Secretary "in consultation with" NIFL.)

The proposal **fails to set standards for professional qualifications**, does not provide an 8-year limit on local projects, and contains a requirement for local projects to use "scientifically based reading research." It would be difficult to find approaches to family literacy that meet the "scientifically-based research" standard, though there are strategies with demonstrated effectiveness.

P. 118. **Allows for services to families of children older than 8 years old, as long as Title I contributes a "portion" of the costs.** This should be revised to require that Title I, Part A supports services for these families. Even Start should continue to focus on family services, however, Title I should pay the full cost of educational services for these families (if they are not participating under continuing eligibility.) Under continuing eligibility Even Start can pay the full cost of services for families with children up to age ten as long as the parent is still eligible.

As currently written younger teen parents who are within the compulsory school attendance age became eligible as of the last reauthorization -- but the language excluded older teen parents who are over the compulsory school age and who are in school (i.e. a 16 or 17 year old who is still in high school). As a result, the only way older teen parents are eligible to participate in Even Start is if they have dropped out of high school. This provision would seem to encourage young parents to drop out of school. Section 1206(a)(1)(B) should be corrected by inserting "or who are attending secondary school," at the end of the provision right before the "and."

The bill adds a new performance indicator related to program implementation, requiring States to develop performance indicators for specific levels of intensity of services and the duration of individual's participation necessary to result in the outcomes in the State's other performance indicators. However, it creates a deadline for states to develop performance indicators by September, 2000. The Department has already been working with states on this effort toward a January, 2001 deadline. This extended timeline is necessary, particularly with the addition of another unanticipated category of indicators.

Part C: Education of Migratory Children (p.121)

Page 124, lines 9-12 (sec.133). **The proposal fails to deal with supplement/supplant concerns.** Language of the bill speaks to "State planning" not being used "to supplant State efforts regarding, or administrative funding for, this part." Efforts should be made to ensure funds are used to meet the unique needs of migrant children first, that are not addressed by services available from other programs, and to clarify role of Part A funds versus Part C funds.

P. 124 (sec.134). Coordination. (b) Access to Information on Migrant Students.

Language on records keeping is unclear, and might suggest the development of one uniform system directed by the Secretary, rather than one system created through the harvesting of state and other data sources (as is being developed).

-Appears to require a system that—from the start--collects data on *all* students versus the most mobile students with clear needs for records exchange. Costs of such a system will be extraordinary as dual management information system will be operated by states.

-P.125. Unclear if Department in paragraph (B), lines 10-19, has complete flexibility and authority to determine and regulate on 1) what information—data elements, 2) system requirements, and 3) access to records.

-Language appears to mandate that within one year of enactment a comprehensive electronic record transfer system for all "served" students. While work is underway, **this timeline is unrealistic.**

-P.125-126. The language is unclear as to whether \$10 million is set aside for records transfer, and an additional \$10 million set aside for all of section 134, or if only \$10 million is set side for the entire section.

-P.126. Lines 3-12. Adds requirement for Secretary to report to congressional committees on "*findings and recommendations regarding services under this part.*" It's unclear what the focus and content of this report would be, and what "interim measures" mean—given the timeline.

Page 122. State Allocation.

By retaining the current language from sec.1303, the proposal:

- Fails to simplify the funding formula. By keeping the current language, the bill requires the continued use of FTEs (information which states have no way of collecting and reporting), it fails to provide for minimum and maximum state allocations that guard against large swings in funding due to unusual changes in migration patterns, and it does not provide a simple means of ensuring small states a reasonable \$200,000 minimum allocation. It also does not address the funding problem for Puerto Rico;
- Keeps language dealing with Consortium Arrangements that overly prescribes the Department's administration of such activities and is redundant with later sections;
- Retains 1303 subsection (e) Determining Numbers of Eligible Children, a section that requires the Department to develop burdensome procedures to reflect cost factors of different summer program designs and to conduct an analysis for adjusting the formula so as to better direct services to children whose education has been interrupted; and
- Forces the Department to continue to rely on FTE "factors" that are six years-old (1994).

P.122. Does not include language on integration of services, measurable goals, inclusion in state assessments, and criteria to be consider in subgranting processes in a State Application (which are required in a Comprehensive Plan).

P.123, lines 5-16 (sec. 132). Includes weak language on the need to involve migrant parents in the planning and operation of programs. Removes the words "appropriate" and "to the extent feasible" but inserts "unless extraordinary circumstances make the implementation with such section impractical." This phrase should be deleted. (Does add an acceptable requirement to consult parents "in a format and language understandable to parents.")

Page 123, (sec. 133). Retains language in current law that is confusing and ambiguous in relation to the Comprehensive Plan.

P.126, lines 13-17 is in the wrong section—it is under the "*Report to Congress.*" Appears to be redundant.

Part D: Parental Assistance (p.127-137)

Besides improving the purpose of the parent centers to make better school-family connections, the Administration's proposal would redirect the centers as state-wide technical assistance providers to schools, LEAs, CBOs, parent groups, etc. In contrast, the Senate proposal **multiplies current implementation problems by further broadening the purpose and activities.** As a result, there is no clear focus for the centers.

P. 127. Purposes are slightly different, and the purpose of increasing "parental knowledge and confidence in child-rearing activities such as teaching and nurturing their young children" has been eliminated.

P.128, line 8. Under "Grants Authorized", the PIRCs would serve parents of children in elementary and secondary schools, thus **dropping preschool children** (and conforming changes have been made throughout the part). Because parents of preschool children are, however, included in the purpose (p.127, line 16), it is assumed that this is an unintentional mistake and should be corrected.

P. 128. The modifier "to the greatest extent possible" has been dropped from the requirement that the Secretary ensure equitable geographic distribution of the grants (lines 18-21); the rationale for doing so is unclear, particularly since services are currently reaching the entire county.

P. 129-131. In the assurances that must be included in a grant application, the bill would eliminate current law section 402(a)(2)(B)(ii) (membership of special advisory committee broadly representative of minority, low-income, and other individuals and groups that have an interest in compensatory education and family literacy) and replace it with "representatives of local elementary schools and secondary schools who may include students and representatives from local youth organizations" (lines 20-23). These changes do not ensure diversity in committee membership, nor do they ensure that the needs of the community being served are being represented.

P.129, line 24. To ensure that services are targeted to those most in need, the proposal **should change the current requirement that half the funds serve high-poverty areas to 75% of the funds for these communities.**

P.131-132. Grantees **should be required to provide/ensure a 25% non-federal match** as an indicator of capacity to continue after the life of the grant and as a means of increasing capacity to serve the entire state.

P.132-135. The uses of funds are substantially longer, and now divided into required uses and permissive activities. All of the permissive activities (page 133, line 21 through page 134, line 18) are new. Of the required uses, paragraphs (1)(A) and (D) (page 132, lines 10-15 and lines 22-25) and paragraph (3) (page 133, line 11-12) are new and only serve to expand an unreasonable list of required activities. This list should be revised and narrowed to ensure school partnerships and coordination with the standards-based reform effort, while making clear that a Center's role is one of coordinator and technical assistance provider.

The grandfather clause (page 134, line 19 through page 135, line 2) authorizes the use of funds to continue funding current grantees (or contractors) under the current PIRC program for the duration of the award. If the focus of the centers is to be updated to match the needs of the field and the capacity of centers, then current grantees may not be the most appropriate entities to fulfill these goals. The Department has been planning accordingly, such that new grants would be aligned the ESEA reauthorization and its enactment.

The proposal includes an annual dissemination requirement imposed on the Secretary (page 136, lines 12-15), requiring the Department to share information submitted by the grantees. Is the intent here only to make the Secretary a facilitator of information transfer, or to have the Secretary provide information on program implementation and promising projects and strategies (such as a traditional report to Congress or the field)?

Part E: Federal Evaluations, Demonstrations, and Transition Projects

Nothing is included here. At a minimum, current law should be updated so as to not require already completed studies.

Part F: Comprehensive School Reform

This appears to be mostly identical to the draft reviewed in January. In the main, it follows the framework of the existing legislation, although **there are subtle changes that serve to water down the legislation**. There is one modest improvement --the state would now be required to address how it will “make available” technical assistance to LEAs; the draft language was limited to “upon request.”

Multiple places, beginning with section 1601, p. 137, lines 17-18 – bill language refers to comprehensive school reforms based upon “*promising and effective practices and research-based programs*,” where existing language simply refers to “reliable research and effective practices.”

-The language is confusing – it sets up two levels of evidence for practices (promising and effective) and another for programs (research-based) -- without defining any of these terms.

-The language could be misconstrued as watering down the requirement to use approaches that have a solid track record of performance.

-It would be better to **keep existing CSRD language, “reliable research and effective practices.”** This is the definition that has been used by the field over the first two years of this program, and for which widely accepted guidance has been developed.

Section 1604(b)(2), p. 141, line 7 – consistent with the provision added by Sen. Jeffords in FY 99 appropriations act, after “each participating school” add “or school consortia serving a maximum of 500 students,” in order to allow awards to consortia of small schools.

Section 1602(a)(2)(C), p. 139, line 9 –seems to be a typo/technical error. Funds should be reallocated to states “that do apply” rather than states “that do not apply” for the program, which is the current bill language. If states do not apply, it is logically impossible to reallocate program funds to them.

Section 1606(a)(1), p. 144, line 2 – arguably technical – should be to enable schools to implement a comprehensive school reform program “that” (rather than “for”). The intent, as with the existing program, is that all 9 elements must be addressed. Corresponding changes in syntax would be necessary.

Section 1606(a)(5), p. 144, line 23 – should be support “from” or “by” teachers and others, not support “for” these stakeholders – this is supposed to ensure buy-in.

Section 1606(b), p. 145, line 20 – arguably technical -- under the special rule, locally developed programs should be allowed “that meet the criteria in” subsection (a), not simply “as described in” subsection (a).

Part G: General Provisions

TITLE II: Teacher Quality

Part A: Teacher Empowerment

Major Concerns:

- **Retreats from the commitment to reduce class size** in the early elementary grades by failing to provide a separate, dedicated funding stream for reducing class size in the early elementary grades.
- **Does not advance the next generation of standards-based reforms.** The proposal would not provide support for such activities as the refinement and continued development of State content and performance standards, and curricula and assessments aligned with those standards.
- **Puts at risk Title II's focus on inservice teacher development.** The proposal tends to emphasize teacher licensure over professional development, largely by supporting a limited vision of effective professional development while encouraging local districts to dedicate most of their resources to recruitment, hiring, and salaries. As written, districts need only spend a "portion" of the funds on professional development and mentoring.
- **Creates incomplete and confusing accountability for State and district implementation.** State accountability provisions should be expanded to address progress in recruiting, hiring, and retaining qualified teachers. Local accountability provisions would create a second and confusing accountability system that would be difficult to enforce. In addition, the approach to professional development proposed by TOPs is explicitly contrary to effective, research-based strategies.
- **Encourages the use of ineffective strategies for professional development.** The Teacher Opportunity Payments (TOPs), would promote activities that are contrary to promising practices by supporting individually selected strategies separate from school and district reform efforts or the needs of the students or teachers. In addition, such efforts are typically neither collaborative nor job-embedded.
- **Fails to encourage high-quality, innovative efforts by distributing all funds to districts through a formula.**
- **Fails to adequately address issues of national significance.** This bill limits the Secretary of Education to administering specific national activities that both duplicate the purpose of the state and local grants and fails to support recruitment and hiring issues such as through job banks, programs to encourage pension and credential portability, and the development of performance-based systems for assessing teacher content knowledge and skills.
- **Fails to authorize the continuation and expansion of the Troops-to-Teachers program.**
- **Does not include direct support of professional development focused on early language and literacy development for early childhood educators.**

Other Issues:

Fails to articulate a purpose dedicated to improving teacher quality through a commitment to high-quality, inservice professional development, mentoring, and improved induction programs.

Fails to provide the Secretary any authority to disapprove State applications that do not hold promise of providing a high-quality program. State applications could only be disapproved if they are not in technical compliance with the Act (p. 160, line 22-p. 161, line2).

Limits competitive grants to only the 5% dedicated to SAHEs, even though evidence suggests that competition yields more innovative and effective professional development efforts (p.153-154, line 15).

Fails to provide significant resources for higher education partnerships, despite program evaluations indicating their effectiveness. Proposed language is unclear, but appears to reserve only 5% of funds for SAHE partnerships (p.154, line 11). Current law reserves 16% of the state allocation for this purpose. Assuming that the 5% is intended to be a share of the entire State grant, the reserve would provide a national total of \$52million (roughly equal to current share) only if the amount appropriated for state grants is over \$1 billion. Because no one can be completely confident that full funding will be provided, an absolute dollar requirement is preferred.

Fails to require States to demonstrate or report progress in improving teacher quality. States would be required to report neither to the Secretary nor the public on indicators of progress. They should be held accountable for helping to ensure progress toward ensuring that 95% of teachers are certified and teaching in-field. In addition, state and local reporting and accountability should also describe progress in reducing teacher attrition and providing high-quality professional development.

Puts in place an additional and complicated accountability system that threatens to confuse the Title I system (p. 170) and would support individual professional development activities as determined by teachers who are least likely to make appropriate PD choices. The proposal would allow low-performing teachers to opt into activities that are neither collaborative nor job embedded and without consideration of expense. In addition, the proposal provides a priority for TOPs payments that focus on certifying and licensing teachers, rather than providing high-quality professional development.

Fails to reserve significant funds for professional development activities in math and science. The proposal requires LEAs to use only "a portion of the funds" for activities in math and science (p.164, line 8). The Administration's proposal would increase the current \$250 million reserve to \$300 million.

Includes an unnecessary and unclear grandfathering of waivers that would seem to extend unrelated waivers almost infinitely. It is not clear what the intent is here (p.164, lines13-20). What is being waived?

Focuses local efforts largely on recruiting, hiring, and paying teachers (p.165-6), while requiring that only a "portion" of available funds be used for professional development activities (p.164, line 24). While recruitment issues are important, the purpose of this Title should not be to pay teacher salaries; the emphasis could lead to districts to spend most of their resources on such activities rather than actually improving instruction in meaningful ways. Relatedly, requirements for professional development activities (p. 169) are incomplete. The Administration's language is preferred.

Fails to explicitly require comprehensive local planning. Local applications should ask for a broader, district-wide plan for improving teacher quality and instruction (that encourages coordination of all state and local resources) rather than just a plan for the use of funds.

Does not explicitly target resources to corrective action schools, only schools identified as in need of improvement (p.174, lines 12-13).

Offers little description of program purpose or performance indicators for alternative routes to teaching and other national activities programs (p.175-)

Creates duplicative model professional development program (p.177, line 17). The purpose of this additional discretionary program is unclear. Similarly, the purpose of the separate program for training math and science teachers is unclear (p.180, lines 10-23).

Excludes state licensure or certification, as well as teaching skills as indicators of "highly qualified" teachers (p.183). The definition offered would allow states and districts to meet standards for reducing out-of-field teachers with uncertified instructional staff.

Confuses implementation by referring to SEAs as states or governors (p.185, lines 3-7).

Fails to require partnerships for the development of school leadership programs while failing to limit the definition of eligible entities (p.186, lines 3-7). In addition, proposed language should make clearer the commitment to developing leaders' instructional expertise (not just management).

National Clearinghouse:

The proposal expands the list of required activities and potential content areas focus, thus diluting the work of the single clearinghouse and challenging its capacity to provide expert information with such limited resources. It would be unwise to expect a single clearinghouse to have expertise in multiple subject areas.

In addition, calls on the Clearinghouse to rank the effectiveness of materials--similar to expert panels' work, is this intentional?

National Board:

Only authorizes NBPTS for 2001 p.180

Part B: Leadership Education and Development Program

Would fund status quo activities without providing an incentive for change. The proposal does not focus on helping principals become instructional leaders; also expands list of project participants, thus taking the focus off principals and prospective principals (p.185-6). In addition, there is no mention of activities related to recruitment.

Part C: Reading Excellence Act

The proposal reflects current law, but should also include authorizations for technical assistance and national activities.

Part D: National Writing Project

The Administration proposal revised the evaluation section allowing the Secretary to conduct an independent evaluation, by grant or contract, of the program. This proposal is largely current law, though it deletes the Findings section, and does not provide for any sort of evaluation of the programs carried out under this part; an evaluation authority should be added.

Part E: The New Century Program for Distributed Teacher Professional Development

New program.

Part F: Digital Education Content Collaborative

New program.

TITLE III: Enrichment Initiatives

Part A: 21st Century Community Learning Centers

Largely current law, the proposal includes an authorization that is \$500 million below the FY01 request.

The purpose **should make clear the commitment to afterschool efforts and the focus on expanded learning opportunities** to help students achieve to challenging standards. The draft does not create a requirement that community learning center grantees offer "significant expanded learning opportunities, such as before and after school."

Should require a 50% local match, extend grant period from 3 to 5 years and **allow CBOs to be part of an applying consortium**. The draft does not provide for the possibility for community-based organizations to receive grants with up to 10% of funds appropriated in any fiscal year.

The proposal should provide explicit language ensuring that these programs will serve children with expanded learning opportunities as well as serving the community at large, target high-quality services to needy communities, and provide a set-aside for national leadership.

Part B: Initiatives for Secondary School Students and for Neglected, Delinquent, or At Risk Students

Bill would continue current law, including the ineffective subpart 2 program.

Part C: Gifted and Talented Children

The Administration proposed reauthorizing current law with the addition of a dissemination piece, as well as reworking the section on review and dissemination. (This draft has the same problems as the one reviewed on 1/18/00.)

P.236. The trigger for going to formula, should be revised to take effect any time the appropriation is more than \$50 million above cost of continuation of current grantees. As written, the Secretary could be distributing very few funds by formula. For example, if the appropriation is \$52 million, and continuations cost \$49 million, only the remaining \$4 million would be allocated by formula.

The proposal **does not include the current national and state priority for serving disadvantaged children** (Sec. 10205 in current law).

P. 237, line 17-22. Seems to indicate that there is a matching requirement for projects under this part and that the SEA has to come up with the match separate from other (e.g. LEA) resources. It doesn't seem to specify where the funds are to come from. If the intent is to allow the use other federal funds, the bill should include something like, "Information demonstrating that the applicant will provide at least 20% of the cost of the project from other sources, which may include other Federal funds and may be provided in cash or in-kind fairly evaluated." However, this requirement is confusing and unnecessary.

P. 237, line 23. The requirement for a "biennial submission" is unclear; is this data on alternate years, or data on each year, submitted 2 years at a time?

P. 239, line 15-18. "Supplement not to supplant" should not be an authorized State use of funds. It is a grant condition (e.g. federal funds must provide additional activities, not replace those that would have been provided anyway). This should be corrected; it is not a use of the federal funds themselves.

P. 242, line 13. This section requires the Secretary to ensure that provision is made for the equitable participation of students and teachers in private schools. How could the Secretary possibly do this when it is the State, not the Secretary, who makes the awards to schools?

Part D: Arts in Education

The bill would retain current law, including the unfunded subpart 2 partnerships program, which the Administration proposed to repeal.

Part E:

Not provided.

Part F: Nonschool Time Care

Not provided.

TITLE IV: Safe and Drug Free Schools and Communities

P.273, Line 7: Administration proposal would require subgrants to be awarded to LEAs on a competitive basis; no more than 50 percent of LEAs could receive grants. The current draft **could provide even less targeting of funds than under current law**, permitting States to distribute all funds based on enrollment or up to 30% of funds on any basis the State selects. Current draft also fails to include consideration of quality of proposal for use of funds if a State elected to target any of its funds.

Project SERV: The draft contains authorization for providing direct services to schools "to support crisis situations and appropriate response efforts" (page 303, lines 11-14), but not a separate authorization for Project SERV, (and specifically the activities that provide support for strategies designed to build SEA and LEA capacity to respond to crises).

Pro-Children Act (PCA): The draft contains no provisions concerning requirements for policies concerning drug, alcohol and tobacco use on school grounds as included in administration proposal. The PCA requires LEAs to adopt policies that prohibit smoking in enclosed facilities where routine educational services are provided. At the minimum, Federal requirements concerning environmental tobacco smoke in schools should be retained.

P. 305, Line 17, Section 4121: Advisory Committee

This section duplicates the authority provided in Section 4121 (National Programs – Federal Activities). Both contain coordination requirements and authorize the Secretary to engage in similar “national leadership” activities. The provisions in Section 4123 significantly limit the Secretary’s prerogatives in administering the program, and duplicate the functions of many existing agencies or bodies with similar coordinating functions (e.g. ONDCP, Juvenile Justice Coordinating Council, and the White House Council on Youth Violence). **The list of activities undertaken by the committee should be revised to more clearly represent an advisory role,** rather than providing direct services, such as technical assistance, determining evaluation plans or reviewing regulations.

Page 264, Line 5: **Provisions tie increases in National Programs appropriations to increases in State Grants Program.** The current draft would prohibit any increase in National Programs without a ten percent increase in State Grants (a \$44 million increase at current funding levels for the State Grants program).

Draft doesn’t contain requirement for SEAs to provide information about school-associated violent deaths. While this data collection reveals only about 30 cases a year, it is an expensive effort when undertaken at the national level (approximately \$250,000 per year).

Draft doesn’t include supplement not supplant provision. A significant number of States continue to inquire about requiring their LEAs to use SDFSCA funds to support State mandated initiatives (e.g. school safety assessments, conflict resolution, character education).

Lifelong Physical Activity: The draft contains no authority to support programs to encourage the development of skills to support lifelong physical activity.

Page 290, Line 1: This section is inconsistent with the section on “use of funds” that begins on line 17 of this page. It appears to restrict authorized activities to only research-based program, but the “use of funds” section authorizes expenditures for activities that do not meet this standard. (The language provided as part of recent technical assistance would address this issue and acknowledge that some useful activities (e.g. teacher training) can’t meet the research-based standard, but are still an important component of a comprehensive approach and should be able to be funded.)

Part B: Gun Possession

Page 319: The current draft still doesn’t include language requiring: (1) **referral of expelled students to receive evaluation and mental health services if needed,** or (2) **LEAs to place students who have been expelled under the act in an alternative education settings** sufficient for these students to make progress toward graduation.

Increased burden/cost: The draft includes several provisions that impose new burdens or costs at the LEA level, even though there has been significant concern expressed about the proportion of LEAs that receive small amounts of funding under this program (and thus would be particularly burdened by these requirements). The current draft does nothing to address the issue of concentrating funding, while imposing additional costly requirements. For example, the bill expands responsibilities for local advisory councils (page 284, line 13) to ensuring that they have a mechanism in place to enable LEAs to have access to up- to-date information concerning: (1) agencies that administer related programs, and (2) any changes in the law. It also expands application requirements by including the results of a risk and protective factor analysis to be

submitted by each LEA – a new task that could absorb a significant part of the available grant funding for many of the LEAs that receive limited funding under the program.

TITLE V: Educational Opportunity Initiatives

Part A: Technology Education (p.322)

Major Concerns:

- **Makes no effort to narrow the technology gap** by targeting TLCF to high-need districts and helping to increase their capacity to use education technology to prepare all students to achieve to high academic standards.
- **Fails to stimulate the development and use of innovative technologies** to create engaging teaching and learning environments by not updating language in Star Schools and not focusing national Technology Innovation Challenge Grants on new technologies, uses, and strategies.
- **Fails to sufficiently focus on preparing teachers**, through both inservice and preservice efforts, to effectively integrate technology into their classrooms.

Other Issues:

Fails to create separate authorizations for TLCF and National Technology Innovation Challenge Grants so as to require appropriations to ensure sufficient resources for the discretionary programs (Sec. 5113).

Technology Literacy Challenge Fund (p.341, Sec. 5132)

State plans should be required to contain **benchmarks and timelines** for the accomplishment of State educational technology goals.

The Senate bill retains the current weak supplement-not-supplant provision ((2)(J)); a stronger and more explicit provision should be included.

Sec. 5134

Fails to revise the purpose of the Technology Literacy Challenge Fund to significantly focus on building local capacity to effectively use technology, use research-based strategies, and promote high-quality professional development. In addition, little reference to standards is made. The Senate bill retains the current language, although many changes both in technology itself and the sources of funding for it have occurred. The language should include greater emphasis on new technologies and professional development, and a reduced emphasis on connectivity, now largely provided by the E-rate.

A provision that requires LEAs to first use E-rate funding for connectivity, as proposed by the Administration, should be added (in local assurances, sec. 3136).

The uses of funds should strongly emphasize links to and support of education reform at both the State and local levels.

Sec. 5135 (p.346)

As with the uses of funds, the emphasis in local plans should shift to new technologies, professional development, and links to State and local standards and education reform.

Fails to target TCLF to high-poverty or high-need communities. Current law requires a state priority for such LEAs only in the provision of technical assistance, not the provision of resources

or awarding of grants. The proposal should include an explicit priority for high poverty local education agencies or consortia that include such agencies. This would narrow eligible local applicants to specifically serve LEAs with high numbers of children in poverty and would allow for partnerships between technology proficient and deficient schools to better ensure improved technology capacity and use. (Contains the current TLCF targeting provisions that the Administration proposed to strengthen; EEACA proposal would have required SEAs to define and identify low-income districts as the only eligible applicants, but set a priority for partnerships that would include other entities such as IHEs, libraries, and other school districts not defined as low-income. Recent NCES data indicate a continuing need to provide assistance to high-poverty schools.)

Fails to push innovative local uses of funds (p.344-346). These should be expanded to promote more innovative uses of technology, such as wireless communication, web-based materials and technologies, new means of connecting homes and schools, etc.

National Technology Innovation Challenge Grants

Duplicates TLCF authority in the national discretionary authority (p.352-3). There needs to be a separate uses of funds section that is different than those supported by TLCF and stresses innovation and development of new applications for learning. The Administration's language is preferred. It would encourage the development of high-speed, broadband telecommunications networks and more powerful and intelligent computer systems such as:

- (a) web-based learning resources, including online classes, interactive tutorials, and interactive tools and virtual environments for problem solving;
- (b) hand-held devices, wireless technologies, voice recognition systems, and high quality digital video;
- (c) distance learning networks;
- (d) visualization, modeling, and simulation software; and
- (e) learning-focused digital libraries and information retrieval systems.

The proposal should allow for eligible applicants to include *any* member of the consortium (not just the LEA).

Regional Technical Support (p.355)

Requires consortia to attempt to meet all of the activities described on pages 355-360, despite their very limited funds. Language should be revised to describe allowable uses of funds and provide the Secretary authority to establish priorities.

Part B (1st): Women's Educational Equity Act Acceptable.

Part B (2nd): Star Schools Program (p.366)

Section 5208 should be deleted. Funds should be provided for programming and not infrastructure costs.

Eleanor D. Acheson
Assistant Attorney General, United States Department of Justice
Unborn Victims of Violence Act
Senate Judiciary Committee
February 23, 2000 10:00 am

Good morning. I appreciate the opportunity to appear before this Committee to express the Justice Department's views regarding the proposed Unborn Victims of Violence Act (S. 1673).

The proposed bill would amend the criminal code and the Uniform Code of Military Justice to make it a separate federal offense to cause "death or bodily injury" to a "child in utero" in the course of committing any one of 68 enumerated federal offenses against the pregnant woman. The punishment for this new offense is the same as if the perpetrator had killed or injured the "unborn child's mother," except that the death penalty is not permitted.

The Administration has for over seven years strongly supported the fight to stop violence against women, including domestic violence. In 1994, the Violence Against Women Act (VAWA) passed with the bipartisan support of Congress and the support of the President. VAWA marked a critical turning point in the national effort to address domestic violence, sexual assault, and stalking. VAWA, for the first time, created federal domestic violence offenses with strong penalties to supplement state and local efforts to hold violent offenders accountable. To date, the Department of Justice has complemented state and local prosecutions by filing [XXX] VAWA and VAWA-related indictments, and this number continues to grow. In addition, the Department of Justice alone has awarded well over \$800 million through VAWA grant programs since 1994, directing critical resources to communities' efforts to respond to domestic violence, sexual assault, and stalking. These funds have made a difference in women's lives, and in how communities respond to violence against women. Indeed, these funds have helped save the lives

Part C: Magnet Schools Assistance

P.391 (lines 10-14). The proposal **seems to create expand the current eligibility criteria**, making eligible a school that that neither operates under a court orders or a voluntary desegregation agreement approved by OCR.

Fails to support OPTIONS. The Opportunities To Improve Our Nation's Schools program would support innovative approaches to school desegregation and other efforts to create diverse learning environments through public school choice. The new competitive grants would support the demonstration, development, implementation, evaluation and dissemination of information about public school choice projects that stimulate educational innovation and improvement in all schools and contribute to standards-based reform efforts, including public schools at work sites or on college campuses, or options for postsecondary enrollment under this new authority.

Section 5305(b)(2)(A) should read: "use funds under this part for the purposes specified in section 5301(b).

Add to Section 5310(b) Applicability: "[section] 5301(b)." This change would clarify the purpose and allowable uses of funds under the Innovative Programs authority, if it is retained. (The Administration has proposed that it be repealed and OPTIONS be authorized.)

Part D: Charter Schools

Acceptable.

Part E: Civic Education

The Administration proposal retained current law with the repeal of section 10602--the instruction in civics, government, and the law. The bill appears to be consistent with current law, incorporating the International Education Program (although not exactly) from Title VI of Goals 2000.

Part G: Fund for the Improvement of Education (p.414)

The proposal makes **no reference to standards-based reform**; the purpose should be revised to include this.

P.414. The bill **could be read to limit the authority under Section 5701(a) by authorizing only a narrow set of activities** in (b). Sec. (b). This should be revised to read "Funds under this section may be used to carry out subsection (a), including ---".

P.415, lines 1-3. Paragraph 1 should be deleted or language should be added to to provide the Secretary the authority to support meritorious unsolicited applications.

P. 416, line 21. The grant term for Character Education should be increased from 3 years to "not to exceed 5 years," to allow for continuation of successful projects.

P.420. The proposal **limits research and dissemination in character education** to 5%; there is no current limit and this share is too small.

The authorization is less than the FY01 budget request, \$137.5

of many victims of domestic violence.

Curtailing, and hopefully one day eliminating, violence against women continues to be a top priority of the Administration. Despite the statements of some of its sponsors, however, the proposed Unborn Victims of Violence Act is a flawed vehicle for addressing this important issue. It is for this reason that the Administration strongly opposes this legislation.

As an initial matter, the Administration is skeptical that S. 1673 will substantially assist the federal effort to reduce violence against women. As noted above, the new offense created by the bill requires the prosecution to prove that (i) a person has “engage[d] in conduct that violates” one of 68 specifically enumerated federal crimes; and (ii) injury or death to “a child, who is in utero” resulted. By definition, therefore, S. 1673 cannot be used to prosecute any persons who are not already subject to federal prosecution for their crime against the pregnant woman. In other words, the bill would not in any way expand the universe of violent individuals subject to federal prosecution.

In fact, the creation of the new offense under S. 1673 may actually reduce the number of prosecutions brought against this identical universe of individuals for injury to the pregnant woman and therefore would not advance our efforts to combat violence against women. Injury to the fetus under S. 1673 is to be punished as if “that injury or death occurred to the unborn child’s mother.” If, for example, a person “forcibly . . . intimidates” a female postal worker on her rounds, and she miscarries during the first month of her pregnancy, a prosecutor would have two options in prosecuting the aggressor: (i) for violating 18 U.S.C. § 111, which carries a one-year maximum sentence; or (ii) for violating the offense created by S. 1673, which would carry a maximum life sentence because causing the miscarriage is treated as if the aggressor murdered the pregnant woman, a federal officer. This is a substantial increase in sentence as compared with the sentence that could otherwise be imposed for injury to the woman who is not pregnant.

Part H: Allen J. Ellender Fellowship Program

The Administration proposed repealing the program. This is current law.

Part I: Ready-to-Learn Television

Purpose of awards (Page 448, lines 4-9): The language about facilitating the development of programming and digital content is new and it is not clear that the telecommunications entities are best qualified or have the necessary expertise to be developing academic content.

Eligible entities (Page 448, line 22): **Limits eligibility**; instead of "a nonprofit entity (including a public telecommunications entity)", the provision only refers to "a public telecommunications entity" with capacity for *national* distribution of programming (line 24).

Duties of the Secretary (Page 449, line 15): The eligible entities have been changed slightly to refer back to the provision cited above.

Authorization of appropriations (page 454, lines 21-23): Under current law, there is a requirement that at least 10 percent of annual appropriations be used for "identifying, supporting, and enhancing the effective use and outreach of innovative programs that promote school readiness"; under the bill, this funding rule has been eliminated and there is a new funding rule requiring that at least 60 percent of annual appropriations be used to carry out section 5902 (which is currently misnumbered as a second 5901--see page 447, line 17). Section 5902 describes the awards for educational programming. This funding rule seems odd. After subtracting the 5 percent maximum for administrative costs under section 5906, it looks like up to 35 percent of the funds could be used for reporting and evaluation. The funding rule should be clearer.

Part J: Inexpensive Book Distribution Program

Current law and consistent with the Administration's proposal.

TITLE VI: Innovative Education

Part A: Innovative Education Program Strategies (p.458)

Part B: Rural Education Initiative

Major Concerns:

- **Allows small, rural LEAs to consolidate funds from Titles II, IV, and VI without any meaningful accountability.** Such LEAs--with fewer than 600 students and located in communities with rural-urban codes 6,7, 8, or 9--would be able to use these funds for activities authorized under Title VI. The proposal offers substantially weaker accountability than H.R. 2 for small, rural LEAs eligible to consolidate funds.

The proposal does not specifically require LEAs--in measuring achievement--to base student academic achievement on the Statewide assessments under Title I. Instead, the bill confusingly says (page 489, line 9): "an assessment that is used statewide and consistent with the assessment described in section 1111(b)." It's not clear why the bill doesn't simply require student performance to be measured by the "State assessment system under section 1111 of Title I." As written, the bill seems to open the door for multiple State assessment systems, which would only add confusion.

February 14, 2000

MEMORANDUM FOR HILLARY RODHAM CLINTON

FROM: ANN O'LEARY
RUBY SHAMIR

CC: MELANNE VERVEER
SHIRLEY SAGAWA
LISSA MUSCATINE
PATTI SOLIS DOYLE

SUBJECT: ISSUES UPDATE

The purpose of this memo is to provide you with brief updates on a number of national issues in which you have been involved or expressed interest.

Bankruptcy.

Child Care and Welfare Reform. The findings from a new report on the effects welfare reform has had on child care were released last week. The study, conducted by Bruce Fuller of University of California at Berkeley and Sharon Lynn Kagan of Yale University, focuses on how low-income mothers and their children are faring under welfare reform. Among its findings, the report acknowledges that welfare caseloads have dropped and that many parents are now working, but the researchers question whether conditions have improved and suggest that welfare reform, in large part, is responsible for the placement of children in mediocre or low-quality care. The findings make a strong case for the need for better quality care, but the report does not provide evidence for the link between welfare reform and low quality care. HHS prepared guidance on this report with several strong arguments: (1) We agree with the authors of the report that quality child care is important for low-income families, and that well-targeted subsidies can improve the quality of child care. That's why this Administration has proposed a comprehensive child care initiative to improve access, affordability and quality of child care. (2) The problems with child care quality have been around for a long time, and cannot be traced to welfare reform. (3) Child care has actually improved over the course of this Administration because of the consolidation of child care funds under welfare reform, and the doubling of federal child care dollars since you took office.

Drive-By Mastectomies. You asked for an update on drive-by mastectomies. As you know, in 1997, Congresswoman Rosa DeLauro introduced the Breast Cancer Patient Protection Act guaranteeing a minimum hospital stay of 48 hours for a woman having a mastectomy, and 24 hours for a woman undergoing a lymph node removal, and ensuring that any decision to have a

Where there is no statewide assessment, the bill allows LEAs to base student academic achievement on "a test, that is selected by the [LEA]" (page 495, line 17). The bill should require this test to be valid, reliable, or aligned to both state content and performance standards.

An LEA can continue to consolidate funds if it shows that students performed "better" on tests, comparing the first year to the fifth year (pages 490, line 13). The term "better" is weak; how much "better" must student performance be? According to the language, **any improvement (however little) appears to suffice**. Also, five years is too long an interval to wait before ensuring accountability.

- **Creates supplemental grants for small, rural LEAs.** Although the bill purports to create a "competitive" program (page 486, line 11), the amount of the grantee's award would be computed by formula with a \$60,000 maximum (page 487, line 8). Is the intent to provide supplemental funds to all eligible LEAs (as defined on page 486, line 16) without competition? The accountability provisions are the same as above, with the same weaknesses.
- **Creates a new formula program for poor, rural LEAs.** Accountability is weak. State applications "may" include "specific educational goals and objectives relating to achievement, drop out rates, ...or other factors that the SEA or LEA may *choose* to measure." This open-ended provision would significantly dilute accountability. Although LEAs appear to be accountable for student achievement, the accountability mechanism is the same as for small, rural LEAs and has the same weaknesses. thereby implying that the Secretary could not ask for such information in the application.

Parts C through F fail to make the many useful improvements proposed by the Administration that would update and streamline these provisions to reflect experience since the IASA's enactment and to conform to the rest of the Administration's proposal.

Part C: Education Flexibility Partnerships

No changes from previous draft. (See attached Administration changes to current law.)

Part D: Flexibility in the Use of Administrative and Other Funds

Section 6403(b), p. 521, lines 4-12:

States should not be given an extension of time to develop procedures to respond to requests from LEAs to consolidate administrative funds. They were given 1 year from enactment of the IASA, which has long since passed, so it's a mistake (which was also in the Administration's bill) to simply replace the reference to the IASA with a reference to the name of the Senate bill, and give States another year to do something which they were required to have done more than 5 years ago.

Section 6401, p.518-520: Consolidation of State administrative funds.

The proposed language **does not expand the list of programs to which section 6401 applies, nor does it expand the list of activities for which the consolidated funds may be used** (See Administration proposal).

Section 6406, p.525, lines 9-17: Availability of Unneeded Program Funds.

Subsection (a), should convert the standard from "unneeded" to "more effective" in determining whether up to five percent of an LEA's funds may be moved from one program to another.

shorter hospital stay would be made by the patient and her doctor -- not an insurance company. This bill, H.R. 116, has 209 co-sponsors. There is a similar GOP bill, H.R. 383 sponsored by Rep. Sue Kelly, which has 94 co-sponsors. The main difference between the two bills is that the GOP version does not proscribe how much time patients can spend in the hospital, while the DeLauro bill specifically calls for a 48 hour stay. There has not been any major action on either of these bills, and the Administration has not taken any specific position, however, Dr. Kristen Zarfos, who joined you to watch the State of the Union in 1997 and this past year, has spoken out strongly in support of the DeLauro bill. This issue has also come up in the context of debate over the Patients Bill of Rights. Last summer the Senate passed a version of the Patients Bill of Rights that was not supported by the Administration which included a Sen. Snowe provision on overnight hospital stays for women who have mastectomies. Not a single Democrat voted for this amendment because it compelled insurance companies to pay for overnight stays only if they were deemed medically necessary. The House-passed version of the Patients Bill of Rights, which was supported by the Administration, did not include any provision on drive-by mastectomies.

New Federal Milk Orders. On February 4, USDA announced prices for milk products under the new Federal milk marketing order reform pricing system enacted by Congress as part of the FY2001 consolidated appropriations bill, which overturned USDA's plan to reform the milk marketing order system. For January, the new class III price -- which measures butter, cheese, and dry whey prices, and which replaces the old basic formula price -- was \$10.05 per hundredweight, \$0.42 higher than the December level, but \$6.22 below the comparable measure's level in January 1999. In related developments, on February 8, the Senate agriculture committee held a hearing on Federal dairy policy, focusing on why the U.S. needs a dairy program and the current state of the dairy industry, and on February 9, held another hearing on the dairy pricing system.

Parental Leave. The comment period for Birth and Adoption Unemployment Compensation rules, which would allow states to use their unemployment compensation programs for parental leave, expired on February 2. The 1,800 comments currently logged were fairly evenly divided pro and con. There have been a number of challenges from the Congress to our authority to provide this flexibility through regulation. The next step will be to draft a final rule and obtain OMB clearance. Given the extent of the comments, our most ambitious estimate for a final rule publication would be in the late spring.

As you know, the President devoted his radio address last week to announcing the \$20 million proposal to provide grants to states or regions to make parental and family leave more available and affordable for those who need it. Under the President's proposal, states will be able to: 1) identify workers who face the greatest financial barriers to taking family leave, and 2) use Unemployment Insurance, Temporary Disability Insurance, or other mechanisms to offer these workers paid leave.

Home Heating Oil. Last Wednesday, Secretary Richardson met with heating oil refiners and distributors to discuss ways to increase supply and last Thursday, he announced a multi-point plan to deal with the recent price-surge. Tomorrow, Secretary

Subsection (b) should, like current law (section 14206(b)), make reference to title XI in determining what a coordinated services project is.

Part E: Coordination of Programs; Consolidated State and Local Plans and Applications

Section 6502, p.526: Optional Consolidated State plans. The proposal should clarify that a State educational agency submitting a consolidated State plan must comply with all requirements applicable to the programs included in the plan. The language should also clarify that the Secretary shall ensure that a consolidated State plan must contain for each included program the descriptions and information needed to ensure proper and effective administration of that program.

The proposal does not contain provisions--as proposed by the Administration--designed to ensure integration and coordination of resources.

The proposal limits any ability to ensure quality and effectiveness by failing to include performance indicators. Likewise, the proposal should require the inclusion of plan provisions relating to monitoring and data integrity, as well as procedural provisions relating to peer review and secretarial approval and revision and amendment. Without these additions, the consolidated reporting and application requirements supported by the Administration can, and have sometimes been, real obstacles to collecting meaningful data, evaluating programs, and even identifying promising practices.

Section 6504, p.531: Additional Coordination.

This section, which the Administration proposed to repeal, duplicates a lot of what's required by PL 106-107, the Federal Financial Assistance Management Improvement Act of 1999, enacted last November. That Act requires OMB to develop a common application and reporting system across Federal agencies and programs and requires each Federal agency, by May 20, 2001, to develop and implement a plan that, among other things, includes a common application and reporting system for its financial assistance programs. There's no need to continue this separate ESEA provision.

Section 6505, p.531-2: Consolidated local plans. The language **does not include provision that for each program included in the consolidated local plan, the Secretary may designate the descriptions and information that must be included in the plan** in order to ensure that each such program is administered in a proper and effective manner.

Section 6507, p.535-6: Relationship of state and local plans to other plans does not include the Administration's provisions.

The proposal **does not include a provision on consolidated reporting**; this is necessary.

Part F: Waivers

Section 6601, p.536: Waivers of statutory and regulatory requirements.

This should be expanded to include the Perkins Act and McKinney Homeless.

This proposal **does not contain necessary provisions on maintenance of effort; participation of private school children; or evaluation and indicators.**

Richardson and the National Association of State Energy Officials will host a Northeast Home Heating Oil Summit in Boston, and the Secretary plans to visit Main and Rhode Island in the coming weeks. As you know, last week the President released an additional \$130 million in Low Income Home Energy Assistance (LIHEAP) emergency funds for states, territories and tribes due to continuing increases in home heating fuel prices this winter.

Public Awareness of Chemicals. As part of its commitment to increase the public's right to know about chemicals in their community, EPA is making information available on health and environmental data for 2,011 chemicals. The High Production Volume Chemical Challenge Program is part of the Vice President's commitment to inform the public about toxic chemicals. The voluntary effort makes basic screening-level toxicity information available to the public on chemicals manufactured or imported into the U.S. in amounts over one million pounds a year.

Second Anniversary of Clean Water Action Plan. February 19 will mark the second anniversary of the Clean Water Action Plan. More than one-third of the 111 key actions to restore and protect the nation's waters have been completed, creating more livable communities along our rivers, lakes and coasts. Major accomplishments include doubling the investment in polluted runoff control, establishing a management strategy for animal feeding operations, preserving roadless areas in our national forests, establishing over 700,000 acres of conservation buffers, and protecting more than 120,000 acres of wetlands.

California MTBE Waiver Request. To meet his pledge to phase out the use of MTBE in the State's gasoline, CA Governor Davis has asked EPA for a waiver from the Clean Air Act (CAA) oxygenate requirement. The CAA specifies that reformulated gasoline must have an oxygenate content of at least 2 percent by weight. MTBE is the oxygenate most widely used by CA refiners to meet this requirement. Under the CAA, to receive a waiver, EPA must determine that compliance with the oxygenate requirement prevents or interferes with the attainment of an EPA air quality health standard (e.g., EPA's ozone smog standard). On December 24, 1999, CA officials provided EPA initial documents in support of the State's waiver request. Additional data and analysis is needed and California officials have indicated their plan is to submit this additional information to EPA in the near future. Once EPA receives this information, EPA will be able to perform the technical analysis of CA's waiver request required under the CAA. If the statutory conditions for receiving the waiver are met, EPA is required to provide public notice of its decision. Such procedures include a comment period of a minimum of thirty days.

LEGISLATIVE UPDATE

Senate

The Senate will stand in recess for the week of February 14 in observance of President's Day, and will reconvene on Tuesday, February 22 at 11:00 AM.

The following is a list of legislation Senator Lott has indicated may be considered prior to the March recess. This list is not exclusive, not in any particular order, and does not include consideration of Executive Nominations:

Part G: Academic Achievement for All (Straight A's)

Allows states to convert an array of programs that address national priorities into a single, general aid, block grant. The proposal fails to:

- 1) Target resources within state to the districts and schools who most need them (and often generate the resources). With the exception of Title I funds, states determine how funds should be distributed --and on what basis--within the state.
- 2) Ensure program integrity and purpose by holding states and communities accountable for the use federal funds.
- 3) Hold schools and districts accountable for student performance.
- 4) Provide Congress, the Administration, and the public information from which to evaluate program effectiveness.

Programs that States may include in the Academic Achievement for All (Straight A's Act):

Program	Authorization (\$000s)
Title I Part A – Grants to local educational agencies	\$10,000,000
Title I Part B – Even Start	\$500,000
Title I Part C – Migrant Children	\$400,000
Section 1502 ¹	\$200,000
Title II Part A Teacher Empowerment	\$1,960,000
Subpart 1 – Grants to States	
Subpart 2 – Subgrants to Eligible Partnerships	
Subpart 3 – Grants to Eligible LEAs	
Title III Part B – Neglected and Delinquent	No authorization ²
Section 5132 – Technology Literacy Challenge Fund	\$560,000
Title VI – Innovative Education	\$850,000
Title VII Part C – Emergency Immigrant Education	\$200,000
Class Size Reduction (Sec. 310 of the Dept. of Ed. Appropriations Act, 2000)	n/a
Education for Homeless Children and Youth (Stewart B. McKinney Homeless Assistance Act)	\$40,000

Note:: In addition to the listed programs, States may include: "Any other provision of this Act that is not in effect on the date of enactment of the Educational Opportunities Act under which the Secretary provides grants to States on the basis of a formula."

¹ Should this be a reference to section 1602 Comprehensive School Reform Demonstrations?

² There is no authorization of appropriations listed in the bill.

- Concurrent Budget Resolution
- Elementary and Secondary Education Act
- Any available appropriations bills
- Marriage Penalty bill
- Child Protection Custody Act, which proscribes the transportation of minors across state lines in circumvention of state parental abortion notification laws.
- FAA Conference Report
- Elian Gonzalez bill
- Africa/CBI Trade Conference Report
- Iran non-proliferation bill

House

The House will be in session this week, but will hold no votes on Friday, February 18. Among other legislative business, the House today will consider awarding a Congressional gold medal to John Cardinal O'Connor, Archbishop of New York.

House Committee Hearings

Some House Committee and Subcommittee hearings include:

- **Low Income Housing Issues.** The Housing and Community Opportunity Subcommittee (Chairman Lazio, R-N.Y.) of House Banking and Financial Services Committee will mark up legislation that would revise and reauthorize a number of federal housing programs, including section 8 homeownership subsidies, Community Development Block Grants, Home Investment Partnerships Program, Local Homeownership Initiatives, Manufactures Housing Improvement Program and the Indian Housing Homeownership program. The legislation enjoys considerable bi-partisan support, but has at this point received some criticism from seniors groups and some low-income housing advocates who fear that the bill focuses too little attention the poorest populations.
- **Social Security Work Incentives.** The Social Security Subcommittee (Chairman Shaw, R-Fla.) of House Ways and Means Committee will hold a hearing on guidelines that affect how much income senior citizens can earn before they begin to lose their social security benefits.
- **Pension and Investments.** The Employer-Employee Relations Subcommittee of (Chairman Boehner, R-Ohio) House Education and the Workforce Committee will hold a hearing on "The Evolving Pension and Investment World After 25 Years of ERISA."
- **Affordable Prescription Drugs and Medical Privacy.** The Health Subcommittee (Chairman Thomas, R-Calif.) of House Ways and Means Committee will hold a hearing on ways to make prescription drugs more affordable for senior citizens. This subcommittee will also hold hearings later in the week on the Administration's proposal to protect patient privacy
- **Medicare Drug Benefit.** The House Commerce Committee (Chairman Bliley, R-Va.) will hold a hearing on proposals to establish a prescription drug benefit program for senior citizens.

TITLE VII: Bilingual Education, Language Enhancement, and Language Acquisition Programs

Part A: Bilingual Education

The proposal increases the floor for SEA grants from \$100,000 to \$200,000, effectively doubling the cost of this program or, dramatically altering the distribution of Title VII resources across states. Would require an increase from \$9.6 proposed to \$11.4 million just to provide each state with \$200,000 of more money for state systems w/ out accountability. (Under this scenario, California loses \$900,000.)

Professional Development: The Administration's proposal carefully drew a distinction among each of the 4 professional development activities. The Senate bill completely rejected that approach. Under the Senate bill (and current law), Training for all Teachers, Teacher and Personnel Grants, and Career Ladder will be indistinguishable and make individual program evaluation and accountability near impossible. **The programs should be streamlined to have distinct purposes and increase the Secretary's ability to measure effectiveness against clear goals.**

The Senate bill adopts much of the Administration's language overall. However, in Comprehensive School Grants and Systemwide Grants the proposal **drops language in the current law that requires Comprehensive Grants to serve all, or virtually all LEP students in the school and Systemwide Grants to improve programs "within an entire local educational agency."** The proposed change potentially takes us back in the direction of pre-1994 grants that often operated in isolation from what was happening in the rest of the school or district. This inclusion is integral to ensuring that all teachers serving LEP students, not just those in designated bilingual or ESL classrooms, are trained to meet the unique learning needs of these students.

The Senate bill also rejects the Administration's proposal to hold Comprehensive and Systemwide grantees accountable for low performance and potentially withhold their fifth year of funding. The Senate bill **requires that of funds available for Comprehensive Grants and Systemwide grants, funds first cover continuation awards for grantees first funded under the old statute, and then use 1/3 of remaining funds for new Systemwide grants and 2/3 for new Comprehensive Grants.** The Secretary should have the discretion to determine the distribution of these funds across programs.

Support Services:

The Senate excludes minor amendments to the research authorization and to the instructional materials authority.

Part B: Foreign Language Assistance Program

Fails to use the national discretionary grants program to advance second language learning in US schools. The bill fails to improve the program to encourage the development and implementation of elementary school foreign language programs, ensure **articulation between elementary and secondary** school programs, promote programs that focus on developing language fluency--not just familiarity--and **encourage states to develop standards for foreign language learning.** These changes are integral to advancing the current state of foreign language learning in the US and of supporting innovative programs that can effectively serve as models of language learning.

- **Fiscal 2001 Budget Review.** The House Budget Committee (Chairman Kasich, R-Ohio) will hold hearings on the president's fiscal 2001 budget.
- **Employer Health Insurance.** The House Small Business Committee (Chairman Talent, R-Mo.) will hold a hearing on ways to expand access to employer-based health insurance for small business owners and employees and their dependents.

UPCOMING POTUS SCHEDULE

Tuesday, Feb. 15	Cyber-Security Event Location: TBD
Wednesday, Feb. 16	Possible Press Conference
Thursday, Feb. 17	Address Opening of Africa Summit
Friday, Feb. 18	Medical Errors Event Location: TBD
Saturday, Feb. 19	Radio Address (taped Friday, Feb. 18) Topic: One America
Monday, Feb. 21	President's Day Holiday
Tuesday, Feb. 22	Live Teleconference with Mandela on Burundi Message Event TBD
Wednesday, Feb. 23	State Visit of the King and Queen of Spain Location: White House Possible Food Stamp Reg./Transportation Event
Thursday, Feb. 24	Address Business Council (closed press) Location: DC TBD Granoff Lecture on the New Economy Location: University of Pennsylvania
Friday, Feb. 25	Possible Departure Statement on Native American Budget Initiative (T) Present Malcolm Baldrige Awards Location: Washington, DC
Saturday, Feb. 26	Radio Address (taped on Friday, Feb. 25)

Continues foreign language incentive program; at a minimum some reporting or evaluation requirements should be added.

Part C: Emergency Immigrant Education Program

The Senate bill fails to provide states with the authority to use any or all of their grant for discretionary grants to LEAs; this continues to be accomplished through appropriations language.

Part D: Administration

Part E: General Provisions

TITLE VIII: Impact Aid (p.601)

Section 8002: Payments for Federal Property (p.601-610)

These changes are objectionable. Either the Administration's proposal or current law is preferable. The proposed Senate changes to the formula would essentially require that funds be distributed largely based on hold harmless provisions. The payment formula in section 8002(h)(4) (p.604-606) would appear to result in districts that become eligible after FY 1995 receiving small section 8002 payments compared to other 8002 districts with the same level of need. Funds under this section should be distributed based upon the current burden on each district caused by the Federal ownership of real property. Because this formula is based primarily upon hold harmless provisions, districts that are relatively new applicants would receive little or no compensation, despite the relative amount of Federal property in the district.

The "special needs" provisions (8002,8003) would earmark funds for individual districts that are identified by name or unique characteristics. They should be deleted because these funds should be distributed based on an objective, quantifiable assessment of current need rather than hold harmless provisions and funding earmarks.

The Department would have difficulty meeting a requirement to pay all LEAs an initial amount of 60% of the prior year's payment within 60 days of the appropriation as would be required by subsection (l)(2), p.607-8. A similar preliminary payment authority in the statute prior to the last reauthorization caused many overpayments. (Section 8002 payments are based on current year data and applications are due January 31, approximately 120 days after the beginning of the fiscal year.)

Establishing a 5-year time limit for new applicants following the acquisition of federal property in a local school district (subsection(m)(1-2)p. 608-9) would hinder new applicants for section 8002 payments. Since the existence of the section 8002 payment program is not widely known outside of the community of school districts that currently receive Impact Aid, some eligible school districts do not learn of and begin to apply for the program until years after the acquisition of federal property. This provision **could prevent some otherwise eligible school districts from receiving Impact Aid**. Thus, it would favor those school districts that currently participate in the section 8002 program by limiting new applicants.

In addition, the five-year timeframe for "combined Federal property" and for "new Federal property" specifically refers to five years following the date the Federal Government acquires property for those properties that are acquired after enactment of the act. This provision appears to assume that Federal property acquisitions in a district occur in one transaction. However, most

Topic: TBD – Possibly Failing Schools Guidance

Monday, Feb. 28

NGA Roundtable

Location: White House

Amtrak Announcement

Location: White House

Tuesday, Feb. 29

Departure Statement

Topic: TBD

Travel to Florida

Federal property acquisitions take place over a multi-year period that sometimes stretches over a decade. It is not unusual for a LEA to have substantial amounts of federal property acquired in its district years before it actually reaches the 10 percent eligibility threshold. These provisions would preclude those districts from applying for these funds.

Section 8003(a): Federally connected children

Would continue payments on behalf of "b" children, even though they create a very limited financial burden to LEAs. "a" students, who impose a greater burden than "b" students, should receive priority when distributing Impact Aid funds. The Senate bill is particularly objectionable because it would increase the weight for military "b's" from .10 to .25 (p.610, lines 10-13). Military "b" students reside with their parents who live off-base on property that communities can tax to raise money for education. In contrast, "a" students generally reside with their parents who both live and work on Federal property that communities may not tax. The likely effect of the Senate bill would be that increases in funding under Basic Support Payments would raise payments on behalf of "b" students while funds generated on behalf of "a" students would remain constant or be reduced over time.

Section 8003(b): Basic Support Payments formula (p.610-611)

The Senate bill would largely leave the formula unchanged. Several changes should be made to the formula under current law.

The Administration's proposed payment formula includes changes from current law in the weighted student count and in how the maximum payment and LOT are calculated. The formula would make payments more equitable and more closely reflect the actual local cost of educating these students. Only "a" students would be included in the weighted student count. The proposed formula would use the greatest of three LCRs, which would be multiplied by the weighted student count, to calculate the maximum payment. The three factors are:

- the LCR of comparable LEAs in the State (from current law);
- the product of the SPPE and the State's local contribution percentage (from current law); and
- the product of the average per pupil expenditure in the U.S. and the State's local contribution percentage (new).

These three LCR alternatives would more closely approximate the local cost of educating these students than do the four available under the current statute, because all three include a measure of the amount and the proportion of funds provided at the local level. The Department's proposal would exclude two LCR options that are available under current law: (1) one-half of the SPPE and (2) one-half of the average per-pupil expenditure in the U.S. Both of these LCR options arbitrarily assume that one-half of revenue for education is derived at the local level, an assumption that has no factual basis. (According to NCES, the proportion of education funds for elementary and secondary education derived from the local level, which reflects the local cost of educating students, varied from 12 to 87 percent among States in the 1994-95 school year.) The two excluded LCR options inequitably shift funds away from LEAs with a relatively high local cost of educating a student to LEAs with a relatively low local cost.

The Administration's proposal would amend the LOT percentage to make it the sum of:

- (1) 50 percent, and
- (2) one-half of the percentage of federally connected students.

The LOT proposed by the Administration would consistently favor LEAs with high concentrations of federally connected students, which face a disproportionately high federally imposed burden. The LOT formula in current statute does not. Rather, the current statute allows

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an LEA to reach a LOT of 100 percent when its percentage of federally connected students is considerably less than 100 percent.

The proposed LOT would also eliminate a pernicious effect of current law -- the potential reward for LEAs that reduce local tax effort. One of the components of the current LOT is the maximum payment as a percentage of total current expenditures. As an LEA decreases the amount of local funds it expends, the maximum payment as a percentage of total current expenditures increases. The current LOT, as a result, is higher for LEAs with a relatively low tax effort (and a corresponding relatively low local cost of educating students), all other factors being equal.

Section 8003(d): Payments for Children with Disabilities

As proposed for Basic Support Payments, the Administration would eliminate payments on behalf of military "b" students. The limited amount of funds available for Impact Aid should be focused on "a" students since they present the greatest uncompensated burden to school districts.

The reference to a "free appropriate public education" should be changed to "services."

Section 8003(e): Hold Harmless Amounts (p.611-612)

All available funds should be distributed based on objective data that measure the level of current need within a school district. The approach used under current law, which limits hold harmless payments to two years, is preferable to the approach here, which includes no such limit.

Section 8003(f): Additional Assistance for Heavily Impacted LEAs

While current law must be amended, the proposed Senate bill would replace this with complex special basic support payments for heavily impacted districts (p.612-623). The proposal incorporates much of the FY 1999 and 2000 "pilot program" for section 8003(f) into the basic support payment provisions; the proposal would pay districts that qualified in FY 2000 for section 8003(f) and that meet a number of other criteria a much higher basic support payment. The Department estimates that the proposed payment would approximate the amount that districts received in basic support and under section 8003(f) in FY 1999. The proposal also guarantees these districts the payments for at least two years, even if they do not meet the requirements in the second year. With this "hold harmless" provision and the use of three-year old data, the proposal would seem to have little regard as to whether the districts were currently heavily impacted.

The current law or the Department's proposal is a better starting point for the reauthorization of support for legitimate heavily impacted districts. The system for providing payments for heavily impacted districts should be simplified, not made more complex, and it should consider genuine need for the increased payments.

Section 8003(g): Additional payments for LEAs with High Concentrations of Children with Severe Disabilities

This authority should be repealed; it has never been funded.

Section 8003(h): Other funds

The reference to the Section 6 program is outdated and should be replaced. The Administration proposed to replace it with language that is currently in Impact Aid regulations at 34 CFR 222.30(2)(ii).

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Section 8003(i): Maintenance of effort

The Administration proposed to eliminate this requirement regarding local effort because it is inappropriate for Impact Aid. Impact Aid funds are designed to assist LEAs meet the local cost of educating students. Unlike most programs in the Department of Education, most Impact Aid funds are not categorical funds designed to help LEAs educate special populations.

Section 8004: Policies and Procedures relating to children residing on Indian lands.

The Administration proposed to strengthen the language in section 8004 to support Indian community participation in public schools that receive Impact Aid by requiring school districts serving Indian children to carry out a program of family and community involvement required under Title I, through the Title IX Indian parent committees. Our proposal would also clarify that section 8003 funds may be used to increase tribal and parent involvement in the education of Indian children.

Section 8005: Application for payments under sections 8002 and 8003

The Alaska provision under (d)(4) should be excluded.

Section 8007: Construction (p.6260628)

Current section 8007 construction authority should be reformed, but using 8007 as a vehicle for providing construction funds for several types of school districts with federally connected students, some of which have not previously been eligible is not the right approach. Rather than diluting these funds by making additional categories of LEAs eligible for these funds, the Administration's proposal targets scarce resources for construction assistance under this authority to the Impact Aid school districts with 50 percent or more of the students live on Indian lands. These districts have a far greater need for school construction assistance than the other types of districts that are eligible for these funds. The predominantly Indian districts have a poverty level of 45 percent compared to just 10 percent poverty on average in LEAs with 50 percent or more students with a parent in the uniformed services. The poverty percentages are important because the General Accounting Office has found that the quality of school facilities tends to be worse in high poverty schools and the National Center for Education Statistics reports that school facilities with relatively high proportions of students in poverty tend to be relatively old. The predominantly Indian districts also have the highest percentages of federally connected children and the least amounts of local taxable property. In addition, the National Indian Impacted Schools Association reports that in a recent survey its member school districts reported that they each need \$6.9 million on average to bring their schools into good overall condition.

In addition, there appear to be technical problems with the approach specified for the competitive grants. Eligibility would be restricted to local educational agencies that have an assessed value of taxable property per student that is below the State average. However, we believe that these data are not available from all States and that when they are available, they would not necessarily provide comparable data within the States due to disparate real estate assessment practices within States.

Section 8009 State consideration of payments in providing State aid

The Administration proposes to add an additional requirement to the equalization standard a State must meet before it is permitted to offset Impact Aid received by local school districts in its State education funding formula. A State should not be permitted to reduce State aid to Impact Aid districts unless its current per-pupil educational expenditures are at least 80 percent of the national average. This would help ensure that Impact Aid school districts receive adequate funding.

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Section 8010: Federal Department

The Senate bill would appropriately delete eligibility rules for fiscal years prior to 1995.

Section 8012: Forgiveness of overpayments

Retained.

Section 8013: Definitions

Refer to technical corrections to definitions that should be included in the bill.

Section 8014: Authorization of appropriations

Conforming amendments

There does not appear to be a reference to 8014(e) under 8007(b)(1). However, there are more problematic references in 8007A(a)(1) and 8007A(d).

TITLE IX: Indian, Native Hawaiian, and Alaska Native Education

Part A: Indian Education (p.643)

Creates an unnecessary and burdensome "Indian-Flex" authority to allow grantees to consolidate resources from across federal programs (Education, Interior, etc.). The proposed language, similar to H.R.#2, would limit the Secretary's authority by limiting program evaluation and reporting to only a single system implemented by the "lead agency" (p.663, line19) that could be: 1) inconsistent with evaluations and reporting requirements implemented for non-consolidated programs; and 2) less rigorous than the standards or indicators established by the Secretary (p.664). In addition the "flexibility" would create increased paperwork, at both the local and Federal levels, without potential benefit in terms of flexibility. For LEAs, the only programs that could be consolidated would likely be Title IX and Johnson-O'Malley, which can already be used to operate combined programs. BIA schools already have the authority to consolidate ESEA funds and do not need this authority.

Creates changes to increase Indian access and involvement in grants and contracts, but does so in ways that may limit the Secretary's discretion in acquiring specific expertise. Current section 9153 requires the Secretary, in making grants under subparts 2 (discretionary programs), 3 (adult education), and 4 (national R and D), to give a preference to Indian tribes, organizations, and IHEs. The proposal would apply this preference not just to grants, but also to contracts and cooperative agreements under those subparts. Such a change could have very serious repercussions for activities under subpart 4, where the Department has used national program funds to augment NCES surveys, analyze census data, and other studies to ensure that Indian interests are pursued. While Indians have been involved in many of these projects, the contracts (or activities within contracts) have not been awarded to tribes or Indian organizations. The language should be changed to exempt subpart 4 contract activity (p.710, line 3).

Continues four unfunded discretionary authorities--Fellowships, Gifted and Talented, Tribal Educational Agencies, and Adult Education--that the Administration has proposed for repeal. Since the unfunded authorizations are maintained, the bill also fails to include gifted and talented programs as allowable under the LEA formula grants program.

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The bill unsuccessfully revised language on eligible entities from the earlier draft; revert to current law. As it stands, the applicant has to be a consortium even when an IHE may be the most appropriate or most qualified applicant.

FY2001 authorization for Indian Education is \$32,765,000 below the Administration's request for subpart 1, and \$18,735,000 below the request for subpart 2.

Part B: Native Hawaiian Education

Acceptable, though there are still issues related to 1) appointment of council members being based only on recommendations from the Hawaiian community, 2) family literacy is categorized under higher education, and 3) addition of 2 islands to the Island Councils list.

Part C: Alaska Native Education

Acceptable.

TITLE X: General Provisions

Part A: Uniform Provisions

Private schools:

None of the changes proposed by the Administration, current sections 14503-14506 are included. These included **clarifications and improvements relating to consultation with private school officials**, as well as language clarifying that the services provided to kids in private schools are to address their needs (and thus need not be the same services provided to kids in the public schools). These proposals track the proposals made in the corresponding provisions in Title I.

(Some fine tuning will be need before the language is final to ensure that provisions apply only to formal grant programs.)

With respect to other uniform provisions relating to equitable participation the balance of part A of title X would largely track the current provisions, subject to technical cross reference changes. As a result, the draft would not make the changes to current title XIV-E proposed by the Administration and designed to accomplish the following:

In current section 14503(a)(1) of the ESEA, clarify that services should address the needs of private school students.

In current section 14503(c)(1), add to the issues to be covered by consultation between designated public educational agencies and appropriate private school officials. (The new issues to be covered by such broadened consultation would include (1) the amount of funds received by the agency that are attributable to the private school children and (2) how and when the agency will make decisions about the delivery of services to these children.)

*In current section 14503(c)(2), clarify the timing of such consultation. Under the Administration proposal, such consultation would be required to include meetings of agency and private school officials to occur *before* the LEA makes any decision that affects the opportunities of eligible private school children or their teachers to participate in ESEA programs. Such consultation would also be required to continue throughout the implementation and assessment of activities under current section 14503 of the ESEA.*

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Part B: Evaluations

[Sec. 10201, pp. 751-758; current sec. 14701, Administration proposed sec. 11911]

The draft is nearly identical to current law, and does not include the Administration's proposed amendments to greatly streamline this section; **explicitly authorize evaluations to carry out GPRA**. It does not include proposed new subsection(e) that would authorize ED to work with States to develop information on program performance that can be used by States, districts, and schools for continuous program improvement (should go on p.758, after line 10).

The proposal (p.755, between lines 12 and 13) deletes authority for evaluations of how ESEA programs contribute to reform efforts (note: this long section in current law is replaced with one sentence in the EEACA). The proposal should direct the Secretary to use reserved funds to conduct independent studies of ESEA programs and the effectiveness of these programs in achieving their purposes, to determine, among other things, whether the programs are contributing to improved student academic performance and supporting the development of challenging standards and aligned assessments that guide other elements of school reform.

P.757, lines 18-23 requires final report on evaluation by January 1, 2004—EEACA would require an interim report three years after the date of enactment and a final report 4 years after the date of enactment.

The draft also does not include our proposed section 11912 relating to performance indicators, and does not include proposal to better focus the national evaluation provisions. The draft does not include a specific authorization for the Secretary to develop performance indicators, benchmarks, and targets for ESEA programs and the McKinney Act and does not authorize the Secretary, with funds reserved under current section 14701, to conduct evaluations to carry out the purposes of the Government and Performance Results Act of 1993 and work in partnership with the States to develop information relating to program performance that can be used to help achieve continuous improvement at the State, school district, and school level.

The proposal should also direct the Secretary to provide technical assistance to ESEA recipients to strengthen the collection and assessment of information relating to program performance and quality assurance at State and local levels, in order to promote the development, use and reporting of data on valid, reliable, timely and consistent performance indicators within and across programs.

The Secretary should also have authority to establish an independent panel to review these studies and advise on progress.

Other repeals

The draft repeals Titles XI, XII, and XIII. (Have all of these been revised?) What is the intention in regard to Coordinated Services (XI) or Technical Assistance, etc. (XIII), neither of which have been provided?

Miscellaneous (p.1-13)

ESEA definitions are moved from 14101 to section 3, but it's not clear what, if anything, is planned for 14102 (which ESEA language applies to Impact Aid) and 14103 (applicability of the ESEA to BIA schools). The Administration proposed to keep both of those sections and to add a definition of "family literacy services".

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Part C: America's Education Goals (p.758-768)

The draft does not include any findings or a statement of the purpose of having the goals, as the Administration bill [sec. 3(a) of the EEACA and sec. 3(a) of the ESEA] would.

Part D: America's Education Goals Panel

The draft lacks an authorization of appropriations for the Panel. See current section 241 of Goals 2000 and the Administration's proposed section 11307.

The draft does not include the proposal to treat the Panel's Director and staff as Federal "employees" under Title 5 of the US Code. A failure to include this clarification could put the status of the Director and staff at risk.

The phrase "in the executive branch" (page 768, lines 20-21) needs to be deleted, or Panel members could be subject to assorted Federal Government ethics reporting requirements.

The special rule on p. 771, lines 5-16 is not needed as drafted because there is no existing goals panel appointed by the National Governor's Association. It needs to be revised if the intent is to say that the existing Goals Panel meets these requirements

The date of appointment and initiation provisions (page 772, lines 14-21) are no longer needed--they were only necessary when the Goals Panel was created, and if there was any question at all regarding the need for these provisions at this point, the transition rule (page 780, line 21 through page 781, line 2) should be sufficient.

The reporting requirement at page 774, lines 12-15 appears duplicative of the requirement at lines 7-11. It appears that the two could be combined.

In addition, there are several technical drafting issues regarding the Goals Panel provisions (including some glitches being carried over from current law).

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Knowledge- and Skill-Based Pay

The single-salary schedule currently provides pay increases for years of experience, education units and university degrees. These variables are indirect indicators of knowledge and skills; under this system, a teacher with more education units and more experience in the classroom is assumed to have developed a greater professional expertise. Furthermore, many of the credits used as bases for salary increases are only loosely--if at all--connected to teaching responsibilities or to emerging notions of challenging subject-matter instruction.

A knowledge- and skill-based pay system would more directly measure teacher knowledge and skills. Such a system could reward the development of three types of knowledge and skills. The first, and most critical, would be depth in the areas of content, curriculum and instructional expertise. A second set of skills would be "breadth" skills--those vital to important non-teaching functions such as curriculum development, professional development, guidance counseling, and parent outreach. A third set would be "management" skills, particularly for schools engaged in site-based management.

A knowledge- and skill-based pay salary component could be added to the current salary schedule, replace either the education or experience component of the current salary schedule, or replace both components (see Models 1, 2, 3, and 4 for examples of salary schedules incorporating elements of skills-based pay).

For example, salary increases could be tied to professional licensure and certification such as that being developed by the Interstate New Teacher Assessment and Support Consortium (see INTASC, 1995), the Educational Testing Service's PRAXIS, and the National Board for Professional Teaching Standards. Teachers could start their teaching career with a provisional license (a temporary teaching permit) at a beginning salary level, and earn significant bumps in pay when they receive a professional teaching license, and if they become certified by the National Board for Professional Teaching Standards. A local or national skills-assessment system driven by the teaching profession could identify and assess additional milestones between professional licensure and Board certification. Locally determined salary increases could be linked to these accomplishments.

Skill-based pay should be clearly distinguished from individual performance-based pay systems, which traditionally have evaluated teachers against one another for a fixed pool of funds. Individual performance systems usually aim to identify and reward the "best" teachers with additional pay. In contrast, skill-based pay rewards teachers for attaining and being able to use knowledge and skills valued by the school--such as the ability to teach all students the mathematics promoted by the National Council of Teachers of Mathematics. Skill attainment is judged against a predetermined, clear-cut standard. It does not create competition among teachers, but signals the type of skills the school wants its faculty to acquire. Skill-based pay systems, thus, focus individual skill development on the knowledge and skills necessary for the organization to accomplish its goals.

Mandatory (State)..... 1st FY--only if NA, no limit.

Matching is
requested.

Mandatory (Tribes)..... 2nd FY..... 3rd FY.

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Matching..... 1st FY..... 2nd FY.

MOE..... 1st FY, and NA, must be
expended in that liquidated in 1st
FY. FY.

The PRWORA amended the CCDBG Act to require States and Territories to obligate their Discretionary allotments in the fiscal year in which they are received, or in the succeeding fiscal year. These amendments return the statutory language to its status before the Juvenile Justice and Delinquency Prevention Amendments of 1992 (Pub. L. 102-586). Since the final regulations which would have incorporated the changes from the Juvenile Justice and Delinquency Prevention Amendments of 1992 were never published, no change is needed in the regulatory language.

The FY 1997 Health and Human Services appropriation (Pub. L. 104-208) changed the date that the CCDF Discretionary Funds will become available from September 30 of the fiscal year in which the funds are appropriated to October 1 of the following fiscal year. As a result, when existing regulatory language is applied, States and Territories have two full fiscal years to obligate their CCDF Discretionary Funds, instead of the year and a day which resulted under earlier appropriations. States and Territories continue to have until the end of the third fiscal year to liquidate these funds.

Section 418(b)(1) of the Social Security Act provides that the Mandatory Fund is available without fiscal year limitation. However, section 418(a)(2)(C) of the Social Security Act, which describes the conditions for receiving Matching Funds, indicates they are paid to a State for expenditures that exceed the State's Mandatory grant and MOE level, and are only available on an annual basis. Moreover, section

An expanded version of this information can be found in Allan Odden & Carolyn Kelley's Paying Teachers for What They Know and Do: New and Smarter Compensation Strategies to Improve Schools

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418(a)(2)(D) of the Social Security Act requires that Matching Funds that are not used in the fiscal year be made available for redistribution in the following fiscal year. Therefore, a State wishing to claim Matching Funds must obligate its Mandatory Funds before the end of the fiscal year for which the Mandatory Funds are awarded. States not wishing to claim Federal Matching Funds have no obligation or liquidation deadline for their Mandatory Funds.

Also, the amount of a State's MOE requirement must be obligated and liquidated before the end of the fiscal year for which Matching Funds are awarded. Non-Federal expenditures (exceeding the MOE threshold) for which the State wishes to claim monies from the Matching Fund must also be obligated before the end of the fiscal year for which they are awarded.

The same obligation and liquidation periods that apply to the State Discretionary Funds apply to the tribal funds. While the FY 1997 appropriation changed the date Discretionary Funds become available, under the revision Tribes will continue to have two full years to obligate the child care funds they receive. Further, under these regulations, Tribes will receive an additional year to liquidate these Funds. Retaining the previous regulations would have had the consequence of providing three full years to obligate and liquidate tribal child care grants.

The amendments to the Discretionary Fund under PRWORA for the first time provide that tribal funds are subject to reallotment. The two-year approach to obligation will encourage Tribes to plan for the timely commitment of funds and, at the same time, make uncommitted funds available on a timely basis to those Tribes that are in need of additional child care monies.

Section 98.60(d)(3) lists the obligation and liquidation periods for States that receive Matching Funds. In order to accommodate the redistribution required by section 418(a)(2)(D) of the Social Security Act, the regulation requires that Matching Funds must be obligated in

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Group-Based Performance Awards

Group-based performance awards, or collective incentive-pay plans, recognize that student outcomes are the joint product of many teachers working together in a school. They explicitly encourage school staff to work together toward common goals--such as improving student performance. Collective incentives provide an important symbolic focus on outcomes while avoiding the divisive aspects of individual performance incentives.

Individual merit pay, the most commonly applied outcome-oriented incentive system in education, creates competitive rather than collegial work environments. In addition, the underlying assumption of individual merit pay is that the *individual* teacher has control over the achievement of school goals. By contrast, collective incentives, such as group-based performance awards, assume the entire faculty and students must work together to produce student performance and, thus, provide to everyone in a school a salary bonus for achieving collective goals.

Group-based performance incentives could provide bonuses to all school employees or to teams of teachers, and additional funds for the school when, for example, student achievement in core content areas exceeded some predetermined criterion for improvement.

Gainsharing is another type of group-based performance incentive. Gainsharing programs provide incentives for employees to find more efficient means of achieving organizational goals. For example, school faculties that found lower-cost means of providing the same quality services could receive a portion of the cost-savings, with the rest of the funds going toward instructional materials.

Group-based performance awards would need to be carefully designed. They would need to be based on improvements in performance. They also would need to be adjusted for student mobility, be explicit about the achievement targets for students in special education programs, capture student performance across the full range in order not to ignore the bottom half, and include appropriate modifications for socio-economic background, to insure a level playing field participation in the award.

An expanded version of this information can be found in Allan Odden & Carolyn Kelley's Paying Teachers for What They Know and Do: New and Smarter Compensation Strategies to Improve Schools

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the fiscal year in which they are granted and liquidated within two years.

Returned Funds. As a result of the changes made by PRWORA and the change in the date of availability of the CCDF Discretionary Funds made by the FY 1997 HHS appropriation, Sec. 98.60(g) requires that funds returned to the Lead Agency after the end of the applicable obligation period must be returned to the Federal government. Under this provision, however, and as previous regulations permitted, funds returned during the obligation period may be re-obligated for activities specified in the Plan, provided they are obligated by the end of the obligation period. This provision was inadvertently deleted in the proposed rule but has been added back in the final rule at section 98.61(g)(1). The re-obligation of funds will not result in any extension of the obligation period.

The 1992 regulations allowed States to follow State or local law or procedures regarding funds returned after the end of the obligation period. The provision was applicable only to what now are the Discretionary Funds part of the CCDF. It recognized that although section 685J(c) of the Act provided for a two-year obligation period for those funds, the Departments of Labor, Health and Human Services and Related Agencies Appropriations Act, 1991 (Pub. Law 101-517) provided that FY 1991 funds became available on September 7, 1991. The impact of that appropriation was that CCDBG funds (now called Discretionary Funds) were available for obligation only for barely over a year, instead of for two full years. The now-superseded provision regarding returned funds reflected ACF's desire that States not be put in the position of having to make premature decisions regarding obligations in a new program due to a truncated obligation period. Also, our reasoning for the former provision included the consideration that, even though the Act contained a reallotment provision for these funds, there appeared to be little likelihood that the States would return them for redistribution since they were 100 percent Federal funds.

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Emerging CPRE Findings on Teacher Compensation

The CPRE staff on teacher compensation reform has developed some key findings based on their research. These findings can help to better inform future reform efforts in teacher compensation by building upon the experiences of past and present programs. Below is a list of eleven key findings and references to documents that describe these conclusions in more detail. For more information about these findings, please contact the CPRE Teacher Compensation Project.

On Compensation Reform in General:

1. The most critical element of any compensation reform plan is the process by which it is developed and implemented.

(See Odden and Kelley, (1995), CPRE Policy Brief, Douglas County Case)

2. Compensation works to motivate changes in teacher behavior through an expectancy model, in which teachers understand clear goals identified by the organization and compensation plan, teachers believe that through effort they can achieve those goals, and they believe that the achievement of goals will be associated with an outcome which is of value to them.

(See Kelley, 1997, Kentucky School-Based Performance Award Program: School-Level Effects)

On School-Based Performance Awards:

In addition to studying how School Based Performance Awards impact teacher motivation to improve student achievement, discussed elsewhere in this web site, CPRE also is working with districts and states across the country who actually are administering School Based Performance Award Programs. In October 1998, CPRE sponsored a conference with about ten of those jurisdictions. The conference was organized around the series of issues each place had to address in designing and administering such programs:

- Performance elements
- How each element is measured
- How change in performance is calculated
- How to make the change calculation fair
- How much change to require for earning an award
- Levels and types of awards
- Funding
- Enabling and other support conditions
- Implementation and evaluation
- Development and design process.

does not extend the obligation period or the program period for expenditure of such funds.

Sec. 98.65 Audits and financial reporting.

(a) Each Lead Agency shall have an audit conducted after the close of each program period in accordance with OMB Circular A-133 and the Single Audit Act Amendments of 1996.

(b) Lead Agencies are responsible for ensuring that subgrantees are audited in accordance with appropriate audit requirements.

(c) Not later than 30 days after the completion of the audit, Lead Agencies shall submit a copy of their audit report to the legislature of the State or, if applicable, to the Tribal Council(s). Lead Agencies shall also submit a copy of their audit report to the HHS Inspector General for Audit Services, as well as to their cognizant agency, if applicable.

(d) Any amounts determined through an audit not to have been expended in accordance with these statutory or regulatory provisions, or with the Plan, and that are subsequently disallowed by the Department shall be repaid to the Federal government, or the Secretary will offset such amounts against any other CCDF funds to which the Lead Agency is or may be entitled.

(e) Lead Agencies shall provide access to appropriate books, documents, papers and records to allow the Secretary to verify that CCDF funds have been expended in accordance with the statutory and regulatory requirements of the program, and with the Plan.

(f) The audit required in paragraph (a) of this section shall be conducted by an agency that is independent of the State, Territory or Tribe as defined by generally accepted government auditing standards issued by the Comptroller General, or a public accountant who meets such independent standards.

(g) The Secretary shall require financial reports as necessary.

Sec. 98.66 Disallowance procedures.

Each team, together with CPRE staff, developed a case study of their program. The following cases are the result of that collaborative process and are available using Adobe Acrobat Reader.

Boston	Kentucky
Charlotte-Mecklenburg	North Carolina
Cincinnati	Philadelphia
Dallas	Vaughn Street Charter
Last updated September 27, 1999.	

3. Performance awards should be school-based and not based on individual performance. School-based awards foster cooperative efforts.

(See Kelley, 1997, [Teacher Compensation and Organization](#))

4. Awards should be based on improvements in performance toward a common standard.

(See Odden, et. al., 1996) [School-Based Performance Award Designs: A Case Study](#)

5. The focus that school-based performance awards provide can be empowering and liberating to teachers accustomed to operating with unclear and/or multiple and competing goals.

(See Heneman, (1997), [Assessment of the Motivational Reactions of Teachers to a School-Based Performance Award Program](#))

6. It is important to take care to develop measures of performance that are valid and reliable, and to measure the performance that you would like to emphasize.

(See Kelley & Protsik, 1996, [Risk and Reward: Perspectives on the Implementation of Kentucky's School-Based Performance Award Program](#))

7. Compensation incentives should be aligned with overall organizational goals, and with other rewards and incentives of the organization.

(See Kelley, 1997, [Teacher Compensation and Organization](#))

8. Compensation reform should be accompanied by a strong emphasis on dissemination of best practices.

(See Odden, et. al., 1996, [Design Case](#); Kelley, 1997, [Kentucky paper](#))

(a) Any expenditures not made in accordance with the Act, the implementing regulations, or the approved Plan, will be subject to disallowance.

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(b) If the Department, as the result of an audit or a review, finds that expenditures should be disallowed, the Department will notify the Lead Agency of this decision in writing.

(c)(1) If the Lead Agency agrees with the finding that amounts were not expended in accordance with the Act, these regulations, or the Plan, the Lead Agency shall fulfill the provisions of the disallowance notice and repay any amounts improperly expended; or

(2) The Lead Agency may appeal the finding:

(i) By requesting reconsideration from the Assistant Secretary, pursuant to paragraph (f) of this section; or

(ii) By following the procedure in paragraph (d) of this section.

(d) A Lead Agency may appeal the disallowance decision to the Departmental Appeals Board in accordance with 45 CFR part 16.

(e) The Lead Agency may appeal a disallowance of costs that the Department has determined to be unallowable under an award. A grantee may not appeal the determination of award amounts or disposition of unobligated balances.

(f) The Lead Agency's request for reconsideration in (c)(2)(i) of this section shall be postmarked no later than 30 days after the receipt of the disallowance notice. A Lead Agency may request an extension within the 30-day time frame. The request for reconsideration, pursuant to (c)(2)(i) of this section, need not follow any prescribed form, but it shall contain:

(1) The amount of the disallowance;

(2) The Lead Agency's reasons for believing that the disallowance was improper; and

(3) A copy of the disallowance decision issued pursuant to paragraph (b) of this section.

9. Schools that were eligible to receive rewards under the Kentucky school-based performance award program were characterized by a set of enabling conditions, including a high quality, focused professional development program; principal leadership in support of the goals of the program, and a lack of competing goals; high levels of teacher knowledge and skills; the ability to evaluate assessment data and incorporate it into the curriculum; alignment of the curriculum with the goals of the program; and student motivation to achieve, which was developed and encouraged by the school organization.

(See Kelley, 1997, Kentucky paper)

10. Meaningful outcomes to teachers included the desire for positive public recognition associated with receiving school-based performance awards; a desire to avoid negative publicity associated with poor school performance; and a desire to see students improve.

(See Kelley, 1997, Kentucky paper)

On Skill-Based Pay:

11. There are a variety of potentially powerful uses for skill-based pay, from its use to focus teachers on the development of specific, focused skills; to its use to develop skills throughout the career of the teacher; to rewarding highly skilled teachers, such as those certified by the National Board for Professional Teaching Standards.

(See Odden & Kelley, 1997, Paying Teachers for What They Know and Do)



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(g)(1) Upon receipt of a request for reconsideration, pursuant to (c)(2)(i) of this section, the Assistant Secretary or the Assistant Secretary's designee will inform the Lead Agency that the request is under review.

(2) The Assistant Secretary or the designee will review any material submitted by the Lead Agency and any other necessary materials.

(3) If the reconsideration decision is adverse to the Lead Agency's position, the response will include a notification of the Lead Agency's right to appeal to the Departmental Appeals Board, pursuant to paragraph (d) of this section.

(h) If a Lead Agency refuses to repay amounts after a final decision has been made, the amounts will be offset against future payments to the Lead Agency.

(i) The appeals process in this section is not applicable if the disallowance is part of a compliance review, pursuant to Sec. 98.90, the findings of which have been appealed by the Lead Agency.

(j) Disallowances under the CCDF program are subject to interest regulations at 45 CFR part 30. Interest will begin to accrue from the date of notification.

Sec. 98.67 Fiscal requirements.

(a) Lead Agencies shall expend and account for CCDF funds in accordance with their own laws and procedures for expending and accounting for their own funds.

(b) Unless otherwise specified in this part, contracts that entail the expenditure of CCDF funds shall comply with the laws and procedures generally applicable to expenditures by the contracting agency of its own funds.

(c) Fiscal control and accounting procedures shall be sufficient to permit:

(1) Preparation of reports required by the Secretary under this subpart and under subpart H; and

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Teacher Compensation Publication Abstracts

In Alphabetical Order By Title

"Aligning Teacher Compensation with Systemic School Reform: Skill-Based Pay and Group-Based Performance Rewards."

By Allan M. Mohrman, Jr., Susan Albers Mohrman, & Allan R. Odden.
Educational Evaluation & Policy Analysis, 18(1), 51-71. (1996, Spring).

The current method of paying teachers is viewed as a failure in that it does not directly influence teacher and school improvement. The article discusses high involvement management (Lawler) in the private sector, then goes on to transfer this knowledge to the implementation of skills-based pay in schools, including performance assessment. There are three categories of skills: depth, breadth, and vertical (or management) skills. The article then goes on to explore how and what types of group-based performance rewards can be successfully implemented in the schools, both school-wide and for smaller school teams. Finally, there are suggestions on how to make a smooth transition from the current compensation system to a skills-based pay system.

"Compensation Alternatives for Teachers: The Case of Fairfax County's Merit Pay/Career Ladder Program."

By Sharon Conley.
Madison, WI: Consortium for Policy Research in Education,
University of Wisconsin-Madison. (1996, April).

This paper draws on the experiences of the Fairfax County, Virginia merit pay/career ladder plan to illustrate issues raised by alternative teacher compensation approaches. A description of the Fairfax plan is presented and applied to a framework based on the type of compensation plan (merit pay or career ladder) and the type of evaluation standards employed (minimum, competitive, or developmental).

(2) The tracing of funds to a level of expenditure adequate to establish that such funds have not been used in violation of the provisions of this part.

Subpart H--Program Reporting Requirements

Sec. 98.70 Reporting requirements.

(a) Quarterly Case-level Report--

(1) State and territorial Lead Agencies that receive assistance under the CCDF shall prepare and submit to the Department, in a manner specified by the Secretary, a quarterly case-level report of monthly family case-level data. Data shall be collected monthly and submitted quarterly. States may submit the data monthly if they choose to do so.

(2) The information shall be reported for the three-month federal fiscal period preceding the required report. The first report shall be submitted no later than August 31, 1998, and quarterly thereafter. The first report shall include data from the third quarter of FFY 1998 (April 1998 through June 1998). States and Territorial Lead Agencies which choose to submit case-level data monthly must submit their report for April 1998 no later than July 30, 1998. Following reports must be submitted every thirty days thereafter.

(3) State and territorial Lead Agencies choosing to submit data based on a sample shall submit a sampling plan to ACF for approval 60 days prior to the submission of the first quarterly report. States are not prohibited from submitting case-level data for the entire population receiving CCDF services.

(4) Quarterly family case-level reports to the Secretary shall include the information listed in Sec. 98.71(a).

(b) Annual Report--

(1) State and territorial Lead Agencies that receive assistance under CCDF shall prepare and submit to the Secretary an annual report. The report shall be submitted, in a manner specified by the Secretary, by December 31 of each year and shall cover the most recent federal

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**"Compensation and Skill Development in Four Professions and
Implications for the Teaching Profession."**

By Carolyn Kelley & Corri Taylor.
Madison, WI: Consortium for Policy Research in Education,
University of Wisconsin-Madison. (1995).

This paper examines the compensation system in four other professions to identify potential models that could be used to compensate teachers. In various ways, these compensation systems link pay to development of knowledge and skills, and provide collective incentives for the pursuit of organizational goals. Lessons from the four models - compensation in law, higher education, actuarial science, and financial analysis - are drawn to suggest alternatives to the current teacher compensation system.

"History of Teacher Pay and Incentive Reforms"

By Jean Protsik.
Journal of School Leadership, 6(3), 265-289. (1996).

This article describes how the three main teacher compensation systems have been structured in the United States since the 1800's to meet the social and economic needs of the time. Current systemic reform efforts suggest the need for another shift in the structure of teacher pay to realign compensation strategies with the educational needs and school organizational goals of today.

"Incentives, School Organization, and Teacher Compensation."

By Allan Odden.
In Susan H. Fuhrman and Jennifer A. O'Day (Eds.), *Rewards and Reform: Creating Educational Incentives that Work* (pp. 226-256).
San Francisco: Jossey-Bass. (1996).

This paper argues that the incentives in the teacher compensation system work best when they are aligned with the broader organizational goals and work to directly reinforce those goals. Current systemic reform efforts, such as the push to decentralize the management of schools, require a professional teaching force that has a wide array of curriculum, instructional, and decision-making skills. A new teacher compensation system, such as skill-based pay, could support the development of teacher knowledge in these areas.

**"The Kentucky School-Based Performance Award Program:
School-Level Effects."**

By Carolyn Kelley.
Paper originally presented at the American Educational Research Association annual conference held in Chicago, IL March 24-28, 1997. (1997).

Educational Policy, 12(3), 305-324. (May 1998).

fiscal year (October through September).

(2) The first annual aggregate report shall be submitted no later than December 31, 1997, and every twelve months thereafter.

(3) Biennial reports to Congress by the Secretary shall include the information listed in Sec. 98.71(b).

(c) Tribal Annual Report--

(1) Tribal Lead Agencies that receive assistance under CCDF shall prepare and submit to the Secretary an annual aggregate report.

(2) The report shall be submitted in the manner specified by the Secretary by December 31 of each year and shall cover services for children and families served with CCDF funds during the preceding Federal Fiscal Year.

(3) Biennial reports to Congress by the Secretary shall include the information listed in Sec. 98.71(c).

Sec. 98.71 Content of reports.

(a) At a minimum, a State or territorial Lead Agency's quarterly case-level report to the Secretary, as required in Sec. 98.70, shall include the following information on services provided under CCDF grant funds, including Federal Discretionary (which includes any funds transferred from the TANF Block Grant), Mandatory, and Matching Funds; and State Matching and Maintenance-of-Effort (MOE) Funds:

(1) The total monthly family income for determining eligibility;

(2) County of residence;

(3) Gender and month/year of birth of children;

(4) Ethnicity and race of children;

(5) Whether the head of the family is a single parent;

(6) The sources of family income, from employment (including self-employment), cash or other assistance under the Temporary Assistance for Needy Families program under Part A of title IV of the Social Security Act, cash or other assistance under a State program for which State spending is counted toward the maintenance of effort requirement under section 409(a)(7) of the Social Security Act, housing assistance,

This study examines the implementation of the Kentucky school-based performance award program in 16 elementary, middle, and high schools in the fall of 1996. Distinct differences were found between award and non-award-winning schools. Alignment of school goals and resources, including curriculum, professional development, and principal leadership were key enabling conditions associated with award schools. The state intervention strategy for helping initially unsuccessful schools enabled these schools to develop organizational conditions associated with award-winning schools. The data suggest a model of teacher motivation that builds on previous research in education, and on expectancy, goal-setting, and contingency theories.

"Measurement Error or Meaningful Change? The Consistency of School Achievement in Two School-Based Performance Award Programs."

By Tony Milanowski.

Journal of Personnel Evaluation in Education, 12(4), 343-364.
(January 1999).

When measures such as student achievement scores are used to hold schools accountable, and in particular to identify some schools as eligible for rewards or sanctions, the reliability or dependability with which schools are classified as meeting or not meeting accountability goals, which in turn puts the fairness of school-based performance award programs based on these measures in doubt, and may reduce the motivational value of the rewards or sanctions provided. This paper describes the temporal consistency of school classification observed in the Kentucky, and secondarily, the Charlotte-Mecklenburg, North Carolina, school-based performance award programs. Using information obtained from the Kentucky Department of Education, the degree to which the observed temporal inconsistency of classification in Kentucky could be due to measurement error is evaluated. The paper concludes with a discussion of other potential reasons for the observed temporal inconsistency of school classifications.

"Linking Teacher Compensation to Teacher Career Development."

By Sharon Conley & Allan Odden.

Educational Evaluation & Policy Analysis, 17(2), 219-237. (1995, Summer).

Conley and Odden begin by stating that compensation for teachers based on knowledge and skills appears to offer advantages over both individual performance-based pay and job-based pay, including continuous opportunities for professional development, and enhancement of intrinsic rewards as well as extrinsic ones.

The authors review two sources of literature related to the development of teachers' skills and knowledge. The first is based on Lawler's conceptualization of depth, vertical, and horizontal knowledge and skills for private sector employees. The second draws upon the literature on career development for teachers. This includes Huberman's psychological life-cycle conception of teacher development, Fuller's sociological examination of patterns of concern of teachers, and Bacharach et alia's

assistance under the Food Stamp Act of 1977; and other assistance programs;

(7) The month/year child care assistance to the family started;

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(8) The type(s) of child care in which the child was enrolled (such as family child care, in-home care, or center-based child care);

(9) Whether the child care provider involved was a relative;

(10) The total monthly child care copayment by the family;

(11) The total expected dollar amount per month to be received by the provider for each child;

(12) The total hours per month of such care;

(13) Social Security Number of the head of the family unit receiving child care assistance;

(14) Reasons for receiving care; and

(15) Any additional information that the Secretary shall require.

(b) At a minimum, a State or territorial Lead Agency's annual aggregate report to the Secretary, as required in Sec. 98.70(b), shall include the following information on services provided through all CCDF grant funds, including Federal Discretionary (which includes any funds transferred from the TANF Block Grant), Mandatory, and Matching Funds; and State Matching and MOE Funds:

(1) The number of child care providers that received funding under CCDF as separately identified based on the types of providers listed in section 658P(5) of the amended Child Care and Development Block Grant Act;

(2) The number of children served by payments through certificates or vouchers, contracts or grants, and cash under public benefit programs, listed by the primary type of child care services provided during the last month of the report period (or the last month of service for those children leaving the program before the end of the report period);

(3) The manner in which consumer education information was provided

examination of teachers' decision making skills, from an organizational behavior perspective.

The features, advantages, and disadvantages of the single salary schedule (which ties pay to indirect indicators of skill expansion) and career development systems (which more directly relate pay to skills) are discussed. Next the authors describe three career ladder programs which base pay on professional skills and knowledge: Flowing Wells, AZ; Charlotte-Mecklenburg, NC; and Pocatello, ID. The Advanced Skills Teacher system in Australia is also described. Key components of these programs are incorporated in a model of a career development compensation structure. Finally, strategic considerations for aligning the pay system and the organizational goals are outlined.

"The Motivational Impact of School-Based Performance Awards."

By Kelley, Carolyn.

Journal of Personnel Evaluation in Education, 12(4), 309-326.
(January 1999).

This article examines the ways in which school-based performance award (SBPA) programs motivate teachers to modify or improve teaching practice. Qualitative and survey data from SBPA programs in Kentucky, Charlotte-Mecklenburg (North Carolina), Douglas County (Colorado), and Maryland suggest that SBPA programs motivate teachers largely by creating conditions that increase intrinsic rewards and focus teacher efforts, such as opportunities for professional collaboration, feedback on student performance, a clear goal focus, and alignment of organizational resources. Depending on the specific design, SBPA programs can also have negative consequences, such as increased teacher stress.

"Pay and Motivation for Teachers."

By Allan Odden & Jean Protsik.

Paper prepared for the CPRE Teacher Compensation Conference, September 26-28, 1995. Washington, DC. (1995, September).

This paper uses the literature on general theories of employee motivation and studies on teacher's work to anticipate teachers' motivational reactions to various incentive pay systems. Key variables related to teacher motivation include: clear goals and expectations; job enlargement, such as student counseling; job involvement, such as team curriculum development; quality of work, through high student achievement; opportunities for professional development; and salary levels. Based on these factors, the authors conclude that a skill-based pay system would support teacher motivation by encouraging continuous professional development targeted at improving classroom expertise and student achievement. Likewise, group-based performance award may be motivating to teachers by encouraging collaboration with colleagues and by setting clear goals for improving student achievement.

Paying Teachers for What They Know and Do: New and Smarter Compensation Strategies to Improve Schools.

to parents and the number of parents to whom such information was provided;

(4) The total number (without duplication) of children and families served under CCDF; and

(5) Any additional information that the Secretary shall require.

(c) At a minimum, a Tribal Lead Agency's annual report to the Secretary, as required in Sec. 98.70(c), shall include the following information on services provided through all CCDF tribal grant awards:

(1) Unduplicated number of families and children receiving services;

(2) Children served by age;

(3) Children served by reason for care;

(4) Children served by payment method (certificate/voucher or contract/grants);

(5) Average number of hours of care provided per week;

(6) Average hourly amount paid for care;

(7) Children served by level of family income; and

(8) Children served by type of child care providers.

Subpart I--Indian Tribes

Sec. 98.80 General procedures and requirements.

An Indian Tribe or tribal organization (as described in Subpart G of these regulations) may be awarded grants to plan and carry out programs for the purpose of increasing the availability, affordability, and quality of child care and childhood development programs subject to the following conditions:

(a) An Indian Tribe applying for or receiving CCDF funds shall be subject to all the requirements under this part, unless otherwise indicated.

(b) An Indian Tribe applying for or receiving CCDF funds shall:

(1) Have at least 50 children under 13 years of age (or such similar age, as determined by the Secretary from the best available data) in order to be eligible to operate a CCDF program. This

By Allan Odden & Carolyn Kelley.
Thousand Oaks, CA: Corwin Press. (1997).

This book takes a close look at the issue of teacher compensation, describing how the pay system currently works in most districts and how it can be improved through the application of a variety of new compensation strategies. Specific pay strategies discussed include skill-based pay, contingency pay, and group-based performance awards. The differences between traditional "pay for the job" systems and the more new "pay for the person" systems are explored, including their relationships to teacher motivation. The authors make the argument that a closer alignment of teacher pay to school organizational goals may be an effective way to improve school, teacher, and student performance.

You may purchase this book through Amazon.com or Barnesandnoble.com

Psychometrics of PRAXIS III: Classroom Performance Assessments.

By Carol Anne Dwyer. *Journal of Personnel Evaluation in Education*, 12 (2), 163-187. (1998).

The article describes the Praxis III assessment, an observation-based system for assessing the skills of beginning teachers that emphasizes teacher decision-making and the importance of student, school, and curricular context. The article also describes the principles and process of the assessment's design and construction, including the underlying conception of teaching, how this construct was operationalized, and how assessment criteria were developed. Additional issues in teacher performance assessments including whether such assessments should reflect current practice or lead it, the balance between assessment of practical and theoretical knowledge, and the role of assessor judgment, are discussed.

"The Politics of Compensation Reform: A Colorado Case Study."

By David Wakelyn.
Paper prepared for the Annual Meeting of the American Educational Research Association, New York City. (1996, April).

This paper describes the recent changes in Colorado's compensation laws, which encourage local school districts to experiment with and design alternative pay plans. The lesson learned in Colorado should provide guidance for other states hoping to make similar changes in the way teachers are paid.

"Redesigning Teacher Salary Systems for Educational Reform."

By William A. Firestone.
American Educational Research Journal, 31(3), 549-574. (1994, Fall).

Two recent developments - the movement making education more outcome-orientated and the movement toward restructuring and site-based management - suggest that the salary system for teachers may

limitation does not preclude an Indian Tribe with fewer than 50 children under 13 years of age from participating in a consortium that receives CCDF funds; and

(2) Demonstrate its current service delivery capability, including skills, personnel, resources, community support, and other necessary components to satisfactorily carry out the proposed program.

(c) A consortium representing more than one Indian Tribe may be eligible to receive CCDF funds on behalf of a particular Tribe if:

(1) The consortium adequately demonstrates that each participating Tribe authorizes the consortium to receive CCDF funds on behalf of each Tribe or tribal organization in the consortium; and

(2) The consortium consists of Tribes that each meet the eligibility requirements for the CCDF program as defined in this part, or that would otherwise meet the eligibility requirements if the Tribe or tribal organization had at least 50 children under 13 years of age; and

(3) All the participating consortium members are in geographic proximity to one another (including operation in a multi-State area) or have an existing consortium arrangement; and

(4) The consortium demonstrates that it has the managerial, technical and administrative staff with the ability to administer government funds, manage a CCDF program and comply with the provisions of the Act and of this part.

(d) The awarding of a grant under this section shall not affect the eligibility of any Indian child to receive CCDF services provided by the State or States in which the Indian Tribe is located.

(e) For purposes of the CCDF, the determination of the number of children in the Tribe, pursuant to paragraph (b)(1) of this section, shall include Indian children living on or near reservations, with the exception of Tribes in Alaska, California and Oklahoma.

(f) In determining eligibility for services pursuant to Sec. 98.20(a)(2), a tribal program may use either:

also need reform. This article begins with a review of the single salary schedule and recent reforms such as merit pay and career ladders, which have generally had a debilitating effect on teachers. Three alternative compensation systems that hold more promise are described and analyzed in terms of the organizational changes that would be required for schools to secure the most benefit from these systems. These alternative approaches - skill-based pay, job enlargement, and collective incentives - differ substantially in the amount of change they would require from the current system and in the number and difficulty of the design issues they present.

"Reinventing Teacher Compensation Systems."

By Carolyn Kelley & Allan Odden.
CPRE Finance Brief (F-06-September). Madison, WI: Consortium
for Policy Research in Education. (1995).

This article provides a short history of changes in teacher compensation over the last century and a discussion of key organizational and educational changes today that could be reinforced by a new teacher compensation structure. It also suggests some new teacher pay elements and a set of principles states and districts could follow if they are working to redesign teacher compensation. The article also includes descriptions of new teacher compensation programs in Kentucky, South Carolina, Colorado, and Dallas, Texas.

"Restructuring Teacher Compensation Systems."

By Allan Odden & Sharon Conley.
In Allan Odden (Ed.), *Rethinking School Finance: An Agenda for the 1990s* (pp. 41-96). San Francisco: Jossey-Bass. (1992).

The article delineates advantages and disadvantages of pay for the job versus skill based pay, career ladders, merit pay, gainsharing, and organization-based performance pay. The overall consensus is that schools should pay for directly demonstrated skills and knowledge, rather than education and experience. The most effective teachers value professional development, and the most effective schools have high levels of teacher involvement in decision-making and high level of collaboration among the teachers and administrators.

"Risk and Reward: Perspectives on the Implementation of Kentucky's School-Based Performance Award Program."

By Carolyn Kelley & Jean Protsik.
Educational Administration Quarterly, v. 33, n. 4, pp.474-505.
(1997).

This study provides a qualitative analysis of the Kentucky school-based performance award program. Teachers and principals at six award-winning Kentucky schools reported attitudes and behaviors consistent with expectancy, goal-setting, and contingency theories. The study suggests that teachers were motivated by the program to modify teaching approaches to enhance student performance. The program also

- (1) 85 percent of the State median income for a family of the same size; or
- (2) 85 percent of the median income for a family of the same size residing in the area served by the Tribal Lead Agency.

Sec. 98.81 Application and Plan procedures.

(a) In order to receive CCDF funds, a Tribal Lead Agency shall apply for funds pursuant to Sec. 98.13, except that the requirement at Sec. 98.13(b)(2) does not apply.

(b) A Tribal Lead Agency shall submit a CCDF Plan, as described at Sec. 98.16, with the following additions and exceptions:

(1) The Plan shall include the basis for determining family eligibility pursuant to Sec. 98.80(f).

(2) For purposes of determining eligibility, the following terms shall also be defined:

(i) Indian child; and

(ii) Indian reservation or tribal service area.

(3) The Tribal Lead Agency shall also assure that:

(i) The applicant shall coordinate, to the maximum extent feasible, with the Lead Agency in the State in which the applicant shall carry out CCDF programs or activities, pursuant to Sec. 98.82; and

(ii) In the case of an applicant located in a State other than Alaska, California, or Oklahoma, CCDF programs and activities shall be carried out on an Indian reservation for the benefit of Indian children, pursuant to Sec. 98.83(b).

(4) The Plan shall include any information, as prescribed by the Secretary, necessary for determining the number of children in accordance with Secs. 98.61(c), 98.62(c), and 98.80(b)(1).

(5) Plans for those Tribes specified at Sec. 98.83(f) (i.e., Tribes with small grants) are not subject to the requirements in Sec. 98.16(g)(2) or Sec. 98.16(k) unless the Tribe chooses to include such services, and, therefore, the associated requirements, in its program.

appears to have created relatively high levels of stress among teachers.

"School-Based Performance Award Designs: A Case Study."

By Allan Odden, Herbert Heneman, David Wakelyn and Jean Protsik.

Paper presented at the American Educational Research Association annual conference held March 24-28, 1997 in Chicago, Illinois. (1996).

This paper discusses a template of the key issues that need to be addressed when states or school districts design school-based performance award programs. The template in part draws upon expectancy theory and related research as a framework for identifying the key issues. The template of issues is then used to discuss the performance award programs that are being used in the state of Kentucky and the district of Charlotte-Mecklenburg. Finally, the template is used to describe and assess the design decisions made by administrative and union representative from one state and six districts that participated in a series of design meetings organized by the Consortium for Policy Research in Education's Teacher Compensation Project.

PDF Full Paper Version

"Teacher Attitudes About Teacher Bonuses Under School-Based Performance Award Programs."

By Heneman, Herbert G., III. and Tony Milanowski.
Journal of Personnel Evaluation in Education, 12 (4) 327-342.
(January 1999).

The present study examines several attitudes of teachers working under school-based performance award programs in which they received monetary bonuses if their school met or exceeded measurable student achievement goals. Teachers in Kentucky and Charlotte-Mecklenburg rated the desirability of receiving a bonus and sixteen other extrinsic and intrinsic outcomes. Factor analysis collapsed these into factors labeled Goal Attainment Rewards (includes the bonus outcome), Learning, Sanctions, and Stress. Outcomes in the first two factors received high desirability ratings while outcomes in the latter two factors were rated low in desirability. In separate analyses, Kentucky teachers reported a relatively low level of motivation by the bonus program and a low desire to see the program continue but neither more, nor less, likely to want to withdraw from the program through turnover or job transfer. Regression analyses revealed these attitudes to be a function of degree of satisfaction with base salary, the likely value of the bonus, and several aspects of the fairness of the bonus itself and of the bonus program. It was concluded that while bonuses for goal achievement have high motivational potential, this could be offset by the occurrence of multiple undesirable outcomes from the program and by a lack of careful program planning, design, and administration.

"Teacher Compensation and Organization."

By Carolyn Kelley.

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(6) The Plan is not subject to requirements in Sec. 98.16(f)(8) or Sec. 98.16(g)(4).

(7) In its initial Plan, an Indian Tribe shall describe its current service delivery capability pursuant to Sec. 98.80(b)(2).

(8) A consortium shall also provide the following:

(i) A list of participating or constituent members, including

demonstrations from these members pursuant to Sec. 98.80(c)(1);

(ii) A description of how the consortium is coordinating services on behalf of its members, pursuant to Sec. 98.83(c)(1); and

(iii) As part of its initial Plan, the additional information required at Sec. 98.80(c)(4).

(c) When initially applying under paragraph (a) of this section, a Tribal Lead Agency shall include a Plan that meets the provisions of this part and shall be for a two-year period, pursuant to Sec. 98.17(a).

Sec. 98.82 Coordination.

Tribal applicants shall coordinate as required by Secs. 98.12 and 98.14 and:

(a) To the maximum extent feasible, with the Lead Agency in the State or States in which the applicant will carry out the CCDF program; and

(b) With other Federal, State, local, and tribal child care and childhood development programs.

Sec. 98.83 Requirements for tribal programs.

(a) The grantee shall designate an agency, department, or unit to act as the Tribal Lead Agency to administer the CCDF program.

(b) With the exception of Alaska, California, and Oklahoma, programs and activities shall be carried out on an Indian reservation for the benefit of Indian children.

Educational Evaluation and Policy Analysis, 19(1), 15-28. (1997).

Traditionally, teacher compensation has been viewed in isolation from other components of organizational reform. This paper examines changes in dominant models of schooling over time using organizational lens. The six models examined include scientific management, humanistic/specialization, effective schools, content-driven, high standards/high involvement, and virtual schools. Teacher compensation is examined as a piece of the organizational system to see how compensation has or has not kept up with changes in schools as organizations. New models of compensation are proposed, which better mesh with current and potentially future conceptualizations of schools and teachers.

"The Victoria, Australia Approach to School Site Management."

By Allan Odden & Eleanor Odden.

Madison, WI: Consortium for Policy Research in Education,
University of Wisconsin-Madison. (1996, June).

In Victoria, a state within Australia, efforts began to decentralize power and authority to the school site in the late 1960s. Progress in decentralization continued and by 1993 "Schools of the Future" was proposed to require full decentralization with virtually full authority over the budget and personnel functions at the school site. The paper describes and examines implementation issues relating to: 1) school governance and the school charter specifying curriculum, school environment (student support, school organization, resource allocation and use) and accountability goals; 2) Department of School Education (DSE) reorganization; 3) state curriculum and standards frameworks; 4) assessment; 5) professional development; 6) school based information systems; and 7) teacher and principal compensation and career structure. Budget requirements supportive of greater decentralization are also included.

Non-CPRE**"Recruitment, Selection, and Retention: The Shape of the Teaching Workforce"**

By Phillip C. Schlechty and Victor S. Vance.

The Elementary School Journal, 83 (4) 469-487. (1983).

This article discusses the quality of the teaching force and what can be done to improve teacher education. First, the authors cite data that teachers' average standardized test scores (SAT and NTE) have been in decline since the 1960s. Overall, they feel that the decline is due to a reduced number of students choosing to enter the teaching profession and a tendency for the most academically gifted, especially women, to enter other fields. For those who do choose teaching, the strongest academic candidates leave teaching earlier. This problem with retention, the authors state, is reflective of four school characteristics: 1) Salary increases which mainly come in the first third of the teacher's working life; 2) Lack of significantly different career stages within teaching; 3) Lack of site-based management and shared decision-making opportunities; and 4) School

(c) In the case of a tribal grantee that is a consortium:

(1) A brief description of the direct child care services funded by CCDF for each of their participating Tribes shall be provided by the consortium in their two-year CCDF Plan; and

(2) Variations in CCDF programs or requirements and in child care licensing, regulatory and health and safety requirements shall be specified in written agreements between the consortium and the Tribe.

(3) If a Tribe elects to participate in a consortium arrangement to receive one part of the CCDF (e.g., Discretionary Funds), it may not join another consortium or apply as a direct grantee to receive the other part of the CCDF (e.g. Tribal Mandatory Funds).

(4) If a Tribe relinquishes its membership in a consortium at any time during the fiscal year, CCDF funds awarded on behalf of the member Tribe will remain with the tribal consortium to provide direct child care services to other consortium members for that fiscal year.

(d) Tribal Lead Agencies shall not be subject to the requirements at Secs. 98.41(a)(1)(i), 98.44(a), 98.50(e), 98.52(a), 98.53 and 98.63.

(e) The base amount of any tribal grant is not subject to the administrative cost limitation at paragraph (g) of this section or the quality expenditure requirement at Sec. 98.51(a). The base amount may be expended for any costs consistent with the purposes and requirements of the CCDF.

(f) Tribal Lead Agencies whose total CCDF allotment pursuant to Secs. 98.61(c) and 98.62(b) is less than an amount established by the Secretary shall not be subject to the following requirements:

(1) The assurance at Sec. 98.15(a)(2);

(2) The requirement for certificates at Sec. 98.30(a) and (d); and

(3) The requirements for quality expenditures at Sec. 98.51(a).

(g) Not more than 15 percent of the aggregate CCDF funds expended by the Tribal Lead Agency from each fiscal year's (including amounts used for construction and renovation in accordance with Sec. 98.84, but not including the base amount provided under Sec. 98.83(e)) shall be expended for administrative activities. Amounts used for construction

administrators who promote an overly bureaucratic management structure in what is an otherwise nurturing work culture.

In terms of teacher education, Schlechty and Vance claim that the current system gives universities far too much control over the quality of the teaching force, when they lack a vested interest in improving instructional quality. The authors believe the most effective way to teach teachers is to put them in the classroom and give them practical experience. They therefore recommend eliminating university teacher education programs, and suggest allowing bachelor's degree recipients to enter individual school-based teacher education programs.

"Incentives for Teachers: What Motivates, What Matters"

By Susan Moore Johnson.

Educational Administration Quarterly, 22 (3) 54-79. (1986, Summer).

Johnson presents an interesting discussion of intrinsic (pride in work, efficacy) and extrinsic rewards (money, prestige) and how successful each is in motivating teachers. While money was found to be important in inducing teachers to join and remain in the profession, intrinsic rewards were far more important in improving teachers' job performance and effectiveness in the classroom. The article discusses merit pay and career ladder programs, and why both have been unsuccessful as alternative compensation schemes. Finally, she notes that successful schools placed a high value on collegiality and continuous improvement.

"Paying for Knowledge: Myths and Realities"

By Nina G. Gupta, Douglas Jenkins, Jr. and William P. Curington.

National Productivity Review, 5 (2) 107-123. (Spring 1986).

This article reports the results of two national surveys conducted by the authors, regarding pay for knowledge plans. The first survey involved phone interviews with the senior personnel officers at 154 corporations. Twelve of these (7.8%) said they had a pay for knowledge plan operating in at least one of their plants. The second survey gathered information from 19 of these plants about their experiences with the pay for knowledge system. The article includes 11 tables displaying the results. Overall, most plants are supportive of the pay for knowledge plan and believe it has improved productivity in the workplace.

"The Professional Life Cycle of Teachers"

By Michael Huberman.

Teachers College Record, 91 (1) 31- 56. (Fall 1989).

Huberman argues that the professional development of teachers is consistent with the literature on general life cycle career development. Overall, there are five phases that play out over a teacher's career. In years 1-3, teachers go through a period of "survival" and "discovery." The survival phase involves the shock of confronting the complexity of the teaching profession. The discovery aspect involves the enthusiasm of having one's own classroom, students, and instructional program. In years 4-6, teachers enter a period of stabilization. They feel a

and major renovation in accordance with Sec. 98.84 are not considered administrative costs.

(h)(1) CCDF funds are available for costs incurred by the Tribal Lead Agency only after the funds are made available by Congress for Federal obligation unless costs are incurred for planning activities related to the submission of an initial CCDF Plan.

(2) Federal obligation of funds for planning costs, pursuant to paragraph (h)(1) of this section is subject to the actual availability of the appropriation.

Sec. 98.84 Construction and renovation of child care facilities.

(a) Upon requesting and receiving approval from the Secretary, Tribal Lead Agencies may use amounts provided under Secs. 98.61(c) and 98.62(b) to make payments for construction or major renovation of child care facilities (including paying the cost of amortizing the principal and paying interest on loans).

(b) To be approved by the Secretary, a request shall be made in accordance with uniform procedures established by program instruction and, in addition, shall demonstrate that:

(1) Adequate facilities are not otherwise available to enable the Tribal Lead Agency to carry out child care programs;

(2) The lack of such facilities will inhibit the operation of child care programs in the future; and

(3) The use of funds for construction or major renovation will not result in a decrease in the level of child care services provided by the Tribal Lead Agency as compared to the level of services provided by the Tribal Lead Agency in the preceding fiscal year.

(c)(1) Tribal Lead Agency may use CCDF funds for reasonable and necessary planning costs associated with assessing the need for construction or renovation or for preparing a request, in accordance with the uniform procedures established by program instruction, to spend CCDF funds on construction or major renovation.

connection to the professional community, feel more at ease with the instructional process, and are able to integrate their personality and style into their instructional repertoire.

In years 7-18, teachers either enter a period of experimentation/activism, or hit a mid-career crisis. Experimentation is characterized by "pedagogical tinkering" in an attempt to increase impact on student learning. Teachers may also become more active in school politics. On the other hand, some teachers (up to 40% in this study) begin to take stock of their career in this period, and consider leaving teaching.

Years 19-30 are characterized by either "serenity" or "conservatism."

Serene teachers make a fluid shift to a more mechanical, relaxed, self-accepting style of teaching. Conservative teachers tend to complain a lot about the new generation of students and the negative public image of educators.

Finally, in years 31-40, teachers reach a stage of disengagement from the profession. This is a gradual shift away from teaching and towards more personal pursuits.

"The South Carolina School Incentive Reward Program: A Policy Analysis"

By Craig E. Richards and Tian Ming Sheu.

Economics of Education Review, 11 (1) 71-86. (1992).

This article describes the South Carolina School Incentive Reward Program, initially established by the Education Improvement Act of 1984. The reforms were paid for by a one cent sales tax increase. Schools in this program compete with similar schools in the same comparison band, which is based on the percent of students receiving free and reduced price lunches, teachers' education level, per pupil spending, and standardized test scores. Overall, approximately 25% of schools receive awards for improving student achievement, and student and teacher attendance. Award monies must be spent on instructional programs. The program is considered effective in that the schools that have gained the most are in poorer districts.

"Teacher Compensation and Teacher Teaming: Sketching the Terrain"

By Donna E. Muncey and Sharon Conley.

Journal of Personnel Evaluation in Education, 12 (4) 365-386. (1999, January).

Many recent educational reform and school improvement initiatives have asserted the importance of teachers working in groups. However, it is not clear what organizational redesign has occurred to support a shift to team or group-based work. This article examines one such organizational shift, changes in teacher compensation, that might accompany organizational redesign arranged to support teacher work groups. The article describes a continuum of possible options for teacher compensation in teacher teaming arrangements. Three interrelated aspects of teaming and compensation are considered: the relationship of teaming to teachers' overall work, the investment a school or a district might make to accomplish the teaming in education, and the degree to which the team aims to increase self-management and self-governance (Hackman, 1986). Some implications of these options for personnel evaluation are also discussed.

(2) A Tribal Lead Agency may only use CCDF funds to pay for the costs of an architect, engineer, or other consultant for a project that is subsequently approved by the Secretary. If the project later fails to gain the Secretary's approval, the Tribal Lead Agency must pay for the architectural, engineering or consultant costs using non-CCDF funds.

(d) Tribal Lead Agencies that receive approval from the Secretary to use CCDF funds for construction or major renovation shall comply with the following:

(1) Federal share requirements and use of property requirements at 45 CFR 92.31;

(2) Transfer and disposition of property requirements at 45 CFR 92.31(c);

(3) Title requirements at 45 CFR 92.31(a);

(4) Cost principles and allowable cost requirements at 45 CFR 92.22;

(5) Program income requirements at 45 CFR 92.25;

(6) Procurement procedures at 45 CFR 92.36; and;

(7) Any additional requirements established by program instruction, including requirements concerning:

(i) The recording of a Notice of Federal Interest in the property;

(ii) Rights and responsibilities in the event of a grantee's default on a mortgage;

(iii) Insurance and maintenance;

(iv) Submission of plans, specifications, inspection reports, and other legal documents; and

(v) Modular units.

(e) In lieu of obligation and liquidation requirements at Sec. 98.60(e), Tribal Lead Agencies shall liquidate CCDF funds used for construction or major renovation by the end of the second fiscal year following the fiscal year for which the grant is awarded.

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(f) Tribal Lead Agencies may expend funds, without requesting

DRAFT

December 1, 1999

MEMORANDUM FOR BRUCE REED

FROM: Andrew Rotherham
J.B. Buxton
Bethany Little
Kendra Brooks

SUBJECT: FY01 BUDGET IDEAS

This is a more detailed view of education related budget initiatives for the President's FY2001 budget request. An overview of the initiatives and more detailed explanations are included. Many of these ideas are still being fully developed, but this memo should give you an idea of where we are.

These initiatives can be considered in three categories, existing budget priorities, proposals from our Elementary and Secondary Education Act (ESEA) reauthorization proposal that should be included in this year's budget request, and new Presidential initiatives.

Existing Budget Priorities:

Class Size: We recommend no policy changes and an expansion of funding to continue on path to 100,000 teachers.

After-School: We recommend changing the policy to allow community-based organizations (including faith-based) to apply for and be the primary fiscal agent for a program so long as it is based at a school site. We also recommend an increase in funding so that programs reach a million students. *A more detailed description is included.*

Charter Schools: We recommend expanding funding to support 3,000 charter schools. OMB estimates that this requires approximately \$150 million over FY00 enacted levels.

ESEA Proposals For The Budget:

Title I and Title I Accountability: We recommend increasing the set-aside for Title I accountability to \$250 million to highlight the importance of this initiative during ESEA reauthorization and a comparable increase to the basic grants. In addition, the public

school choice component of the provision agreed to as part of the budget negotiations should be included along with the original accountability language we proposed in the FY00 request and our ESEA reauthorization proposal.

Teaching to High Standards: The President's ESEA reauthorization proposal would consolidate Goals 2000, the Eisenhower Professional Development Program, and Title VI into a standards based reform grant program. We recommend that the FY01 budget request reflect this proposal. At their FY00 enacted levels the Eisenhower program and Goals 2000 are a combined \$ 830 million. Although the Administration does not recommend funding the Title VI program in its budget request, the Teaching to High Standards initiative should reflect an inclusion of current Title VI funding (\$380 million FY00) and be funded at a minimum of \$1.21 billion.

Public School Choice OPTIONS Proposal: \$30 million The OPTIONS initiative is part of the President's ESEA reauthorization proposal. The initiative would create a grant program that would fund the demonstration, development, implementation, evaluation and dissemination of information of innovative public school choice projects. Funded projects would focus on areas such as new choice options for students within districts, partnering choice schools with other schools to disseminate information and stimulate improvement, and overcome barriers to choice. The request covers \$28 million for approximately 40 new grants \$1.3 million for evaluation, and \$200,000 for peer review.

School Report Cards and Rewards for Performance: \$50 million. The President's ESEA proposal requires states to have easy to understand report cards on school, school districts and state performance. As public school choice expands it is important that parents have access to high quality, objective, and understandable information about schools. A common criticism of our report card requirement is that it is an unfunded mandate to states. By providing seed money to help states and localities develop report cards we undermine this argument. States that have already developed report cards could use the funding for dissemination.

The President's ESEA proposal contained language-authorizing rewards for performance. No dollar amount was specified. We are developing a proposal to attach money to this language in the budget and determine performance indicators for rewards.

A more detailed description of both proposals is included.

Troops to Teachers: \$18 million in FY00. The Troops to Teachers program was created in 1994 to help improve public school education by injecting the talent, skills, and experience of military service members and other federal civilian personnel into high-poverty schools. Recent studies have found that a significant number of mid-career professionals who possess strong subject matter skills are interested in beginning a teaching career-this program taps this valuable resource.

The new proposal will continue the recruiting, preparing and supporting retired military

personnel as teachers in high-need subject areas and school districts. It will also support similar programs for other midcareer professionals by awarding grants to public agencies, institutions of higher education, and nonprofit organizations to recruit, prepare, and support career-changing professionals from diverse fields whose knowledge and experience could help them become successful teachers. This is part of our ESEA proposal and should be included in the budget. *A more detailed description is included.*

Presidential Initiatives:

Pay for Performance—\$20 million. This initiative is designed to complement the commitment laid out in the Action Plan from the 1999 National Education Summit to pilot pay-for performance initiatives in 10 states or school districts. The initiative would support, “Denver” style pay-for-performance initiatives in which all teachers receive an initial bonus for participating and additional rewards based on performance. Denver did participation by school with at least an 85 percent affirmative from school staff required for a school to participate. We should leave details of this nature up to the local districts that participate but require at least the participation of 250 teachers and cap participation at 500 per site. While large school districts are the obvious targets for grants of this type, partnerships of smaller school districts that meet the threshold should also be eligible.

With guaranteed bonuses of \$500 for participation and assuming that all-10 sites enroll the maximum of 500 teachers, the bonus component will cost \$2.5 million. For an additional \$12.5 million we can support pay incentives for performance of up to \$2500 per participation teachers for a total program cost of \$15 million. In addition, an administrative set-aside will have to be provided to each grantee for program implementation and at least an additional \$2 million should be included for promotion to attract potential grantees and rigorous evaluation of programs. *A more detailed description is included.*

Teacher recruitment: OMB is developing a teacher recruitment piece and NEC is examining a proposal by Representative Miller to increase teacher pay through federal tax-exemptions for teachers working in high-need communities. It is important that these proposals are linked to the pay for performance initiative.

Fund for Future Schools-- \$50 million given out by competitive grant for innovative regional, state, and local ideas that require upfront infusions of funding. As opposed to school-based only reforms these resources would be for structural changes at the school district, state, and/or regional level as well. For example, a school district could apply for funding to help implement one of the governance models proposed in the recent ECS report, conduct a full service “Saturday” school to help students who need extra assistance, or rework the senior year of high school to focus on service learning. States or regional cooperatives could apply for funding for larger scale innovations such as college preparatory academies, innovative partnerships, or pioneering governance models.

Grant awards would be given out by an independent bipartisan board. Grant size and

longevity would be determined by the board within broad parameters. Grant renewals would entail a step-down process for funding that would gradually transfer the program to fully state and local funding. Programs that don't meet performance indicators would not receive "step-down" funding. Essentially, the federal government would capitalize promising initiatives, capture data on their effectiveness, and disseminate information. Based on our series of meetings with school officials there are a number of projects which they would like to undertake but cannot for lack of start up funds. *A more detailed description is included.*

Small Schools: The FY00 Appropriations bill contains a \$45 million provision supported by Representative Obey for competitive grants to school districts to help them create smaller learning communities for students in large high schools using strategies such as creating schools within schools, establishing career academies, restructuring the school day and other innovations that allow schools to ensure that every student receives personal attention and support. We recommend funding this initiative in our budget at \$200 million. *A more detailed description is included.*

Distance Learning Initiatives to Support Access to Challenging High School Coursework:

Total Budget Amount (excluding E-Rate) \$665 million

This would be a package of initiatives which would endeavor to help every state develop a Virtual High School entity to harness the power of technology to ensure students everywhere access to a challenging high school curriculum. The package would: 1) ramp up existing programs in technology and 2) create a new partnership program with software companies to spur the development of high quality course content for web-based delivery in areas such as AP, "honors," English as a Second Language, and remedial reading and writing courses.

We have had initial discussions with APEX, which creates and sells web-based AP courses, about subsidizing the cost of R&D in return for cutting in half the cost of their software for poor districts. They are sending along some paper on their commitment.

Funding Specs:

<u>Program</u>	<u>FY2000</u>	<u>FY2001 Proposed</u>
E-Rate	\$2.25 billion	Maintain
Teacher Technology Training	\$75 million	\$125 million
Technology Literacy Challenge Fund	\$425 million	\$525 million
Partnership Program with Industry	New	\$15 million

A more detailed description is included.

School Leadership Institutes: \$20 million. Recognizing that without high quality school leadership, school reform is impossible the federal government would provide

seed money to establish school leadership institutes. The Department of Education would fund a competitive grant program that would provide seed/capacity-building funds to for state or regional school leadership academies. Multi-year grants would be made to nonprofit partnerships composed of alliances of business groups, education stakeholders, and other relevant partners for example existing nonprofits or the armed services. The nonprofit entities would be focused on training for existing school leaders and recruitment and training of new school leaders including non-traditional candidates.

Administration would partner with/challenge a foundation (ideally Carnegie Commission) to put together a National Commission on School Leadership. There is a lot of disconnected work being done in the field and this could help bring it together, serve as a think tank, and focus national attention on this issue. **Amount: \$1 million**

More detailed descriptions of both proposals are included.

Test Prep for Minorities: \$25 million would fund 350 sites at \$70,000 per site. To avoid ineffective programs, grantees would have to partner with a private for profit or non-profit test-prep service and offer course of sufficient duration and rigor as to be effective. Details of the NAACP proposal are sketchy and we are tracking down more information. *A more detailed description is included.*

SYNOPSIS OF KEY INITIATIVES

Putting the Community into the 21st Century Community Learning Centers Program:

Allowing Community-Based Organizations to Receive Federal Funds for After-School Programs

Summary

This proposal amends the grant program for the 21st Century Community Learning Centers grant program to allow non-profit community-based organizations (CBOs)—including faith-based organizations—to serve as the grantee for programs operated at a public school site in partnership with that public school. This change would recognize the central role that CBOs can play in delivering services to school, spurring innovative practices, and creating greater community involvement in the local school throughout the school year. The grant criteria would also be amended to require a clear academic focus. These changes would be made at no expense to the federal government.

Background and Rationale for Initiative

The 21st Century Community Learning Centers provides grants to public schools to offer opportunities for extended learning time to students and community members. The program has evolved into essentially an after-school and summer school program.

Although public schools are required to partner with CBOs, Cobs can not receive direct funding from the federal government to run the programs. The Administration's current ESEA reauthorization proposal would allow up to 10% of funds in a given year to be awarded to nonprofit Cobs.

Our proposal would allow any and all funds to be granted to nonprofit Cobs, including faith-based organizations, but it would require that the programs be run at public schools and that Cobs be in partnership with that public school. This will allow organization with exceptional track records to benefit the children and families of local public schools by granting them access to direct contracts and federal dollars to run programs in partnership with local public schools. Such a scenario preserves the operation of after-school programs at public schools and allows those schools to tap any local expertise in running such programs.

Spurins

The following points underscore the added value in funding Cobs to run programs at public school sites:

Why allow Cobs to run programs?

- **Experience.** Cobs are running after-school programs across the country. In fact, CBOs have more experience running after-school programs than do public schools. In places like New York, they are running programs at public schools. CBOs have also demonstrated their capabilities to run programs in the public interest in their running of Head Start operations.
- **Understand Children's Needs.** CBOs are local entities with experience working to support the needs of children, families and/or the community on a variety of issues and through multiple strategies.
- **Offer New Educational Approaches.** Involving CBOs increases the likelihood that the programs will enrich the school culture by introducing promising new educational and child development practices. CBOs can provide a new vision for educational enrichment and change in schools that have difficulty looking beyond current practices.
- **Improve Connection with Parents.** CBOs generally have built better relationship with school parents than the local public schools. These relationships can help enhance the connection between schools and parents for the regular school program.
- **Connections to the Community and Capital.** Nonprofits—be they social service organizations, educational entities, advocacy groups, or faith-based organizations—can bring connections to the business, philanthropic and nonprofit sector that many schools often lack.
- **Personnel Issues.** With CBOs as the grantees, the hiring of instructors for after-school will be more flexible and less tied to union bargaining agreements (where applicable). This will dramatically reduce costs for personnel and more easily allow non-traditional personnel for areas like the arts, sports and other curricular areas.

Why require programs to be run at public schools?

- **Appropriate to Location and Program Needs.** Public schools are the logical place to operate after-school programs, given the projected scale of the initiative, its educational agenda, and goal of connecting the regular school day with extended activities.
- **Licensing Requirements.** School buildings, mostly underutilized after 3:00 p.m., meet all public childcare-licensing requirements.
- **Facilities.** Public schools generally provide more access to things such as science equipment, computer technology, and libraries than do CBO facilities.
- **Convenience.** School based programs are convenient for parents, who do not have to worry about transporting their children to other sites.
- **Connecting After-School to Regular School.** School-based after-school programs seem to stand the best chance of connecting the school day with after-school learning activities, thereby creating an expanded platform for learning and supporting children's efforts to reach high academic standards.

The Track Record with CBOs

Head Start provides a good track record for the capacity of CBOs to run educational programs for children. Head Start grantees may be public or private, for-profit or nonprofit organizations or public school systems. The grantees are accountable for certain administrative, fiscal and program expectations and requirements. In the area of after-school, CBOs are running programs for school-age children across the country. In New York City, CBOs are receiving public and private funding to run programs at schools. For example, The After-School Corporation provides funding for 85 programs that are run by CBOs at public schools and the Virtual Y program offers after-school programs at over 200 New York City schools.

Initiative Design: Allowing CBOs to Compete for 21st Century Grant Funds

A redesigned 21st Century Community Learning Centers grant program would operate as follows:

- The grant competition would be opened up to allow CBOs, in partnership with public schools, to compete for any and all of the program funding.
- To be eligible for a grant award, programs must be run at public school sites.
- CBOs awarded a grant would have to demonstrate administrative, financial and program accountability for funds received (much in the same way public school recipients do now).
- Schools or CBOs that wish to terminate their relationship and their grant funds may do so (in the case that goals and efforts are incompatible).
- Private companies could be partners with CBOs or schools, but would not be eligible to receive direct grants.
- Grants would be required to have a clearer focus on academic achievement than in the current 21st Century program.

Cost

This amendment to the 21st Century Grant Program would not create additional costs, with the possible exception of auditing issues. That is, there may be more administrative work in ensuring fiscal propriety with independent CBOs than with district schools.

Possible Critiques of the Initiative

Critique: *CBOs won't guarantee a focus on academic learning.* Some people in the education community believe that CBOs bring a focus on the social development of children than the academic development—CBOs “in charge” of programs will dilute their academic content.

Response: Requiring CBOs to partner with public schools will lead to a collaboratively-developed program that will reflect a school's needs for enhancing student performance in core academic subjects. If problems develop in the program, the grant can be terminated for non-compliance or incompatibility between grant partners.

Critique: *CBOs will be hard to monitor and assess.* It will be difficult to judge a grantees capacity for managing a large grant—especially if it were to represent a substantial part of their budget. In addition, DOE has expressed some reservation about the process for auditing CBOs as a part of financial compliance checks.

Response: The Head Start program should be able to offer processes and mechanisms for ensuring the capacity of CBOs.

Critique: *Including faith-based organizations will essentially license state-sponsored religion.* By allowing faith groups to receive funds, the federal government will essentially condone faith-based instruction.

Response: By requiring programs to be located at public schools, faith-based groups can not infuse programs with faith-based content. Rather they will be bound by the Constitutional limits on public-funded activities (much like faith-based groups who receive Head Start funding).

Political Considerations

1. The proposal will engender opposition chiefly from the Department of Education, which doesn't want to have to deal with any more than the 10% number included in the ESEA reauthorization proposal. Liberal democrats who don't believe in allowing faith-based groups to receive federal funds will also oppose, but probably not strenuously given the requirement that programs be operated out of public schools.
2. The support for this will likely be soft, given that fiscal agent status is a little bit of inside baseball. That said, Republicans and New Democrats should support the proposal as a way to inject flexibility into the process and allow local communities to deploy best resources for the job. The Congressional Hispanic and Black Caucuses might line up behind this as their constituents will be likely to support and have confidence in CBOs and they are more likely to represent districts where schools need community

- help in developing new approaches to working with kids.
3. The proposal would run into politically rocky ground with the inclusion of private companies as eligible bidders and the contentious issue of firms making private profits from public funds. Private companies would be allowed to partner, however, with CBOs and/or public schools.

Rewards and School Report Cards

Background

The President's reauthorization proposal contains language authorizing the Secretary of Education to make rewards to states that have demonstrated significant statewide achievement gains in core subjects or have made progress in closing the achievement gap between low and high performing students, as measured by the NAEP for three consecutive years and have strategies for continuous improvement in place. The language is non-specific and no funding is attached.

Proposal

The statutory language in ESEA states that progress is measured by meeting National Assessment of Educational Progress (NAEP) standards for three consecutive years. This language is unworkable because the NAEP is not given every year in the same subject areas. The statutory language should be changed to allow the use of other nationally reliable standardized tests. For the first few years, rewards should also be given for states meeting or exceeding the performance criteria specified in the Education Accountability Act ahead of the statutory deadlines. This criteria includes curtailing out of field and uncertified teaching and having a plan in place to identify and turn around failing schools as specified in the President's 1999 ESEA reauthorization proposal. After the statutory deadlines for compliance with these provisions are reached the awards should become entirely performance based on overall score gains and closing the achievement gap. States that receive awards should have discretion over the use of the funds so long as they are used to improve education in the state's public schools and supplement not supplant existing efforts.

Cost:

The initial cost for rewards of this nature would be low as very few states would meet the threshold. \$10 million in the first two years, scaled up to \$50 million over 5 years would be adequate as performance awards are initiated.

Promoting Accountability and Awareness:

An Initiative to Provide Seed Funding to States for the Development and
Dissemination of School Report Cards

Summary

The President's ESEA reauthorization proposal requires states to develop report cards on school, district and state performance. As public choice expands and as schools and school systems become more accountable for their performance, it is important that parents have access to high quality, understandable and objective information about their public schools. A common criticism of our report card requirement is that it is an unfunded mandate on the states. This initiative would provide \$50 million in seed money to the states to support the development and/or dissemination of required report cards and to undermine the claim that the requirement represents an undue fiscal burden. Funding would be sent on a formula basis to all states.

Background and Rationale for Initiative

Title XI, Part B, The Education Accountability Act, of the President's ESEA reauthorization proposal includes a requirement that on an annual basis report cards on state, district and school-level performance are distributed to all parents and the public. Included on the report cards would be information on student achievement, teacher qualifications, class size, school safety, and, where appropriate, the academic achievement of ethnic and racial subgroups, students with limited English proficiency and students with disabilities in order to help ensure that schools and school systems are held accountable for the achievement of all students.

The State of Report Cards in the States

According to the most recent *Education Week* survey of the states, in 1999, 36 states will publish annual report cards on individual schools or require schools or districts to do so. Another 4 states are set to begin publishing them next year, and one more will join the pack in 2001.

However, the quality and character of these report cards vary tremendously. Although states have acted to develop report cards prior to the proposed federal requirement under our ESEA reauthorization, the quality of the report cards tend to match the vigor of the school reform effort within states. Some states report basic information on testing results only, some provide statistics with no explanation, and others offer detailed summaries of student achievement and performance levels and measures. At the same time, just as some states have been dragged to standards and accountability, they are also having to be dragged to the position of providing public and accessible information on the state of their schools. The political and educational landscape in a number of states is working against revealing too much about the status of school performance and student achievement.

Content. A look at the content of report cards throughout the states reveals the following:

- just over half of the report cards produced by states offers information on state tests scores, attendance rates, and dropout rates

- 14 states include information on Advanced Placement participation and achievement
- 17 states include information about school safety
- 16 states provide data on teacher qualifications.

Comparability. While the ability to compare school performance is critical to promoting awareness and accountability for schools and school systems, fewer than half the states provide information on such comparisons:

- 20 states allow a school's performance to be compared with a district's
- 25 allow comparisons between school and average state performance
- 17 provide comparative data on national performance where applicable
- 9 provide data showing how schools are doing with similar student populations.

Disaggregation. While federal law for Title I now requires the disaggregation of student performance by gender and racial and ethnic subgroups, only 1 state (Texas) makes this information a central feature of its report card.

Dissemination. In addition to the uneven quality of state and local report cards, dissemination of report card information to parents and the public is poor. Although 26 states will make report cards available electronically via the World Wide Web by this year, only 13 will require that parents receive them at home.

Costs. Expenses vary from state to state depending on the detail of the report and its format. Providence, RI, which provides detailed reports on schools that can run more than 30 pages, reports that per school costs reach \$7,000 to \$8,000. Louisiana, which provides state, district and school-level report cards, spent approximately \$550,000 on a contract with a management group to produce and disseminate the information (data collection is a separate cost).

Critics of the report card requirement have claimed that it represents an unfunded mandate on states and localities. By providing seed funding, we would undermine this claim and force opponents to debate the concept on merit and content, not cost. Further, the absence of funding support could lead to dual report card systems, whereby states and localities provide one set of federally-mandated data for schools receiving Title I funding, and another set for all other schools. This would weaken the accountability and comparability of schools and districts and would fall short of the goal to promote awareness and accountability on school performance among parents and the public.

DPC Proposal

Faced with a deadline in one year for the development of report cards, states and localities need support in the development and dissemination of easy-to-understand, yet comprehensive information for parents and the public on their public schools.

In the FY2001 budget, the Department of Education would distribute to states by formula

grant, funding to support the development and/or dissemination of report cards that meet the standard as agreed-upon in the reauthorized ESEA. States would use funds to defray the costs of development, including data collection and system requirements. States that have already developed satisfactory report cards or require less than the entire sum of their grant for development purposes would be allowed to use the funds for dissemination purposes, with the expectation that report cards go directly to parents and are easily accessed by the public. States can distribute money to local districts as appropriate.

Cost

The FY2001 budget would provide \$50 million on a formula basis to states for the development of required report cards and for dissemination. The formula would be developed based on such criteria as student population and numbers of schools and school districts.

Potential Criticisms of Current Approach

Critique: *Schools need support in many areas to improve performance and report cards does not represent the most effective way to provide needed resources.* In addition, some may argue that states should have the flexibility to decide where they need money to support our accountability requirements.

Response: In order to create a system with more accountability, good information on a variety of school performance measures must be able to compare schools on their achievement and progress. Report cards are a critical and necessary vehicle for communicating information about school performance and quality to parents.

Critique: *This initiative will subsidize efforts with report cards that were occurring in the absence of a federal mandate and is unnecessary.* Given that 41 states by 2001 will publish report cards prior to any federal mandate, this expenditure of money is providing support to states in an area where they are acting anyway. Better to use the money elsewhere to compel state action and progress.

Response: While states were acting to provide information on schools, it is of greatly uneven content and quality. It is in the interest of the federal government—and of parents and the public—to ensure that school, district and state report cards are developed and disseminated in way that spur accountability by increasing comparability and public understanding of school performance.

Political Considerations

1. By providing seed money to states and localities for report cards, we will undermine criticism that our ESEA requirement is an unfunded mandate and an undue burden. This will neutralize opposition on the basis of cost alone from both members of Congress and governors and clear the path for either acceptance of the report card concept or a debate on the merits and content of the information—not on its cost.

2. We should win support from states that have completed all or a substantial portion of the development of report cards, as they will receive funding for dissemination.

Transition to Teaching:

Expanding Troops to Teachers to Recruit Other Mid-Career Professionals into Teaching

Background and Rationale for Initiative

As a result of increasing enrollments, the retirement of many teachers and other attrition, this country will have to hire over 2 million teachers in the next decade. The problem of attrition is particularly acute among new teachers, 22 percent of who leave the profession after teaching for three years or less. Mid-career professionals interested in changing jobs are an important and largely untapped resource for addressing teacher shortages. Recent studies have shown that a significant number of mid-career professionals who possess strong subject matter skills are interested in beginning a teaching career.

Troops to Teachers was created in 1994 to help improve public education by injecting the talent, skills and experience of military and other federal civilian personnel into high-poverty schools. Since 1994 over 3,300 former military personnel have been hired as teachers in 48 states and the District of Columbia. The average program participant is 41 years old, and more than 83 percent of those hired have stayed in the classroom. Teachers recruited through Troops to Teachers are twice as likely as traditional public school teachers to teach science or math and three times as likely to be minorities.

DPC Proposal

The Transition to Teaching initiative was included as part of the Administration's ESEA proposal – the Educational Excellence for All Children Act of 1999. This initiative would build on the successes of the Department of Defense's Troops to Teachers program by recruiting, preparing and supporting talented mid-career professionals from diverse fields as teachers of high-need subjects areas in high-need schools. The initiative would preserve the Troops to Teachers initiative by requiring the Secretary of Education to allocate the necessary funding to DANTES (the Defense organization that runs the Troops to Teachers program) before funding other programs. Additional grants would then be awarded to public agencies, institutions of higher education, and nonprofit organizations to recruit, prepare and support career-changing professionals whose knowledge and experience could help them become teachers of high-need subjects in high-poverty schools. Funds could be used for stipends, training, or other costs, with a spending limit of \$5,000 per participant.

Cost

The Administration requested \$18 million for this initiative in our FY 2000 budget request, but we did not receive those funds specifically. There is some discussion about using FIE funds to fund the program anyhow, but it is unclear if that will happen. We would probably request a similar amount in FY 2001.

Performance-Based Pay

Background:

As part of the 1999 National Education Summit in Palisades, New York, the governors and assembled business leaders pledged to sponsor "pay for performance" initiatives for teacher salary in 10 locations as a strategy to make teacher pay more competitive with other professions. Despite considerable attention to the issue of teacher quality, teacher pay still remains far below other professions with the national average starting salary only approximately \$25,000, average teacher salary overall only approximately \$38,000, and the average maximum teacher salary in any state only about \$51,000.

At the time of the summit, Denver, Colorado was receiving considerable attention for its pay for performance pilot and Governor Ridge of Pennsylvania had set-aside \$1 million for school districts to establish pay-for-performance programs (which has sparked a pay-for-performance discussion in Philadelphia). The Denver program evaluates teacher performance on three-different measures with teachers electing which measure to use. The first is student performance on the Iowa Test of Basic Skills (ITBS) a nationally normed standardized test. The second is student performance on teacher-developed criterion-referenced measures. The final measure is net student progress after the teacher receives some sort of professional development related to their teaching.

12 elementary schools will participate in the first year of the Denver program. In order to participate, 85 percent of teachers at a school site had to affirmatively vote to participate. As a result, only 12 of the 82 elementary schools in Denver qualified to participate with a total participation of approximately 450 teachers. All teachers receive a \$500 bonus for participating and an additional \$1000 if they meet two (self-determined) goals for raising student achievement in one of the three categories.

During the DPC's discussions with local school officials this fall the issue of teacher salary structure was raised on two fronts. First, local officials complained that because teacher pay was not competitive, particularly in high need areas such as math and science, they were having trouble attracting qualified candidates. Second, local officials pointed out that because teachers compensation systems are so rigid and based on input measures rather than output measures they felt that it hurt motivation and incentive to perform in the long run.

England is now introducing pay for performance for teachers as well. This Spring the first component of the Blair proposal will be put in place. In the "Green Book" published in December of 1998 outlining school improvement strategies, the Blair Administration proposed rewarding teachers for high performance as a way to reward successful teachers.

While teachers' unions remain opposed to merit pay, they are open to the idea of rewards for effective teaching. One of the main complaints about merit pay schemes is that they are too subjective and based more on relationships with supervisors than performance. Conversely, even testing experts in favor of merit pay agree that basing teacher pay on student test scores alone is an unfair and unreliable base for compensation. This argues for a hybrid approach such as Denver's that incorporates multiple measures for evaluation.

A second complaint about performance rewards for teaching is that the resources for compensation rarely exist. For example, several New York school districts that experimented with merit pay had to suspend the program after it became fiscally impossible to reward all eligible teachers. A common complaint from teachers about reform efforts is a lack of sustainability. By providing sufficient funding for 10 pilots, our proposal addresses this concern.

Critics of performance pay also argue that teaching is a collegial profession and that efforts to reward individual performance detract from this atmosphere. There is little data upon which to judge this argument lending credence to the need to pilot such programs and evaluate them.

One area of agreement about pay for performance plans is that teachers should have a voice in the development of the performance indicators. The Denver plan includes this component. Teacher buy-in is essential for program success.

DPC proposal:

Our initiative is designed to support the commitment laid out in the Action Plan from the 1999 National Education Summit to pilot pay-for performance initiatives in 10 states or school districts. The initiative should support "Denver" style pay-for-performance initiatives in which all teachers receive an initial bonus for participating and additional rewards based on performance. As aforementioned, Denver set parameters for school participation; however, we recommend leaving details of this nature up to the local districts that participate but require at least the participation of 250 teachers and cap participation at 500 per site. While large school districts are the obvious targets for grants of this type, partnerships of smaller school districts that meet the threshold should also be eligible.

Although there will be pressure from constituency groups and within the Administration to explicitly define every aspect of the program for local school districts, it would be a mistake to do so. First, by specifically defining programs we would stifle innovation and

limit the value of data from this pilot. For example, the 1999 National Education Summit pledge was deliberately vague as to whether pay for performance plans had to have an individual teacher component or could be school-site-based. Second, entangling the federal government too much in the area of teacher pay raises numerous political problems that can be avoided with a more flexible program design. The proper federal role in supporting this type of initiative is to provide leadership and resources, broad parameters for participation, and to measure, compare, and disseminate results. The ideal initiative would provide resources to 10 sites within a context of broad discretion as to program design. Ideally, both individual teacher bonuses and school-based bonuses will be piloted.

However, to ensure both sound policy and political viability, any program funded under this initiative should have the following characteristics:

- No teacher should receive less compensation as a result of participating in the program;
- Teachers should be involved in the development of performance indicators;
- Performance should be based on more than a single indicator;
- Student performance must be an indicator.

Cost:

Including a substantial evaluation component, 10 sites could be funded adequately for \$20 million annually including independent evaluation. With guaranteed bonuses of \$500 for participation and assuming that all 10 sites enroll the maximum of 500 teachers, the bonus component will cost \$2.5 million. For an additional \$12.5 million we can support pay incentives for performance of up to \$2500 per participating teachers for a total program cost of \$15 million. At least an additional \$2 million should be included for promotion to attract potential grantees and rigorous evaluation of programs and each site will have to be provided with funds to cover administrative, legal, and other expenses arising from implementation.

Fund for Future Schools

Background:

During our discussions with local school officials, a reoccurring theme was the inability to try innovative or new ideas because of a lack of funding. In fact, a common complaint of school leaders is that when not an actual problem, lack of funding is commonly used as an excuse to derail innovative reforms.

Currently the federal government funds "innovative practices" from two main accounts in the Department of Education, the Fund for the Improvement of Education (FIE) and the Title VI account. FIE is largely consumed by legislative earmarks and pet programs of lawmakers and as a result drives little innovation in states and localities around the country. Title VI, while a very flexible block grant, is sent to states and localities through

a formula that rarely provides sufficient revenue for large scale reform. In practice there is little evidence that Title VI money drives innovation and the Administration recommends zero-funding the program each year in its budget request.

As the federal role in education evolves in conjunction with the emerging information-based economy, that role will increasingly become more strategic and less programmatic. For example, already the Title I program, the largest elementary and secondary program is moving toward becoming almost entirely flexible within the context of defined goals.

While we should continue to invest in what works throughout ESEA, it is equally important that we acknowledge that we don't know a lot of things that work. As Seattle Superintendent Joe Ochaeske put it during one discussion this fall, we don't know how to make some students proficient readers by the third-grade despite all the rhetoric to the contrary.

While the Obey-Porter Comprehensive School Reform program supports school-based reforms, there is no federal program targeted to statewide, district-wide, or multi-school initiatives or single school programs that fall outside the purview of Obey-Porter.

In England, a similar fund has been established to help disadvantaged schools try new strategies and cultivate bottom-up innovations. While the fund got off to a slow start, British officials report that in its second year results are encouraging. Hong Kong sponsors a similar effort to what we are proposing.

DPC Proposal:

An independent fund to support innovative regional, state, and local ideas that require upfront infusions of funding. As opposed to school-based only reforms these resources should support structural changes at the school district, state, and/or regional level. For example, a school district could apply for funding to help implement one of the governance models recommended in the recent ECS report which involves completely restructuring the school board-school relationship. Other ideas raised in our discussions included conducting a full service "Saturday" school to help students who need extra assistance, or rework the senior year of high school to focus on service learning outside of the school. States or regional cooperatives could apply for funding for larger scale innovations such as college preparatory academies, innovative partnerships among schools, or pioneering governance models.

Grant awards would be given out by an independent bipartisan board. Grant size and longevity would be determined by the board within broad parameters. Grant renewals would entail a step-down process for funding that would gradually transfer the program to fully state and local funding. Programs that don't meet performance indicators would not receive "step-down" funding. Essentially, the federal government would capitalize promising initiatives, capture data on their effectiveness, and disseminate information. Based on our series of meetings with school officials there are a number of projects which

they would like to undertake but cannot for lack of start up funds.

No grant should:

- Be for more than 20 percent of the total appropriation for the fund (i.e. \$10 million);
- Be for a purpose explicitly prohibited by federal law (i.e. national testing, vouchers, etc.).

The board would be composed in such a way as to maintain a bipartisan division regardless of which party controls the White House and would include representatives from the education and business communities. The assistant secretaries of education for elementary and secondary education and educational research and improvement would represent the administration on the board. The threshold for grant approval would be structured to ensure that ideas are approved with bipartisan support from board members.

Cost:

\$50 million annually given out by competitive grant and less administrative and evaluation expenses of the board.

Small Schools

Improving Student Achievement with Smaller High School Learning Environments

Background and Rationale for Initiative

Incidents of school violence, like the recent tragedy in Littleton, Colorado, have caused serious alarm among parents and students who are unsure what has caused such tremendous alienation and aggression in our teenagers. Although there have been calls for tougher gun control laws and stricter discipline policies, more and more educators are pointing to a systemic problem -- the model of the American high school, one of the most enduring and unchanging institutions in our society. One indicator of our failure to adjust high schools to the changing needs of the population is the alarmingly high Hispanic dropout rate (30 percent for students born in the United States and 44 percent for those born outside the country). Hispanics are the fastest growing segment of our society, yet our high schools are clearly not engaging or serving these students. Finally, we are failing to prepare many students for the academic challenge of higher education and lifelong learning. While record numbers of high school graduates are going on to college, almost half of entering college freshmen drop out by the end of their second year. Close to thirty percent of students entering a four-year college have to take remedial courses.

Although experts cite a variety of factors that contribute to the decline of our high schools, including academic mediocrity, poor teaching, insufficient counseling services and waning parental involvement, most cite the same remedy for these ills -- create

smaller schools with smaller classes. Since the end of World War II, the number of schools nationwide has declined seventy percent, while average enrollment has grown fivefold. More than 25 percent of American high schools enroll more than 1,000 students, and enrollments of 2,000 and 3,000 are common. The conventional wisdom in building these enormous schools was that they would offer students more academic and extracurricular opportunities. However, more and more large schools are being built because of the need to educate rapidly growing numbers of high school students. There are currently 13.5 million students attending secondary school in America, and they will enroll an additional 1.3 million students in the next decade.

Research shows that small schools can offer a strong core curriculum and, in most cases, a level of academically advanced courses comparable to large schools. Smaller schools also have better attendance records, lower dropout rates and fewer discipline problems. A 1996 study found that students in smaller schools were more likely to be involved in extracurricular activities and to hold positions of responsibility. Finally, research backs up the conventional wisdom that smaller schools are safer and more productive because students feel less alienated, more nurtured and more connected to caring adults, while teachers feel that they have more opportunity to get to know and support their students. A 1997 study of charter schools showed that the most common reason parents chose a charter school over a traditional public school was the smaller size of the charter school. Fifty-three percent of parents surveyed cited the schools' small size, ranking that factor ahead of higher standards, greater educational philosophy, greater parental involvement and better teachers.

There is no agreement on what a "small school" looks like, but there is a general consensus that a high school should have no more than 600 students. The University of Illinois *Small Schools Workshop* describes "good" small schools as having a curriculum integrated around a coherent focus and philosophy of education, teachers that collaborate and discuss the needs of their students, a sense of leadership and investment in the school, and the involvement of families and community. Many of these characteristics are also associated with charter schools, and indeed, charter schools tend to be significantly smaller than their traditional counterparts. In addition to charter schools, models of small schools include freestanding small schools, autonomous schools-within-schools, and scatterplexes, with two or more small schools at different sites that share a principal.

DPC Proposal

This proposal would build on an initiative introduced by Congressman Obey to establish smaller learning communities in America's high schools. The program would offer competitive grants to school districts that submit a plan to create smaller learning environments for students by building smaller schools or by breaking up larger schools using strategies such as creating schools-within-schools, establishing career academies, restructuring the school day and other innovations that allow schools to ensure that every student receives personal attention and support. A competitive priority could be offered to do not just create smaller schools, but also build those schools around the *Small*

Schools Workshop criteria detailed above. Allowable uses of federal funds could include planning and implementation costs, professional development, team building, facility renovation, additional planning time, extended learning time, legal and accounting consulting, supplies and other relevant costs.

Cost

The Obey initiative is funded at \$45 million in the FY 2000 budget, however the FY 2001 request would probably be for \$200 million, and we are still determining how many schools that would fund.

Possible Critiques of the Initiative

Critique: Many of the fastest growing districts are desperately struggling to simply keep up with enrollment. How can they be expected to build small schools?

Response: The advantage of this program is that it will defray the additional costs to those districts of building more, smaller schools. There is little question of how to do this quickly and efficiently, and federal support could mean an area would have more, smaller schools that better meet students' needs rather than a large, impersonal high school.

Political Considerations

4. This proposal would differ somewhat from the Obey proposal in that money could be used to create new small schools (not just to break existing schools down into smaller units), and money could be used for some facilities renovation and construction. It is unclear if these things would be acceptable to Obey, or if they would change the program beyond his original intention. Also, if we take on the renovation/construction issues, we need to decide how far to go. Would we finance or subsidize the building of new schools? Perhaps it could be tied into moving the school construction proposal to the discretionary side (offer a priority for building small high schools).
5. The Obey proposal is an appropriations initiative, and there is no separate authorization for the program. It is not included as part of our ESEA proposal, but it might make sense to try and get it included in legislation in order to guard against its disappearance after one year.

21st Century Schools Distance Learning Initiative:
Providing Access to Challenging Coursework
for Students from Rural and Inner City Districts

Summary

The 21st Century School Distance Learning Initiative is designed to ensure that students

have access to challenging high school coursework regardless of the location of their school. Within two years, any student—no matter his or her place of schooling—will be able to take high school AP coursework. To accomplish this ambitious goal, the initiative would include a package of proposals. First, it would increase or maintain existing support for three key technology access programs: E-Rate, the Technology Literacy Challenge Fund, and the Technology Teacher Training Program. Second, it would develop a public-private partnership with leading course software developers, which would subsidize the cost of high quality Web-based course development in return for cut-rate prices for high poverty school districts. Third, it would offer a grant program for districts to support their efforts to provide challenging coursework for their students. The cost of the new components of the package would be \$50 million for course development and grants and \$150 million in increased funding for current programs.

Background and Rationale

The federal government has a historic role in supporting education for children who gain the most from it: children in high poverty schools. Lacking the necessary fiscal and community resources, high poverty schools are generally unable to provide high quality educational opportunities. It's these schools—the schools that harbor the most pressing needs—that disproportionately lack qualified teachers, access to technology, and other resources that augment the most basic curriculum.

This Administration has not only continued to provide investments in disadvantaged communities through such programs as Head Start and Title I, but it has committed to shaping a federal role in education that holds all students to high standards, expects they can achieve, and holds schools accountable for results. In addition, the Administration has fought to make college affordable to all Americans so that students who work hard and prepare themselves to enter college will not face prohibitive financial barriers to higher education.

However, many high schools in poor rural and inner city school districts include another type of barrier: poor access to challenging coursework that students deserve—and need to enter college. Faced with higher proportions of unlicensed and out of field teachers, especially in areas like math and science, little in the way of community financial and professional resources, and smaller numbers of students interested or prepared to take challenging courses, these schools are unable to provide AP courses, honors electives and other important offerings like foreign languages. Fewer than 60% of high schools offer AP courses to their students. That means 2 out of 5 high schools do not have access to coursework that research shows is the best predictor of college success. And those high schools are disproportionately located in poor communities.

One way to bridge this gap is through distance learning technology. Not new to American schools, but still scarce among them, distance learning encompasses Web-based courses, compressed video, and courses televised via satellite. Distance learning technology can help provide coursework for students who attend schools unable to offer certain courses,

need alternatives to traditional education, or seek more high quality offerings in areas such as English as a second language and remedial writing and reading at the high school level.

The following represent some current state-level efforts in distance learning at the high school level:

- Florida and Iowa have created Virtual High Schools, whereby students from across the state can access coursework in a variety of disciplines. Coursework is delivered via the World Wide Web.
- Virginia delivers AP courses via satellite. Nearly 2,000 students took courses through this means in the 1998-99 school year in the state.
- Mississippi and North Carolina offers courses on compressed video, which is gaining acceptance as costs are coming down.
- The Massachusetts-based Concord Consortium (federally funded) offers courses nationally and trains teachers to develop and teach courses for the Web.
- Universities around the country are partnering with states and school districts to offer college level and credit courses to high school students. The University of Nebraska has created a for-profit subsidiary to develop and offer on-line courses.

Of the three technologies, Web-based instruction appears to have the most currency. It provides for lower equipment and transaction costs, uses a technology which is in schools at present and with which most students are familiar, and it is more immune to technological obsolescence than compressed video and television as it can adapt to new software and delivery mechanisms utilizing the Web.

A Federal Role

There are a number of issues involved in attempting to provide access to challenging and needed coursework for under-served schools and student populations. Among them are the following:

- Training teachers to use technology and course software
- Accessing the equipment needed to support Web-based courses
- The cost of connectivity
- The quality of course content and its cost

At present, the federal government is supporting initiatives that focus on the first three issues. The Teacher Training Technology Program, the Technology Literacy Challenge Fund, and E-Rate are all working to provide schools with the capacity to access and use computer technology and connect to the World Wide Web in an affordable way. The Star Schools and Technology Innovation grants have also provided seed funding to partnerships endeavoring to offer access to educational opportunities through distance learning. The latter two programs, however, are small and have been frozen to concentrate on supporting currently funded initiatives.

The last issue—course content and cost—remains a hurdle. The quality of current offerings on the Web is of considerable variance. Much of the reason is that the cost of course development is very high. The Southern Regional Education Board reports that states in this game have found course development to be roughly \$200,000 per course; private developers quote numbers in excess of \$700,000 per course. To add to the problem, software developers with access to the capital needed for high quality R&D efforts are generally unwilling to jump into the on-line high school course market because of the multiplicity of standards, curriculum requirements and assessments across states. Where developers are coming into the market—for example APEX in developing AP courses—they are doing so where the standards are national in scope. At the same time, their products are not cheap and generally unaffordable for the student populations that needs them most.

With ongoing initiatives in training, equipment and connectivity, the key area for federal involvement and support is in the area of course development and subsidy. Through this approach, the federal government would allow states to continue their own efforts to offer coursework based on their standards and unique needs (e.g., Florida's Virtual High School), but provide quality content and take the pressure off of course development.

Initiative Design

The initiative is a package composed of three distinct pieces:

1. Propose increased funding for the Technology Teacher Training program and the Technology Literacy Challenge Fund and continuing the funding plan for the E-Rate program.
2. A public private partnership with a group of course developers. In exchange for a hefty subsidy of course development for AP courses, courses in ESL, foreign languages, and other challenging coursework, course/software developers would offer the courses at major discounts (or free) to eligible high poverty schools.
3. A competitive grant program for states and districts to allow schools to apply for course access and to help defray the costs of additional expenses needed to support such an initiative. Such activities might include other initiatives at the local level to prepare teachers and students to offer AP courses, specific distance learning scheduling and personnel issues and efforts to partner with community colleges and local Community Technology Centers for access to needed facilities and equipment. The grant program could also subsidize state and school efforts to offer access to college-level and credit courses.

We have had initial discussions with APEX, which creates and sells web-based AP courses, about subsidizing the cost of R&D in return for cutting in half the cost of their software for poor districts. APEX is very interested in a partnership of this breadth and

scope and the group is sending along some paper on a potential commitment.

Cost

The new costs associated with this initiative would be \$50 million to support the partnership with industry and a grant program for states and districts. The cost breakdown would be as follows:

- \$25 million for subsidizing the development of up to 16 AP courses and courses in other areas such as ESL, foreign language, remedial needs, and in math and science. At \$500,000 per course (APEX's initial offer), the project could subsidize the development of 50 high quality courses.
- \$300,000 per course (very rough estimate) for other 8 (\$2.4 million)
- \$25 million grant program to offer access to courses and seed local efforts to provide courses to students.

The initiative would also seek increased funding in the amount of \$150 million:

- Maintain E-Rate at \$2.25 billion commitment
- Increase Teacher Technology Training funds from current level of \$75 million to \$125 million.
- Increase Technology Literacy Challenge Fund appropriation from \$425 million to \$525 million (OMB plans this request).

Together with the new course development and access initiative, the total new costs would be \$170 million.

Possible Critiques of the Approach

Critique: *Effort would fund development without guarantee that schools would take-up discount rate courses on the Web.* The subsidy of industry would have to occur before districts signaled a desire to pay for courses at discount rates or target other resources to support this effort.

Response: The efforts already occurring in states are testament to the demand for such services. That said, the initiative would warrant a lot of outreach to eligible communities (concomitant perhaps with E-Rate outreach efforts).

Critique: *Given the small size of the course development industry, partnering with companies will end up undercutting competition in the industry.*

Response: This danger does exist, but if the partnership were opened up, bid out, and committed to not doing a sole source contract, then it could actually increase competition in the industry.

Political Considerations

- Sen. Kennedy is the major supporter for the Star Schools Program (it was his creation) and the Senate in general likes the program. It will be frozen for next year and an initiative like this could attract support.
- Republicans and Democrats have supported AP fee assistance and would likely support this effort to increase access to AP courses and other challenging coursework. The College Board's government relations shop reports that Sen. Bingaman (D-NM), Rep. Cunningham (R-CA), and Sen. Hutchison (R-TX) are among the program's most ardent supporters.
- The rural support aspect of the initiative could win support among Republicans who pushed for the Rural Education Act in the House's ESEA reauthorization proposal. Although that initiative was more of Super Ed-Flex accountability model dressed up in a rural education rescue program, the issue of supporting rural educational needs is a real one that should develop broad support. Inner city advocates should also line up.
- There is the potential for opposition from two areas: those who see this as a move towards national standards and curriculum and 2) those who see this as a move towards faceless education that might support home schooling and the like. Both arguments are fairly weak, but the language describing and promoting the initiative would need to be sensitive. I.e., national course curriculum and virtual school terms could stir unnecessary opposition. Teachers unions, for example, will be especially sensitive to the latter issue.

School Leadership for the 21st Century:

An Initiative to Fund Independent School Leadership Centers in States
To Enhance the Quality of Public School Leadership

Summary

In recognition that without quality school leaders, school reform is destined to fail, the Administration proposes to support state-level efforts to increase the quality of current school leaders. This initiative would assist the creation and support of independent school leadership centers in a select number of states. The centers would be run by nonprofit or public-private partnerships, would not be directed by state departments of education or state administrator preparation programs at universities and colleges, and would tap local leadership expertise in the public and private sector. The issue of school leadership has broad political appeal and support for the initiative should be strengthened by the independent nature of the centers. Seed funding would be provided on a matching basis and grants would be awarded on a 3-5 year basis. The budget amount for FY2001 would be \$20 million.

Background and Rationale for Initiative

School reform in the 1990s has trained its sights on any number of places. Developing school and student standards, assessment and accountability systems, charter schools, school-based management and improving teacher quality have been the dominant

strategies employed by the states to improve the quality of their public K-12 schools. What few seem to be talking about, however, is the one area in public schools central to all of these reform strategies: school leadership.

The role of school leaders—principals and assistant principals, superintendents and assistant superintendents, and select teachers—in school improvement should not be underestimated. If states are serious about improving public schools and the educational opportunities for young people, they must begin to focus on the development of school leaders who can lead school change and improvement efforts. While policy has rightly focused on areas such as accountability, teacher quality, and school-based decision-making, the spotlight has yet to shine with adequate intensity on one of the lodestones of reform: the principalship.

Three trends in public education highlight the pivotal role school leaders are playing in school improvement and the need to support them:

1. **Devolution of Decision-making.** Decisions about schooling—from budgets to curriculum to instruction—are moving out of state capitals and centralized processes and into local districts and schools. With that devolution of authority comes much greater responsibility for superintendents, principals and other school leaders.
2. **School-Based Assessment and Accountability.** The devolution of decision making has largely come about as a result of the move by states to systems of standards and rigorous accountability. In holding schools accountable, states are giving districts—and districts are giving schools—greater flexibility about how they reach the standards set for them. In these new systems, school leaders are being asked to play much bigger roles in crafting instructional approaches, restructuring their organizations, working with the local community, and using resources strategically than they have previously.
3. **The Focus on Improving Teacher Quality.** The federal government and state governments have focused many political and fiscal resources in recent years on efforts to ensure teacher quality. Initiatives aimed to improve teacher preparation, support, development, and retention have been undertaken. However, many of these efforts will matter little in the face of bad school leadership that does not understand how to support and develop teachers. Improving the quality of school leadership is an important complementary investment for guaranteeing better quality teachers.

A Federal Role

There are a number of places that resources from the federal government could be used to leverage improvements in the quality of school leadership. As with teachers, recruitment of quality candidates and reforming preparation practice is critical to ensuring that future ranks of school leaders are exceptionally prepared for the job.

However, reforming licensure and preparation standards can't carry the entire load of enhancing the capacity of school leaders. Attention must also be paid to the ongoing learning and development needs of these school administrators. School leaders need high-quality and ongoing development and opportunities to develop networks and to learn best practices in fields beyond education. At present, there is no federal program focused solely on school leadership and only a handful of programs that allow funds to be used to support the development of school leaders.

Perhaps the most appropriate role the federal government could play, and the place where its resources can best leverage change, is in the seeding of state-level partnerships that focus on the needs of school leaders and provide ongoing development opportunities for the current ranks. Further, the federal government can serve as a catalyst for bringing nontraditional partners into the effort, such as the business community, to disseminate its lessons in leadership to those in charge of improving the public schools.

Initiative Design: School Leadership Centers

The Department of Education would fund a competitive grant program that would provide seed/capacity-building funds to state or regional School Leadership Centers. Multi-year grants would be made to nonprofit public-private partnerships composed of alliances of business groups, education stakeholders, and other relevant partners such as existing nonprofits or the armed services.

The centers would be focused on providing training for principals and superintendents, as well as provide services for assistant principals and superintendents and select teachers. Where states had enabling legislation to this effect, Centers could also focus on recruiting nontraditional candidates into the profession and constructing alternate pathways. Centers could not be run by state departments of education, university or college schools of education, or the federal government's regional education labs, although these organizations could be partners in the effort.

Funds would be awarded on a 3-5 year basis. Centers would be expected to offer training and services to support school leaders in areas such as instructional leadership, management practices, school organization, school design, community engagement, and school board relationships. Centers would also be expected to involve leaders and best practices from fields other than education. An Advisory Board to the Secretary, made up of national leaders in the areas of education, business, nonprofits and the armed services, will be assembled to advise the Secretary on choosing grants.

Cost

The grant program would provide \$20 million for funding demonstration centers around the country. Grantees would receive funding in the \$200,000 - \$300,000 range per year for three to five years. Funding would support approximately 20 Centers in states or regions. Grant recipients would be required to provide a 50% match, 30% of which could

be in-kind.

Possible Critiques of the Initiative

Critique: *Independent centers aren't guaranteed to support state agendas for school improvement.* Without being tied into state educational community, the Centers may run programs that don't support the goals and standards in the state.

Response: Centers that are run by the establishment are much less likely to run innovative programs that provide new approaches to school leadership. At the same time, effective centers will be aligned with the state's standards and goals and will help fashion leaders better equipped to reach the standards.

Political Considerations

1. The issue of school leadership engenders broad political support across political parties with Republicans being traditionally very receptive of a focus on leadership.
2. Senator Kennedy introduced S. 1180 in the past session (signed onto by Dodd, Daschle, Dorgan, Murray, Levin and Schumer) that included funding for a national center for principal preparation and support and efforts to recruit people into the principalship.
3. Creating independent centers will likely be strongly opposed by the higher education administrator preparation programs and other groups who are setting national standards for administrators. They will see this as undermining their role in states.
4. The administrator groups will like the focus on principals and superintendents, but will probably oppose the independent nature of them.
5. Teacher groups will want to include language that involves teacher leaders (which we've included) and about school leaders, especially principals, as "instructional leaders." I think the less we include in the mandate for these Centers, the better—with the exception of independent entities that are public-private partnerships, which include both traditional and nontraditional stakeholders in school leadership.

Closing the Achievement Gap:

Providing Free, High Quality Test Preparation Courses to
High Need Students

****We are still researching this proposal including getting more detailed demographic information about SAT test takers. Here is a framework so far..***

Summary

SAT scores are an important component of college admission and historically minority and low income students have not scored as well as their white and more affluent classmates for many reasons including not having access to high-quality test preparation activities that are common in many communities. There is a federal role to help solve this problem by providing funds to increase access to college entrance exam preparation.

Under the model we are proposing, partnerships of high schools, leaders in the test prep industry and community based organizations would compete for a grant to offer college test preparation as well as other related services.

Background/Rationale

Because every child deserves an equal chance at academic success and because, for the moment, standardized testing as a part of college admissions will remain a fixture on the educational landscape, each student regardless of financial standing should have equal training and preparation for college entrance exams. Quality test preparation courses are important to success on college exams but are often beyond the financial reach of most families adding to the disadvantages many financially needy students face when competing with privileged students in college admissions. Free college test preparation courses could help students with college aspirations who have demonstrated through coursework that they are capable of succeeding in college.

While this program should be aimed at low-income students, by default through this criteria it will target minority students. The College Board report *Reaching the Top: A Report of the National Task Force on Minority High Achievement* found that:

- In 1995, African-Americans, Latino's and Native American's accounted for only 13% of the bachelor's degrees, 11% of professional degrees and 6% of doctoral degrees awarded by U.S. Colleges and Universities despite making up about 30% of the under 18 population.
- This year, Blacks, Hispanics, and Native Americans made up only about one in twenty of the students who had very high scores on the SAT I, which are scores typical of students admitted to highly selective colleges and universities.

One of the College Board's recommendations for action is for national and community organizations concerned with improving minority education to work with educational reformers and researchers to expand and strengthen supplementary education opportunities available to underrepresented students. The objective should be to provide the same education opportunities for underrepresented minorities that are equivalent in scope and quality available to many youngsters from the nation's most academically successful groups.

Recently, the NAACP also highlighted this issue as an emerging problem and called for increasing access to test preparation services for disadvantaged students.

Last year California State Senator Hayden introduced the College Preparation Partnership Program in California that offers very low cost or free college test preparation courses. Districts were able to apply for money and choose which schools would receive the funds that met the eligibility criteria. In California, schools that receive money for college exam prep are able to use the money either to contract with an unspecified college prep service,

or to use the money to train the teaching staff to do the college exam prep instruction.

DPC Proposal

Key Components

The Federal government will offer leadership and resources for communities to create partnerships to increase access to test preparation programs for disadvantaged students.

Partnerships

The program would require the high school to partner with a test preparation program with a proven track record and established curriculum with an option to add at least one community based organization. Commercial test preparation companies involved would have to demonstrate an established curriculum and have a proven track record. Programs would have to offer a minimum of 25 hours of instruction over no less than 4 weeks to ensure rigor and quality and discourage one-time preparation activities which research shows are ineffective.

Eligibility

This initiative would offer competitive grants to high schools or LEA's based on the California model. Grants would be given to schools would be those with a low college attendance rate, high numbers of low-income pupils, and demonstrated school-based efforts to improve the school's college preparatory curriculum and college attendance rates. Eligible students would receive the free college test prep courses. Students in the top 50% of their class who fall under 200% of the poverty line would be eligible.

Priority

A competitive priority would be given to schools that couple test preparation with other relevant services including counseling, college application and financial aid assistance.

Cost

The California Preparation Partnership Program is able to serve 50,000 students with a \$9 million budget with an expected increase of 4.5% next year. **We are still in the process of collecting data in order to make a correct cost estimate.**

Critiques

Issue

Teacher unions could object that this proposal because unlike the California model which allows grant funds to be used to train the current teaching staff to be college test prep instructors, doesn't provide for this. This proposal would not allow funds to be used to train teachers as instructors in order to ensure that students are receiving the high quality test preparation through established providers.

Response

Providing high quality test preparation is a key to the success of this grant. We want to fund what works and has proven results with research to prove their effectiveness.

Training teachers is a bigger risk in terms of quality control.

Issue

The President's Initiative on Race asked the Department of Education to do a study on the usefulness of college test preparation. The final analysis of the report showed that there was no reason to expand funding to include college test prep, but that expanding the AP program would be more effective. The data showed that minority students are more likely to prepare for the SAT or ACT than whites and middle-income students.

Response

The study concluded that because non-white, low-income students had similar rates of test preparation, it is unnecessary to put any money into subsidized test preparation, but rather that funding should be focused on expanding the AP program (which is not surprising considering the Department runs the program). However, the study failed to control the methods of college preparation and quality of instruction. For example, a student might be getting tutoring for reading and could count this as college test preparation. We do not think that the study is conclusive.

Political Considerations

1. This proposal supports the Administration's position on affirmative action programs that expand opportunities for minorities and support states that are developing innovative ways to reach the goal of equality in education.
2. The NAACP has been working to reduce the weight of the SAT and ACT on college admissions, but is strongly in favor of state subsidized college test preparation courses. They are working closely with Senator Hayden's office in California and are reaching out to states and are generating momentum on this issue. So far they have found states and schools to be very receptive to the idea and there is growing interest in the California model.

MESSAGES FROM MEETING WITH NEA/AFT REGARDING TEACHER QUALITY (SEPTEMBER 1, 1998)

- ❑ Their top priority was ensuring that Title I schools employed certified teachers teaching in field. Specific suggestions to reach this goal included: phase-in this policy; have a threshold percent of misassigned teachers, above threshold discretionary dollars withdrawn.
- ❑ Focus on induction of new teachers and newly assigned teachers in order to reduce teacher dropout and improve teacher quality.
- ❑ Alternative certification – ensure that all teachers, no matter which pathway they take to become teachers, pass rigorous teacher certification and participate in some field experience before entering teaching full-time.
- ❑ National Board – do more to increase the number of National Board certified teachers and use Board certified teachers as mentors.
- ❑ Focus on peer assistance rather than peer review – give teachers the support they need to improve and then assess their improved performance (if not improved take measures to phase out of profession).
- ❑ Push concepts that are rigorous and research-based.
- ❑ Focus on improving reading and math (and start early!).

CONTEXT OF TEACHER QUALITY PROPOSAL

Public Attention: The quality of teaching in our Nation's classroom has come to the forefront of the public's attention with news accounts of teacher shortages, unqualified substitutes receiving full-time jobs, prospective teachers in Massachusetts overwhelming failing the literacy portion of a teacher certification exam, and continual stories about schools hiring emergency certified teachers to fill their classrooms.

Research:

- Research conducted over the past several years has begun to show a trend – the quality of the teacher in the classroom makes a significant difference in student achievement (Ferguson 1991, Ferguson and Ladd, 1996, Darling-Hammond 1996, Snow 1998).
- Most Districts offer incentives to teachers to participate in professional development by allowing them to earn continuing education units in order to receive pay increases along the way. These incentives often lead individual teachers to take classes that fit their schedules and individual interests rather than participating in professional development as part of a systemic plan to improve student achievement (CPRE 1995).
- More than 30 states allow teachers to be hired on a temporary or emergency license without having completed the licensing requirements (Darling-Hammond 1998).

1994 Reauthorization: The 1994 reauthorization of the Elementary and Secondary Education Act began to address teacher quality by improving the professional development components of the law. The Eisenhower Professional Development program expanded from math and science to include all core subject areas; focused

professional development around student content and performance standards; and, encouraged a variety of professional development activities to promote on-going teacher learning linked to improved student achievement.

HEA Reauthorization: With the 1998 reauthorization of the Higher Education Act, the Administration continued its commitment to improving teacher quality with provision in Title II that address teacher preparation, recruitment, and induction with a focus on recruiting minorities and serving our highest poverty urban and rural districts.

\$300 million grants for:

- State Teacher Quality Enhancement grants to improve teacher preparation and teacher quality, including reforming teacher certification or licensure requirements, providing alternatives to certification, improving existing alternative routes, reforms that hold IHEs accountable, developing and implementing mechanisms to ensure that schools are able to effectively recruit highly qualified teachers – priority on innovative ideas for reducing shortage of highly qualified teacher in high poverty rural and urban areas.
- Teacher Training Partnerships – partnerships of IHEs, K-12 schools, SEA, early childhood program, community based organization to provide pre-service clinical experiences including mentoring of prospective teachers.

\$37 million for Recruitment to provide scholarships, support services and follow-up services for new teachers in their first three years of teaching. Intent is to recruit effective teachers with emphasis on minority teachers based on needs assessment of LEAs in high-poverty areas.

Findings from Preliminary Eisenhower Evaluation: One of the challenges the Eisenhower Program has faced is that funds are spread too thin across every LEA in the country. Preliminary data that AIR has collected and analyzed for the national evaluation indicate the following (please note that all of the national data have not yet been obtained, aggregated or analyzed):

- Preliminary data indicate that Eisenhower and Title I are generally more coordinated in districts across the country than they were in the exploratory case study districts.
- According to the preliminary data, these are the five kinds of Eisenhower-supported activities most commonly reported by districts: (1) in-district workshops or in-district institutes; (2) out-of-district workshops or conferences; (3) teacher collaboratives and networks; (3) teacher committees/task forces; and (4) “mentoring/coaching/observing (other teachers).” When all of the data are aggregated, the top five may change. However, the first two will definitely remain among the top five.
- Districts vary tremendously in their interpretation of the requirement that “80% of LEA (Eisenhower) funds are to be reserved for professional development of

school-level staff in a manner that is determined by teachers and other school staff and, to the extent possible, takes place at the school site.” (Language from the non-regulatory guidance.) Some districts do not understand the requirement.

OVERARCHING QUESTIONS TO GUIDE THE DEVELOPMENT OF AN ESEA TEACHER QUALITY PROPOSAL

Assumption: Teacher Quality will be a main component of the 1999 reauthorization of ESEA. In exploring a teacher quality component, we have assumed that a significant overhaul, with perhaps greater flexibility at State and local levels, should be considered for programs designed to build capacity for high quality teaching by combining several programs--Titles II, III, and XIII of ESEA, as well as Goals 2000--under one new authority. This part would provide 2 pots of money-- one pot to ensure teachers are equipped with the knowledge and skill to support district reform by implementing standards in the classroom, and the second for class size reduction. The first pot of money would replace existing programs for professional development, technology, and school reform, and technical assistance.

Total Funding:	Teacher quality	\$1.8 billion
	Class size reduction	\$1.1 billion

Funding Source: Part 1 - Eisenhower, Goals 2000, TCLF, Technology Innovation Grants, RTACS, Teacher Training in Technology, Title VI, SDFSCA State grants, CRACs, Eisenhower Regional Centers, Class size reduction, America Reads, Goals 2000 Parent Assistance Centers

1) Should the teacher quality component of ESEA target all funds on high poverty districts/schools?

Pro: Attrition rates for new teachers and lack of depth in the subject matter taught are much greater in high poverty schools. Attrition rates are often higher due to the fact that the schools most impoverished and at-risk of failing continue to be the schools where new teachers are assigned, provided heavy teaching assignments and given few resources to meet the challenges of students with the greatest need (NCTAF 1996; NCES data).

Con: The problem of teacher quality is pervasive. Teachers in all districts, regardless of where they teach or the poverty level of their students, often lack depth in the subject-matter they teach, master of content pedagogy, and sufficient understanding about the diverse students they teach (NCTAF).

2) Where on the continuum of teacher development (from pre-service to master teacher) should ESEA focus?

The proposed Title II of the Higher Education Act focuses on teacher training and recruitment with a priority on training and recruiting teachers to teach in high poverty rural and urban districts. How can ESEA build on this base? Should ESEA focus efforts on those teachers already in the classroom?

- **Option 1: In-service professional development**

Pro: A research study conducted in Tennessee found that when comparing students exposed to poor teachers and high quality teachers over a three years period, 5th grade students' math scores averaged 50 percent higher for those students exposed to the three years of high-quality teachers (Sanders and Rivers 1996). Unfortunately, a significant number of teachers, currently in the classroom, lack depth in the subject-matter they teach, mastery of content pedagogy, and sufficient understanding about the diverse students they teach, particularly those in high poverty schools and those students with limited English proficiency. (Shulman, 1987; Darling-Hammond, 1997; Villegas). If we do not focus on improving the quality of teachers already in the classroom, we will continue to lose cohorts of students to poor teachers and thus poor student achievement.

Con: In ten years, 50 percent of the teachers will be new teachers (due to retirement of the aging teaching force and an increase in the number of teachers needed in the teaching force) (NCTAF 1996).

- **Option 2: Induction and support for first three years of teaching**

Pro: There is a need for 2 million new teachers in the next decade. Research shows that induction programs, such as mentoring and linking to a teacher preparation program at an IHE decreases the attrition rates of new teachers (cite?).

Con: One of the major focuses of HEA is teacher training including working with new teachers in their first three years. How will this proposal enhance and build on ESEA? Would it have a wider scope?

- **Option 3: Pre-service building on the HEA provisions**

Pro: Resources for reform in the preparation of teachers are under funded and lack essential connections between higher education and P-12 schools. There is a serious discontent between the programs offered at IHEs and the needs of schools who are challenged by higher standards. (Darling-Hammond; 1998) The National Commission recommended focusing some resources on the front end of the teacher continuum.

Con: The issue of addressing pre-service education is explicitly addressed in Title II of HEA. With limited funding in ESEA for teacher quality, it is not a good use of funds to spend a few dollars on pre-service education.

- 3) **A--Should it focus on specific content areas such as reading, mathematics and science in order to affect changes in teacher quality based on research in these content areas (e.g. NAS reading study, TIMMS)?**

Pro: TMMS and the NAS research and data indicate great need for professional development and offer a context to develop research-based methods of professional development in reading and mathematics. And, these are two of the Secretary's top priorities.

Con: Local needs may be different from the priorities in the statute.

B--If yes, what content areas should be the focus and should there be more than one?

C- If yes, should the proposal be structured so that districts/schools determine the amount to be spent in each content area (assuming there is more than one)?

- 4) **Should the teacher quality component focus on particular professional development strategies such as those recommended in research studies (TMMS and NAS)?**

Pro: Research links changes in teacher practice and improvement in student achievement with certain types of professional development (Cohen-Hill).

Con: Must be prescriptive to have an impact, and may not take into account other strategies developed over time. Also limits flexibility.

- 5) **Where should we focus our efforts on changing teacher practice—the State level, the district level, or the school level?**

- 6) **To what extent should this part address the environment in which teachers work, e.g. issues of time for professional collaboration around student work?**

Pro: Time for teachers to collaborate, plan together, spend longer blocks of times with the same students have all been cited as contributing to more effective

Con: It would be better to address school environment in a more comprehensive manner in Part 3 as opposed to this part.

- 7) **How does technology fit into this design?**

↳ - friendly @ shore & ed don't get it
- infrastructure as campus, shore & ed lost in line
- technology embedded into changes

MB - how to have conversations

Andy - hard-earned to turn about impact

Paul - creating & supporting different models of services

Andy - ~~the~~ Higher-ed

in2 - a lot of ideas assume capacity to deliver
- through out that we know about capacity

Vol - admit how we together & plan to provide. Don't make
use data to inform planning

Det - Underpin funding strategy - need to understand to develop plans
to have this

mission - leverage what is already there, setting priorities for what next

Tom - E02 model approach

42 better objectives, good progress

PD needs - inclusion, change & learning to learn

Wendy - technology - turn about how it changes the way we work & operates

Andrew - standard, account as what the sector
should be

John - planning

Georgy - models of dissemination
Marianne Bond

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CEO's Briefing

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give a damn about institutions—that the shift is almost complete, that we are merely “producers” in a world that increasingly values choice and competition. If it is, the Massachusetts “embarrassment” has even more dire consequences for us than we initially assumed. Our role is to meet these challenges. ■

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By Peter Murrell, Jr.

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BRIEFS

The Massachusetts Teacher Tests: What Happened?

by Dan Laitsch

Editor's Note: Since the first results of the Massachusetts teacher certification tests were released in late June, teacher education programs have not fared well in editorials, cartoons, and commentaries. In one of many comments on the subject, syndicated columnist William Raspberry described it as the "Massachusetts embarrassment." The Massachusetts tests were much on the minds of those responsible for setting standards for teaching and teacher education throughout the summer and we believe the topic will be of lingering concern on campuses and state houses throughout the fall. In an effort to provide our members with as much information as possible about the issue, we offer the following article.

On April 4, 1998, 1,800 candidates seeking Massachusetts teacher certification took the first administration of the Massachusetts teacher tests. Three months later, nearly 60 percent of these candidates learned they had failed.

When news of this high failure rate was released, it created a political maelstrom resulting in the resignation of the state's Commissioner of Education, Frank Haydu III, who claimed the issue had become too politicized after acting Governor Paul Cellucci became involved in setting the score cutoffs.

Other politicians reacted strongly as well. The Massachusetts Speaker of the House, Thomas M. Finneran, called those who failed “idiots,” and Chairman of the Massachusetts Board of Education, John Silber, claimed the test was easy enough for a bright tenth grader to pass. Since the politicization of these tests has quickly

overwhelmed the available facts, we must first examine those facts to accurately analyze the test results.

Background

The Massachusetts Education Reform Act of 1993 required that all candidates applying for their first teaching certificate be tested as of February 21, 1998. In response to this requirement, National Evaluation Systems was contracted to design and administer the test. According to the Massachusetts Department of Education, the test was developed in consultation with educators and institutions of higher education, and aligned with the Massachusetts Regulations for Certification of Education Personnel. The test was never fully field tested, though test items were validated by a conference of teachers and institution of higher education representatives. In addition, a pilot test consisting of sections of the full exam was administered to college juniors at 10 sites across the state.

The full exam was a two-part test consisting of a general communications and literacy section, and a content knowledge section. According to Joy Simon of the Massachusetts Department of Education (personal communication, July 16, 1998), no test questions dealt with pedagogy or teaching techniques. The test of communication and literacy skills assessed the proficiency of candidates at a level required for a bachelor's degree, and the subject tests for specific certificates assessed proficiency and depth of understanding of the subject required for a baccalaureate major.

In January 1998, the Massachusetts Department of Education released the question and answer booklet on the teacher tests. The booklet included the statement that candidates who take the test on April 4 and July 11 “will satisfy the testing requirements automatically.” This statement led many students and teacher educators to conclude that cut scores would not be used for certification.

“The political reactions to the low test scores have also shifted the focus away from the original purpose of the test: to gauge the general literacy, communication, and subject matter knowledge of the candidates for teaching certificates..”

tion on the first two administrations of the exam. However, on March 25, 10 days before the exam, David P. Driscoll, Deputy Commissioner of Education, issued a letter of clarification stating that students would be held to a specific cut score on the test and that candidates for certification would not satisfy the testing requirements automatically. He stated that candidates failing the April test could retake the test free of charge in July or October and that full refunds would be given prior to March 31. On April 2, Commissioner Haydu stated in a press release that despite the “potential for a misimpression on the part of some prospective teachers... We have accelerated the schedule for setting a qualifying score

Dan Laitsch is a Program Associate at AACTE.

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Chief Executive Officer's BRIEFING

by David G. Imig

"Back to School" Concerns

What the Massachusetts "embarrassment" accomplished and who should be embarrassed is difficult to assess. What seems certain is that we will witness continued efforts to make teacher education programs accountable to the state and the public. We can expect to experience more intrusive requirements and restrictive regulations in the future. The forms of such accountability likely will be more assessments of both teacher candidate subject matter, professional knowledge and performance, with increasing demands to show that the novice or beginning teacher makes a difference in the learning of their P-12 students, and the use of report cards and other measures to tell prospective college students pass rates of teacher candidates on these assessments. The success of programs in getting candidates to pass the test will become an important measure.

Both existing tests and emerging assessments will come to dominate every aspect of teacher education; narrowing the curriculum and focusing on a largely fixed or determined curriculum will likely result (one of many ironies in the redesign of the accountability system to achieve greater professionalism on the part of beginning teachers). More and more the issue of academic freedom or faculty autonomy will be settled by asking whether a course or unit or experience will make a measurable difference in the performance of the graduates of the program. Consistent with these new accountability demands, the emphasis shifts to outcomes—and the performance of the graduate in raising P-12 student test scores—with decreasing attention to the institutional setting and what it contributes. Institutional value will be determined by the success of the pro-

gram in getting all or almost all candidates to pass the test.

Currently there is a push to put more emphasis on bringing in the "outliers"—to make all teacher education programs including those that are union operated, private sector sponsored, and commercially owned (from the University of Phoenix to Teach for America) subject to the same measures of accountability. Whatever advantage collegiate-based programs enjoy would seem to be diluted when all are treated the same. The matter of accountability is then determined by candidate performance on outside measures—NES batteries, PRAXIS assessments, or specific state tests (which will increasingly be brought into line through INTASC)—and a common national measure (test results) used to judge the effectiveness of a program. Can a national rank ordering be far behind?

As I participated in John Goodlad's series of meetings for the National Network for Educational Renewal in Seattle in early August, I was struck by how different the world views of teacher educators are on accountability. Goodlad engaged participants from 34 colleges and universities in four days of conversation on the moral underpinnings of their program and their commitment to preparing teachers for a political democracy. The focus was on capacity building and leadership development, engaging prospective teachers in the human conversation, and sharing scholarship and best practices. Teacher educators and teachers, arts and sciences faculty and P-12 administrators talked about sustaining practices and enhancing partnerships. We hope conversation will produce this type of rich interaction. Goodlad was particularly evocative and offered a vision of a world that truly values college and university centered teacher education.

He found my scenario overly pessimistic, and certainly, problematic. When one contends that accountability is to one's peers and colleagues—to a set of principles (postulates) and not to external bodies and agencies—a very differ-

ent picture emerges than the one being imposed by a public that is skeptical of traditional teacher education programs.

The rush to create performance-based programs shouldn't go ahead without serious attention to what the college or university contributes. What is the "value added" dimension that we are prepared to champion? A balance needs to be found between candidate performance and the institutional contribution. We need faculty to stand up and say, "what we do here makes a difference beyond anything measured on the test." What are the attributes and characteristics, the dispositions and values that teacher candidates carry away from our program? What are the things that local principals and mentors say that distinguish our graduates from others? Are these values that we want our graduates to possess and value? How are they instilled? How are they assessed? These are important "back-to-school" concerns for all faculty to consider.

I believe that the challenge before us is to ensure that what the institution does matters—that what we do in institutional settings beyond meeting simple performance criteria is an essential component of emerging accountability schemes. Efforts to give virtual programs and truncated efforts common status with collegiate teacher preparation programs shift the dialogue. One of my colleagues insists that those "in charge" really don't

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AACTE BRIEFS

David G. Imig, Chief Executive Officer
Deborah Hinrichs, Editor

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Massachusetts teacher tests

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on the test, so that all test takers—including those who proceed to take the test in April—will need to achieve a qualifying score in order to be eligible for certification." At the time of the first test administration, however, the cut score had not been determined.

At a special meeting of the board on May 18, Haydu stated that he would consult with the board, department of education staff, teachers union leaders, education associations, and other educators in determining the cut score. On June 22, after these consultations, Haydu recommended, and the board approved, setting the cut scores at a level that was one standard deviation below the cut recommended at the consultations.

Given the adopted cut score, 44 percent of test takers did not pass part or all of the test—some test takers passed one but not both parts of the test. Nearly 600 of the 1,800 candidates failed the communication and literacy section, but even on this test, students may have failed one of the two component parts as the test contained a reading and a writing component. Three days later the board moved to require the higher scores for the October administration of the test. Then, on July 2, seven days later, the board voted to use the higher rate immediately. Both Governor Cellucci and Board Chairman Silber spoke in favor of the higher pass rate at the July 2 special session convened by Silber. As a result of the higher cut score, an additional 263 candidates failed the test, which raised the failure rate to 59 percent. At the same meeting, Commissioner Haydu resigned, as a result of "acting Governor Paul Cellucci's overtly political interference with the teacher standards" (Jordana Hart, "Outgoing Chief Blasts Ed Board: Singles out BU Influence as 'Difficult'." *The Boston Globe*, A1, July 1, 1998).

Four days later on July 6, the results were mailed out with a free admission form to the July 11 test for students who failed all or part of the exam. Approximately 3,000 students took the second offering of the certification exam. The

scores from this second administration are expected this month.

Concerns

Before any interpretation or explanation of the high failure rate on the teacher tests can be offered, a number of concerns must be addressed. Comment cannot be made regarding the content until the content is made available. Actual questions and data regarding test answers have not been released. Since we cannot evaluate the content of the tests, we must focus on the test process.

If we focus on the administration of the test, a number of flaws in the process become apparent. Many education professors, schools of education, and students may have been under the impression that the first two administrations of the test would be for statistical or normative purposes—a typical process in test development. The suggestion in the question and answer booklet on the Massachusetts teacher tests that no cut score would be used for the first two test offerings would support such an assumption.

Until the clarification was issued on March 25, it would seem to have been a safe assumption that in-depth study and targeted preparation was not required. Dr. Driscoll's announcement that test scores would indeed be a factor in certification left students with less than 10 days to prepare.

Lack of preparation time was also a factor during the second test administration. Since scores were mailed less than five days before the second test offering, students who failed part or all of the test had only two or three days to prepare for the second test. Students clearly were not informed of the significance of these exams in enough time to allow adequate preparation.

Another important flaw with the process comes from the validation methods used for evaluating the test as a measurement tool. Since the complete test was never administered to a representative sample of students, there is no way to gauge the reliability of individual questions or the test construct as a whole. Without such verification, it becomes difficult to ascertain if the low scores are the result of poor student preparation,

flawed test questions, or flawed test design. Though there was an attempt to validate the test through professional review and administration of selected sections of the test, significant gaps exist. Without a statistical validation, regardless of the tests' actual validity, questions about the accuracy of the measurement tool will remain.

The politicization of the test raises concerns as well. Statements that say teachers who failed were "idiots" and that the test was written at a high school level risk created an atmosphere in which the possibility of building a constructive dialogue between the public, educators, and politicians was sidetracked into "attack and defend" newspaper editorials.

Colleges and universities in the state have responded aggressively to assure the public that schools of education are working hard to produce professional educators. Bridgewater State College is considering the option of requiring all potential education students to pass the literacy and communication sections of the exam in their sophomore year; Fitchburg State College is designing workshops to assist students with the exams; and Framingham State College President Raymond Kieft is floating the idea of a competency exam for all graduates, regardless of their field (Marcella Bombardiere, "Colleges Seek Answers to Poor Test Scores: Free Workshops, Early Exams Eyed," *The Boston Globe*, B1, July 11, 1998).

The political reactions to the low test scores have also shifted the focus away from the original purpose of the test: to gauge the general literacy, communication, and subject matter knowledge of the candidates for teaching certificates. Because the test does not attempt to measure pedagogical knowledge, it does not specifically measure the knowledge and skills that schools of education attempt to impart to their students. The knowledge measured by these tests is institutional in nature, and requires a unified, institutional focus to impart. By politically separating schools of education from the institutions in general, the missions of the two entities are split and the resources divided, making it even more difficult to address the educational needs of future teachers. ■

Commentary

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the conversation currently proceeds, African Americans are assumed to be the primary beneficiaries. Contrawise, White Americans are apparently expected to benefit only marginally.

This failure to articulate clearly expected ends allows desegregation to proceed without being very clear what is to be achieved. For example, if the courts return to mandated remedies to dismantle segregation, what will they order? Will they order that more African American children be sent to white

schools where they will sit in a lower tracked class and receive differential treatment? Will they order that White children be sent to African American schools where they can participate in magnet programs, or governor's school programs and avoid the rest of the ethnic minority children in the school? A clearer statement of expected ends, including the responsibility of educators to facilitate those ends, is in order.

These issues are raised not to denigrate the goal of desegregation or to suggest that the Special Report's wake-up call is unnecessary. Having lived desegregation's benefits, I am well aware of the

opportunities that became available for middle-class African Americans after Brown. But the point is not to make desegregation work for a select few in a few select cases. The point is to create an educational system that has the potential to allow all our children to succeed. As long as many African American and other ethnic minority children are not, the conversation can ill-afford to focus on the re-creation of current desegregation models without some critical discussion of their limitations. Surely Americans with common goals can agree to reason together to achieve a mutually agreed upon vision—a fair and equitable school environment for all children. ■



BRIEFS

Teacher Shortages Across the Nation: Implications for SCDEs

by Said Yasin

The new school year begins with the prospect of increased enrollment for schools, colleges, and departments of education (SCDEs) as the demand for more teachers becomes widespread. Amid calls for classroom size reduction, more teacher retirements, and population pressures from high immigration, some regions in the U.S. are experiencing teacher shortages. The problem is compounded by the "outcry" of the perceived low quality of teacher education students. What are often seen as competing pressures—raising admission standards and increasing productivity—now simultaneously confront many SCDEs.

In some parts of the nation, such as Prince George's County, Maryland, the demand for qualified teachers remains acute. Some Maryland school districts are enticing qualified teachers with financial incentives that include paying rent and moving expenses, and providing low interest loans, with the Maryland state superintendent proposing that teaching be exempt from state income taxes.

Similar stories are reported in South Carolina and Virginia. States such as Ohio that traditionally have supplied teachers are experiencing shortages in some areas as well. According to Phillip J. Rusche, Dean of the College of Education and Allied Professions, University of Toledo, Ohio, "the shortages are real," particularly in areas of special education, middle grades, and preschool in Ohio.

Said Yasin is a Research Associate at AACTE.

Even more startling is the shortage in substitute teachers. According to Dean Raphael Nystrand of the University of Louisville, in some school districts in Kentucky the severe shortage of qualified substitute teachers has forced some districts to hire substitutes known to have only high school diplomas. Administrators in Washington state are experiencing similar substitute teacher shortages as well. Other states are considering lowering their qualifications to two years of colleg and increasing the amount of time allowed for substitute teachers to work.

The strong economy and the tight labor market are partially responsible for these shortages, said Dr. Hugh J. Scott, Dean of Hunter College in New York. Initial reports suggest slight increases in enrollment in some teacher education programs in Wisconsin, New York, and Ohio, and stable enrollment in Kentucky and South Carolina.

The shortages are most critical in special education, languages, sciences, and math. These shortages, however, present opportunities for SCDEs to tailor their supply of teachers and teacher education programs to these new market and demographic changes. In response to concerns about the quality and certification of new teachers, some SCDEs are instituting program changes that include redesigning their professional preparation programs and raising admissions requirements.

"We have made major changes in teacher education at Winthrop," said Dr. Thomas Powell, Dean of the College of Education at Winthrop University in

South Carolina. "We have a new performance-based conceptual framework; new core courses requiring a greater articulation and synthesis from the various departments; a higher GPA required for admissions to the teacher education program; new requirements for instructional technology; a new design for our Professional Development Schools; and more requirements for field-based experiences in the schools." Dr. Hugh Scott's department is engaged in a restructuring effort to create schools that are more responsive and participative. Other schools are considering English as a Second Language programs to meet the needs of new immigrant communities from Vietnam and Mexico, said Dr. Carmen Coballes, Associate Dean at the University of Wisconsin at Oshkosh. At the California State ed schools they are trying to anticipate the impact of the prohibitions on bilingual teaching.

The response to these teacher shortages will be very revealing in the months to come. As the impact of shortages on school districts becomes more evident, the impact on SCDE enrollment will become more apparent as well. Given recent legislative agendas, the response of state legislatures is worth watching. ■

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President's BRIEFING

by Allen Glenn

Teaching as a Public Act

One day my principal passed me in the hall and said, "You must be doing a good job; I haven't heard anything bad about your classes." Right. Shut the door, do your job, and get praised for doing a good job! Today, however, school test scores are published in the newspaper, teachers are identified for improvement in performance, and principals are told to get the test scores up or be gone. What happened to the good old days when schools were very much out of the public eye?

First, the good old days were never that good. People have been peering into classrooms and into the lives of teachers since schools opened. In fact, teachers often had norms of behavior imposed on them by the community and many still feel those pressures. But, there are some very important changes occurring in American society, and they are having a direct impact on teachers and teacher education.

Gary Fenstermacher describes these changes in the following manner. He notes, "There does not appear to be a distinct form of public life in our culture. Instead, our private lives seem to have become our public life. This blurring of the public and private life is also having an impact on teachers and teacher education."

Today, there is a concerted effort to look into the private life of the classroom; not the teacher per se but the act of teaching. The intent is to make teaching much more public and accountable. Proponents of good teaching are saying it isn't enough to be a good "parent-surrogate" but good teaching should be

based on teacher expertise—the ability to make a difference in student learning and their lives. Therefore, if students are not meeting state standards, what is the teacher doing? What's going on in the classroom? Teaching is becoming more and more a public act open to greater scrutiny and accountability. The consequences of such a trend impact both teachers and teacher education.

First, teachers contend they are professionals. They have a unique and difficult body of knowledge and serve the good of society and, consequently, should be given the autonomy and responsibility to carry out their jobs without being subjected to a multitude of intrusive rules and regulations. While they know that accountability can be expected, public scrutiny in the form of entering the classroom and questioning their competence is difficult to accept. This is especially difficult when the intrusion comes from groups who are perceived to have little expertise or knowledge of teaching.

Next, teaching, for the vast majority of teachers, is still an individual and isolated profession. Making it a more public act is contradictory to what teachers expect. Throughout the schooling experience there has been just a teacher and a classroom of students. That's the way it's supposed to be. In fact, SCDEs reinforce these norms by focusing on the individual preservice student, the development of individual teaching skills, the private assessment of those skills, and by placing preservice teachers with an individual teacher in a particular classroom. In fact, little in the preparation program prepares preservice students for the public nature of their job.

Upon hiring, the majority of public schools also reinforce the "individual-isolated" norm. Teachers are assigned a classroom, a specific subject or grade level, and a variety of classes, making collaboration a pretty difficult option—especially in secondary schools. Yes, teachers meet, talk, attend in-service activities and occasionally decide things collectively, but when it comes to instruction, the teaching act still remains individual and isolated.

As noted above, however, the call is to make the teaching act much more public and accountable. As teacher educators we must begin to understand these changing conditions and ensure that our graduates are prepared for a more complex teaching career and that they understand their unique and public role in sustaining a democratic society. We must ensure they are prepared for the bright lights of public scrutiny.

Preservice teachers need to be placed in collaborative environments. They need to become comfortable with practicing lessons in front of peers for feedback and critique and teaching students with other teachers. They need to interact with persons preparing to be principals, counselors, school psychologists, and health/social service providers. These interactions should focus on how to work effectively as a team in addressing student learning needs. Placements in partner schools should be with a team of collaborating teachers who teach in front of each other.

Preservice teachers also need experiences in the school and community in which they demonstrate to parents and citizens their talent as teachers. Portfolios need to be public and demonstrate the preservice teacher's ability to improve student learning. More of what they do must be demonstrated to a wider audience than just the professor. Our

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AACTE BRIEFS

David G. Imig, Chief Executive Officer
Deborah Hinrichs, Editor

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SLATE Project

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strands: school readiness; school success and retention; enrichment and cultural experiences; and family advocacy.

University of Montana, Missoula

The University of Montana, Missoula school of education plans to extend its service-learning efforts into preservice teacher education and local and rural schools in Montana. This AACTE/SLATE project will more extensively document current involvement by school of education faculty in service-learning activities, extend the use of service-learning in all methods courses so as to introduce preservice teachers to its pedagogical applications, conduct an evaluation of local school personnel and community agencies that have used University service-learners to assess the effectiveness of service-learning in meeting local needs, determine the current use of service-learning in local schools, develop and field test training materials for community agencies and local schools, and disseminate information to faculty, community agencies, local schools, and the larger teacher education community.

Providence College, Providence RI

Over the past four years, Providence College has integrated service-learning pedagogy into its elementary/special education teacher education program. Through a strand of method courses, field work experiences, and courses leading to a minor in public and community service studies, preservice teachers are prepared to use service-learning in elementary and special education classrooms and to address issues of school reform.

Education faculty and elementary school teachers have collaboratively planned the preservice teachers' field experiences through a series of summer workshops. In the process, they have influenced each others' practice.

This AACTE/SLATE project focuses on connecting curriculum standards to service-learning projects in classes and practice, developing a method of using

teaching portfolios which link service-learning competencies with national and state teacher standards, and designing an evaluation process to determine the impact of service-learning on beginning teachers.

University of South Carolina, Columbia

The College of Education at the University of South Carolina, Columbia, has been a leader in service learning in the state for the past five years. This project advances the knowledge base in service-learning through descriptive research and documentation of service-learning activities at the university and other members institutions of the South Carolina Association of Colleges for Teacher Education (SCATE), an AACTE state affiliate. Identifying and describing unique features, promising practices, significant outcomes, and other impacts of service-learning efforts of SCATE institutions are emphasized. The project will continue to provide technical assistance in service-learning beyond the initial project year.

All Education majors in the undergraduate program complete 20 hours of community service, and many students do more. A SLATE survey shows that more than half the college's faculty use service-learning in their courses. As part of the project, five mini-grants have been awarded to USC's Professional Development Schools to study how service-learning and teacher education are carried out in various contexts. A training and research manual, written by USC's SLATE project staff, which describes the potential of service learning is being published by the National Drop-Out Prevention Center at Clemson University. ■

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Advertisement



College of Education Search Reopened

California State University, Northridge, seeks a Dean for its College of Education with the ability to promote a creative vision for education and teacher preparation; foster faculty research and teaching; engage campus-wide support for teacher preparation; and lead a diverse community in a collaborative manner.

The Dean has primary responsibility for administering the College's instructional programs; providing leadership in curricular improvement and innovation; creating and sustaining an environment supportive of research, scholarship, teaching, and academic excellence; and representing the College in the University and community.

Required qualifications include an earned doctorate from an accredited institution, qualifications equivalent to those required for an appointment at the rank of full professor within one of the departments in the College; an outstanding record of scholarly and professional accomplishment; demonstrated excellence in university teaching; successful leadership experience in the preparation of teachers; demonstrated commitment to promoting educational equity; and at least three years of academic administrative experience, including resource management and personnel decisions at or above the level of department chair, or its equivalent. The College has approximately 78 full-time faculty and enrolls about 587 undergraduate and 1287 graduate students.

Position available Fall 1999

Review of applications begins October 5, 1998, and continues until position is filled. Submit applications to: Chair, Search and Screen Committee for Dean, College of Education, Office of the Provost and Vice President for Academic Affairs, California State University, Northridge 18111 Nordhoff Street, Northridge, CA 91330-8220. The University is an Equal Opportunity/Affirmative Action Employer.

SLATE Project Approved for Second Year

The Corporation for National Service has approved a second year for AACTE's Service-Learning and Teacher Education (SLATE) project, effective September 1, 1998. Service-learning is described as a way of enhancing the effectiveness of both teacher education programs and the P-12 curriculum. In the conviction that member institutions should have the opportunity to consider service-learning as a way of enhancing programs, AACTE entered into an agreement in 1997 with the Corporation for National Service for the three-year SLATE project.

The report from the first year, to be completed this fall, will form a basis for increased technical assistance by the subgrantee institutions. A joint meeting this month of the SLATE Advisory Council, the subgrantee project directors, and the National Service-Learning in Teacher Education Partnership (NSLTEP), also funded by CNS, will be a first step in efforts to more closely align the work of AACTE and NSLTEP.

The National Partnership provides consultation with teacher educators developing service-learning components of courses, practicums, or student teaching; a listserv and Web site (<http://www.az.com/~pickeral/partnership.html>); regional institutes for teacher educators; and databases of related materials and of people active in the field.

Also included in the second project year is a study of relationships between national teacher standards and service-learning strategies. This study, to be conducted by SLATE project staff, will identify factors inherent in program/unit standards that support or enable service-learning in teacher education.

As part of the project's first year, Joost Yff, AACTE's SLATE project director, visited each of the six subgrantee

sites this spring. Six member institutions were awarded partial financial support to participate in the development of the service-learning knowledge base, and to work toward the development of strategies for applying service-learning in teacher education. The variety in institutional type, demographics and geography among the six subgrantees is considered one of the strengths of the project. The subgrantees strive to contribute to the broader consideration and application of service-learning in teacher education curriculum and practice. The following project summaries are based on those visits.

Augsburg College, Minneapolis, MN

Integrating service learning into teacher education has encompassed two areas at Augsburg: using service-learning as a pedagogical technique in higher education; and teaching preservice teachers to integrate service-learning into their teaching. Over the past three years, the College has clarified a set of service-learning core beliefs and has developed a model for including a service-learning knowledge base and methodology in preservice teacher education. This project has two main objectives: to strengthen the Augsburg model of service-learning in teacher education; and to assess the impact on service-learning on K-12 students, schools, and preservice teachers.

On August 6-7, the Augsburg Department of Education hosted and co-sponsored with the Minnesota Department of Children, Families, and Learning (DCFL) a statewide service-learning workshop for K-12 teachers on assessing learning through service, with emphasis on ways that teachers can document student achievement relative to the outcome-based Minnesota Graduation Standards.

Next year, Augsburg College will collaborate with DCFL, the Minnesota Campus Compact, and the Minnesota Association of Colleges for Teacher Education (an AACTE state affiliate), to support and advocate service-learning in all teacher education programs. Sev-

eral training activities for Minnesota teacher education faculty will be followed by grants to SCDEs to develop or enhance service-learning integration.

California State University, Chico

The department of professional studies in education at California State University-Chico implements a unified and substantial response to concepts and practices of service learning. Now in its fourth year of partnership with the Partners in Education (PIE) Program of the Los Molinos Unified School District, all students enrolled in teacher education programs receive training and participate in service-learning experiences with the PIE Program.

More than 700 P-12 students and community members participate annually in 30 major activity themes based on the study of environmental science and watershed curriculum. The program emphasizes hands-on service-learning activities which develop civic pride and a sense of stewardship toward the environment and the community.

The objectives of this project are: to develop methods and materials for technical assistance to other SCDEs aspiring to incorporate service-learning in teacher education; to strengthen arrangements for the partnership; to produce and implement faculty development activities in service-learning; and to plan formative evaluation of the effectiveness of the partnership activity.

Hampton University, Hampton, VA

The school of liberal arts and education at Hampton University emphasizes curriculum restructuring, faculty development, student participation, and community partnering.

A service activity community fair was held for agencies, schools, businesses, and community organizations to help identify needs and potential volunteers for service-learning. The project will expand partnering efforts with schools and community-based programs such as Boy Scouts, Talent Search, and the Community Outreach Program. The program emphasizes four tutorial or mentoring

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President's Briefing

continued from page 2

students must have the confidence and ability to discuss with a very diverse group of individuals how they meet their student's learning needs.

In addition, teacher education programs must assist preservice teachers in understanding the public purpose of schooling and the school's role in sustaining a fragile democracy. Preservice students must understand that public education is an idea, not a mechanism. It promises every young citizen a fair grounding in the intellectual and civic tools necessary to have a decent life in this culture and economy. Teaching is more than pedagogy; it involves public discourse.

Finally, preservice teachers need to grapple with the inherent conflicts between professionalism and public accountability. Professionalism can and does provide meaningful standards to judge teachers and can serve as an im-

portant symbol. But, the realities are different from the symbol. In truth, professional practitioners are never as autonomous as they would like to believe. As clients—in our case students, parents, and policy makers—become less satisfied the demands will increase. To respond, teacher educators need to create a symbol of professionalism that is more closely related to the realities of the work life that practitioners confront, a symbol which could provide an intelligible and workable moral guide in problematic situations.

While the spotlight is currently focused on our colleagues in the public schools, we know full well that those of us in higher education will soon be included in its expanding circle. Therefore, while we are preparing our preservice teachers for a more public role, it behooves us to also prepare ourselves. ■

Members Sought for Proposed Special Study Group

A proposal for an AACTE Special Study Group focused on issues in the social and cultural foundations of education is in the planning stages.

The purpose of this proposed SSG includes creating a network of individuals interested in teaching and research in this area; encouraging research on interpretative, normative, and critical issues as they bear upon the preparation of aspiring and practicing educators; and providing an opportunity for members to share their research in the foundations of education.

If interested in becoming a member of the proposed SSG, contact Dean Douglas J. Simpson, School of Education, Texas Christian University at: e-mail: d.simpson@tcu.edu.

For information on AACTE's Special Study Groups, which provide networking opportunities around issues in teacher education, contact Said Yasin, AACTE, tel: 202/293-2450, e-mail: syasin@aacte.org. ■

DEAN — COLLEGE OF EDUCATION

Slippery Rock University, a constituent institution of Pennsylvania's State System of Higher Education, is searching for a dean of its College of Education. Founded as a teacher education institution in 1889, Slippery Rock University currently enrolls over 7,000 students from 40 states and 60 countries.

The College of Education continues to hold full NCATE accreditation and full Pennsylvania Department of Education approval for all of its programs, while the university is fully accredited by Middle States.

The college plays a leadership role in international education, including student teaching abroad. It has developed numerous public school partnerships

in rural and urban settings, and it is rapidly converting its curriculum to performance-based programs.

The college recently was awarded a Heinz Foundation grant for implementation of an innovative teacher education program based in a professional development school in inner-city Pittsburgh. The college is now completing a \$500,000 grant in special education. A close, mutually-supportive relationship exists between the College of Education and the College of Arts and Sciences. The *History of Education Quarterly* is also housed in the college.

The qualities sought in the new dean are as follows:

- ◆ record of accomplishment in higher education administration
- ◆ ability to advocate for programs of excellence in education
- ◆ clear vision of future needs in teacher education
- ◆ history of collaboration with area schools and faculty in academic disciplines
- ◆ commitment to diversity in faculty and student body
- ◆ knowledge of current and future issues in instructional technology and K-12/higher education connections
- ◆ understanding of the dean's role in obtaining external support through grants, foundations, and alumni gifts
- ◆ commitment to and knowledge about requirements for state and national (NCATE) accreditation
- ◆ ability to manage a budget in an era of declining resources

Doctorate in education or related field with five years teaching/administrative experience in K-12 schools required. Also required are excellent interpersonal and communication skills, demonstrated effectiveness in working with diverse constituencies and political astuteness with sensitivity to a unionized environment; skill in building consensus, making equitable decisions and in developing action plans. It is also expected that the dean will have an appreciation of the importance of applied scholarship and commitment to encouraging faculty to engage in scholarship relating to current trends and issues in education.

The anticipated starting date is negotiable with a preferred date of January 1, 1999. Salary is competitive. A variety of housing is available, from suburban Pittsburgh to rural western Pennsylvania and small communities between. The cost of living is relatively low and the fringe benefits excellent.

Send letter of application, a complete resume, graduate and undergraduate transcripts (official transcripts will be necessary before hiring) and the names, addresses and phone numbers of three references to:



Education Dean Search Committee
Provost's Office
Slippery Rock University of Pennsylvania
Slippery Rock, PA 16057

Review of applications will begin August 31, 1998 and continue until position is filled. Slippery Rock University is a member of the State System of Higher Education and is an affirmative action/equal opportunity employer building a diverse academic community and encourages minorities, women, veterans and persons with disabilities to apply. You can learn more about us on our web page at www.sru.edu.

COMMENTARY

Focus on...
DIVERSITYby Vanessa Siddle Walker
One in a continuing series

As a watchdog agency on the status of school desegregation in this country, the Harvard Project on School Desegregation has submitted a timely and alarming assessment of the backward moves this country is making in its efforts at school desegregation (Orfield, Bachmeier, James, Eitle, 1997). Layered with substantial quantitative documentation, the Special Report assesses the discouraging state and national trends that reveal a reversal in the gains of school desegregation made in the 1970s, most notably in the South. Even more disturbing, it uncovers the often undisclosed connections between Supreme Court decisions, presidential politics, and congressional policies (or lack thereof) that collectively threaten to reverse the educational opportunities that were made possible by the much-celebrated Brown decision. How can any American committed to equality fail to be moved by the urgency of their argument, especially when the data and conclusions appear so reasonable?

But, like the American ideal itself, desegregation in this country is a complex phenomena that cannot be so neatly summarized as the Special Report might imply. To reawaken the country to a "serious national examination of the consequences of resegregation" is a virtuous goal. Yet, in seeking that goal the Report seems:

- to reduce the aims of desegregation implicitly to the gains received when poor ethnic minority children are seated next to White children
- to suggest that the problems with desegregation can be solved through a variety of federally mandated school desegregation plans.

Vanessa Siddle Walker, Ed.D., is an Associate Professor at Emory University.

Editor's Note: This column, sponsored by the AACTE Committee on Multicultural Education, is one in a series designed to address critical issues in multicultural education. This article was written in response to the Special Report from the Harvard Project of Researchers led by Gary Orfield. The report, when it first appeared, prompted discussion among AACTE member institutions because of its implications for teacher education. In her comments, Dr. Vanessa Siddle Walker carries the discussion forward by proposing conceptual and definitional rethinking. We encourage comments about this series; address comments to: Mary Dilworth, Senior Director, Research and Information Services, AACTE, e-mail: mdilworth@aacete.org.

- to omit in its analysis a discussion of critical variables that have impeded desegregation efforts to date.

In the omission of these complexities, the Special Report sidesteps its responsibility. While the goal of a desegregated society is important and a call to reexamine the means by which that end is being jeopardized is timely, a reminder by J. F. Kennedy is in order: "Our responsibility is not discharged by the announcement of virtuous ends." This essay seeks to expand the national conversation on desegregation by offering an overview of several underspoken assumptions that hamper desegregation efforts. Inherent in the discussion is the belief that these assumptions must also be part of the national wake-up call if desegregation is ever to be successful in America.

Assumption #1: We know what African American parents wanted from desegregation.

Although all references in the Special Report date desegregation with the Brown decision in 1954, desegregation is not just a 20th century phenomena. Since it is not, a lesson from history might provide useful parallels.

In 1787, African American children were in desegregated schools in Boston. Data remaining from the era suggest that, according to their parents, when the children were in the desegregated schools, they were ostracized and forced to receive instruction in a hostile school climate. When the students were later in a segregated environment, the parents objected because the schools were not provided with adequate resources or facilities. Division ensued on the best course of action. Just as the conversation would be revisited in the 1930s and the 1950s, African American parents were

forced to contemplate whether to push for a return to desegregated schools or to push for equality in resources and facilities. At the root of the parental dilemma appears to be the desire to have sympathetic teachers and good facilities. In the current debate, as in the one of the previous century, African American parents are again faced with unacceptable choices. They can choose desegregated environments and ignore the documentation that demonstrates that many African American children in desegregated schools are victims of inequitable treatment in grading and teacher expectations and they have differing rates of expulsion, suspension, and tracking. Or, they can keep their children in segregated neighborhood schools and continue to confront inequities in resources, teacher distribution, and the other difficulties that characterize many urban poor schools.

A useful twist in the conversation on desegregation might be to enter into a dialogue with the understanding that African American parents want from desegregation facilities, resources, and equitable treatment. As such, a debate about how to achieve desegregation that does not provide attention to improving the quality of the experiences of the children in the environment is as unresponsive to their requests as is a national drift toward returning to neighborhood schools where their children will be the victims of fewer resources and opportunities. Neither solution addresses the dilemma the parents have continually confronted.

Perhaps this context will be of interpretive value for those who accuse contemporary African American parents of "waffling" on the school integration question. To say that African American parents don't know what they want because national magazines feature articles that

show divisions in African American perspectives on desegregation is to assume the wrong question and to answer it incorrectly. African American parents have not wanted to sit next to White students for the mere sake of sitting next to them and, because of continuing difficulties in accomplishing that end, are now changing their minds. African American parents have wanted quality education for their children that would prepare them to participate in the American ideal, and in the face of equally unacceptable options, both now and a century before, have differed on how best to proceed in order to achieve that end.

Assumption #2: Nothing of value happened in segregated African American schools.

So much of school desegregation has been implemented with the rescue model. Well-meaning desegregation enthusiasts anxiously sought to remove African American children from the despicable school buildings to which they were subjected and reroute them to the superior White schools. Since the children were being rescued from their poor segregated schools, including being rescued from their inferior teachers, principals, and parents, desegregationists did not question whether there were cultural forms of teaching, learning, and parental support that might be useful in the desegregated environment. Indeed, implicit in the rescue model is the assumption that nothing of educational value could have happened in any segregated Black environment.

Recent research has challenged this assumption. Scholars concur that facilities were poor. However, they have also provided consistent documentation of a cultural form of schooling practiced by teachers and principals and have delineated forms of parental support African American communities have traditionally used to support education. Contrary to the dominant assumptions that have linked all "education" to the resource distributions controlled by White school board members, the schools cannot be explained so easily.

Understanding these cultural forms of schooling, exploring the ways in which the culture has been maintained, and thinking about how that culture can be incorporated in desegregated school environments are all critical components for successful desegregation. Desegregation plans that fail to take this history into account will always be implemented using a one-sided approach, with the result being that the culture of the White schools will be maintained and African Americans, having been rescued, will be expected to assimilate. At what point will desegregation become a blending of both traditions?

Assumption #3: White racism has nothing to do with the failure of school desegregation.

Changing residential patterns that have created all-Black schools, school board neglect, White flight, presidential politics that have stacked the court—these are all symptoms of a larger problem. In the Special Report, only these symptoms are described—as though they have no root cause.

Let us be frank. A continuing challenge in school desegregation is racism on the part of some Americans of European descent. By that, I mean some Whites have maintained an unequivocal acceptance of White privilege and have denigrated any efforts that threaten to compromise that privilege. Again, let us learn from history. In 1868 when three Black girls entered previously all-White schools in New Orleans after the state outlawed segregated schools, some Whites used the same mechanisms to resist school desegregation that their descendants would use in the 1970s: the members of the school board employed every available legal loophole to deter and then undermine the school desegregation, White pupils were withdrawn when the Black students enrolled, White parents boycotted the schools, White parents began sending their children to nonpublic schools with public money, and (significantly) after a period of resistance, unrelenting Whites were able to put into office public officials who agreed

with their view and who would dismantle the desegregation policies they found repulsive. These strategies, coupled with a national attitude that embraced White supremacy, ultimately rewrote a state constitution and returned the one third or more Black pupils who were by then in desegregated schools to segregated schools.

The report correctly points out the policies that are undermining school desegregation, but by not naming the root cause, it blames nameless, faceless "policies," without recognizing that those policies are being implemented by people who have an agenda that represents a constituency. The continuing resistance of some Whites to school desegregation is at the root of the flight that has created all-Black schools and is at the root of the federal, state, and local politics that have allowed the court to reverse desegregation plans. Let us cease to use more palatable euphemisms like "residential patterns" and begin to acknowledge the deep-seated attitudes that have plagued many efforts at desegregation.

Assumption #4: The purpose of desegregation does not have to be clearly named.

According to the Special Report, White students will benefit from desegregation because it answers their need to be exposed to students of differing ethnic backgrounds. This exposure is necessary so that the students will not be "ill prepared as the American workforce changes and skills in race relations become increasingly valuable in many jobs."

Is that it? Does desegregation have no more merit for White Americans than exposure? And, if that end is appropriate, do current desegregation plans, where most African American students are re-segregated from their White counterparts in desegregated schools, even meet those ends? What about African American students? Why is it acceptable to talk about the benefits of desegregation for them without also talking about the costs?

The desegregation debate needs a fundamental reconceptualization and articulation of what desegregation is supposed to provide—for all Americans. As

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**U.S. Department of Education
IAS Regional Conferences**

Research Overview

Institute on Teacher Recruitment, Preparation, Induction

Presented by

**Elizabeth F. Fideler, Ed.D.
Vice President for Policy & Research
Recruiting New Teachers, Inc.
385 Concord Avenue
Belmont, MA 02178
(617) 489-6000**

2,000,000 new teachers needed over next decade:

- **Rising Student Enrollments:** America's schools are serving more students than ever before—even at the height of the baby boom. (1995: 50.7 million; 2005: 55.9 million)¹
- **Aging of the Teacher Workforce:**
Average age of public school teachers is 43.²
Public school teachers with > 20 years' experience: 30%³
- **Need for Teachers of Color:** 32.7% of public school students are minority vs. 13.5% of their teachers.²

Sources: 1) National Center for Educational Statistics (NCES), *Projections of Education Statistics to 2005*, 1995

2) NCES, *Schools and Staffing Survey, 1993-94*

3) NCES, *Digest of Education Statistics, 1996*

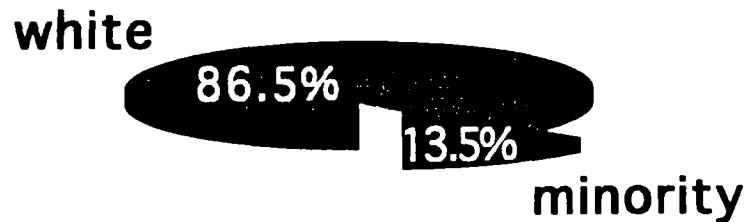


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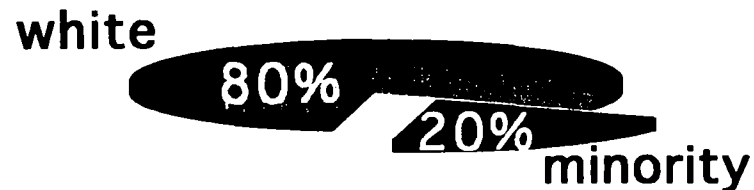
- **Geographic (particular states, disadvantaged urban, rural schools):**
 - Owing to school enrollment increases; growing student population diversity (racial/ethnic and linguistic); class size reduction
- **Subjects/fields:**
 - Special education; bilingual education; mathematics, science
- **Teachers from underrepresented groups**
 - 42% of America's schools have no minority teachers at all.¹
 - Male teachers

THE TEACHER DIVERSITY CHALLENGE

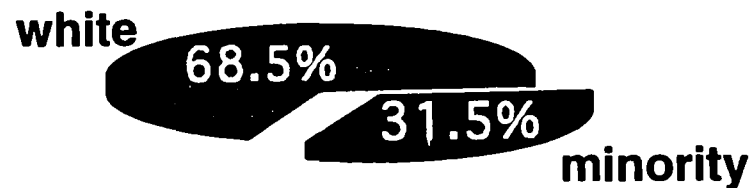
MINORITY PERCENTAGE OF CURRENT TEACHERS¹...



...OF CANDIDATES FOR BACHELOR'S IN EDUCATION²

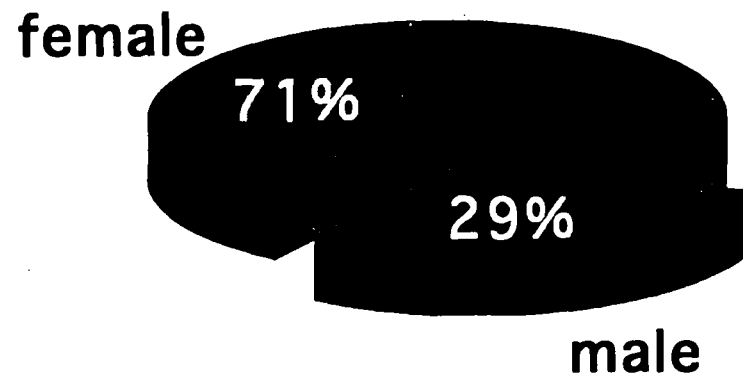


...OF SCHOOL-AGE CHILDREN¹...

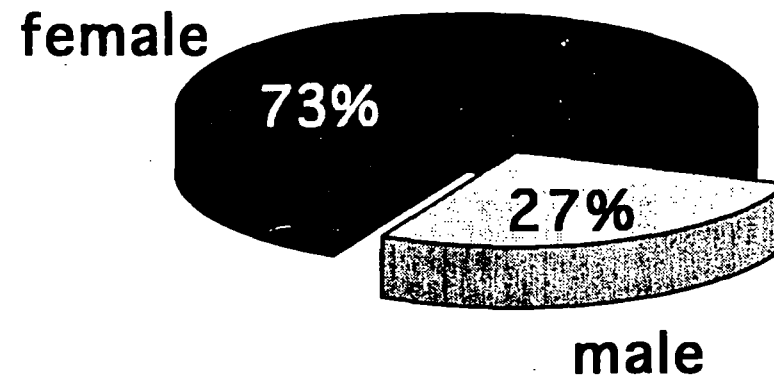


Sources: ¹NCES, *Schools and Staffing Survey*, 1993-94
²AACTE, 1997. Preliminary data for 1995

GENDER BREAKDOWN OF SCDE STUDENTS¹



GENDER BREAKDOWN OF CURRENT TEACHERS²



Sources: ¹AACTE, 1997. Preliminary data for 1995

²NCES, *Schools and Staffing Survey*, 1993-94

Nationally:

5.5 million students in Great City School Districts¹

80% of the students in urban classrooms are non-white—compared to just 35% of their teachers.²

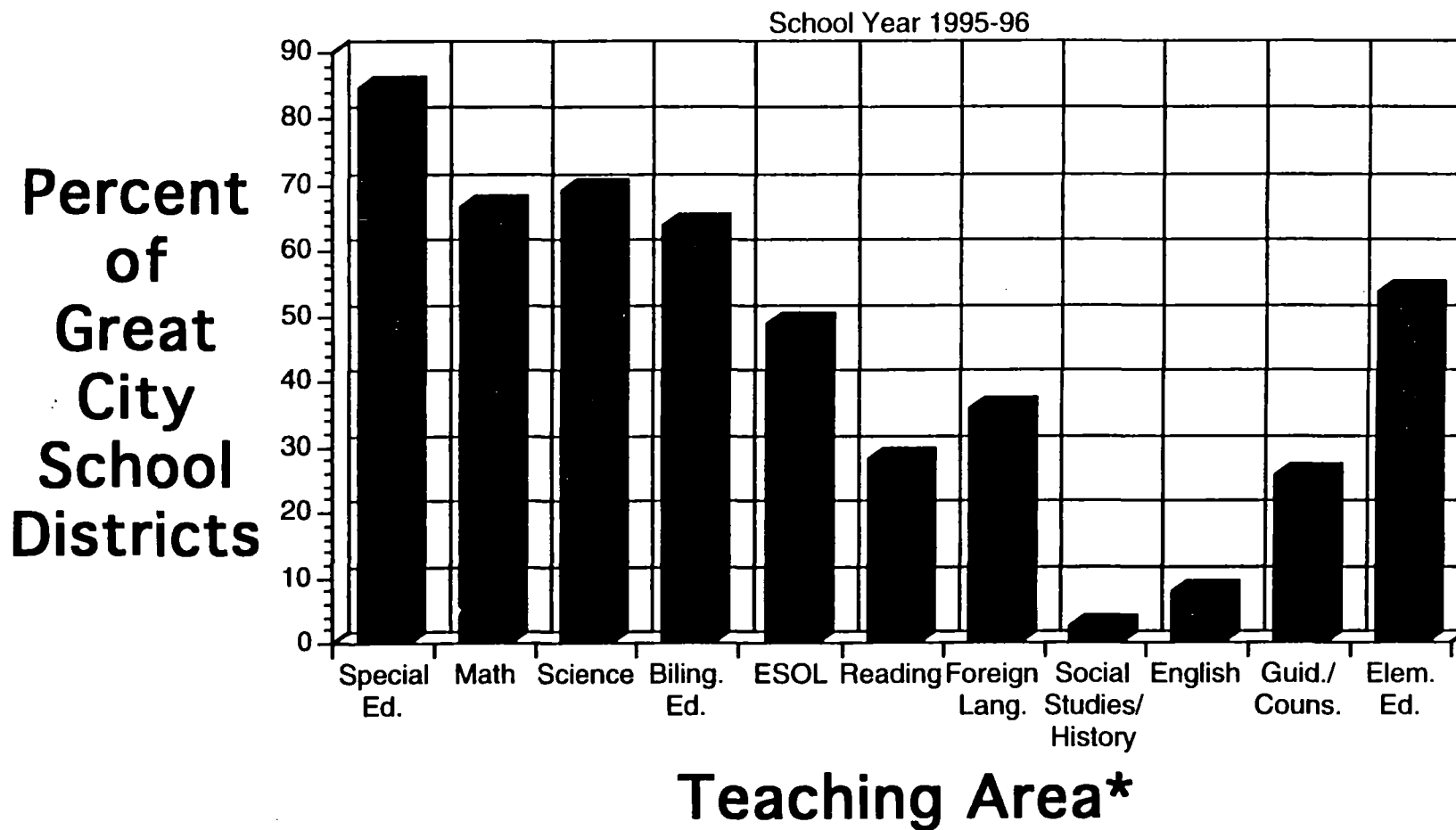
92% of all urban districts have an immediate demand for teachers of color.¹

Sources: 1) RNT, "The Urban Teacher Challenge," 1996
2) NCES, *Digest of Education Statistics*, 1995



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DEMAND FOR URBAN TEACHERS IN THE U.S.



*Indicates demand across all grade levels

CHANGE IN SCDE ENROLLMENT 1989-1995

white	- 1.9
black	+28.4
Hispanic/Latino	+44.6
Asian/Pacific American	+49.1
Native American/Alaskan	+36.5
Other	+ 6.6

Source: 1) AACTE, 1997. Preliminary data for 1995.



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PRECOLLEGIATE PROGRAMS NATIONALLY

	1992 ¹	1994 ²
• Precollegiate Programs identified by RNT's surveys:	216	253
• Number of states:	39	44
• Current student enrollment in reporting programs:	30,000	50,000
• Total student enrollment in reporting programs since program inception:	175,000	175,000
• Composition of current student enrollment:		
minority (compared to <13.5% of current teachers)	38%	64%
male (compared to 27% of current teachers)	35%	30%

Sources: 1) RNT, *Teaching's Next Generation: A National Study of Precollegiate Teacher Recruitment Programs*, 1992
 2) RNT, *Teaching's Next Generation: Five Years On and Growing*, 1996.



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CONTINUUM OF PRECOLLEGIATE PROGRAM TYPES

Magnet Schools and Teacher Academies

13% of total: highly intensive and 'extensive'
(lengthy in duration)

Curricular Offerings (credit-bearing courses)

32% of total: Somewhat intensive and extensive

Institutes and Workshops

19% of total: Highly intensive; not extensive

Extracurricular Clubs

35% of total: Intensity and extensity vary widely

General Career Awareness Activities

45% of total: Teaching is one of many foci

Source: 1) RNT, *Teaching's Next Generation: A National Study of Precollegiate Teacher Recruitment Programs*, 1992

MAIN PRECOLLEGIATE PROGRAM OBJECTIVES

- **Create an awareness of the teaching profession generally: 77%**
- **Expand the pool of potential minority teachers: 68%**
- **Raise the quality of students entering teaching careers: 46%**
- **Address a projected general shortage of teachers: 39%**

Source: 1) RNT, *Teaching's Next Generation: A National Study of Precollegiate Teacher Recruitment Programs*, 1992



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1. **“Connectedness”—with school and community, and with levels of education that precede and follow these programs**
2. **“Apprenticeship”-style activities**
3. **Adequate support for staff**
4. **High expectations for students**
5. **Clear admissions requirements and participation criteria**
6. **Sufficient resources to enable student participation and matriculation into college**
7. **Modeling an evolving concept of the teaching profession**
8. **Sufficient attention to rigorous evaluation**
9. **Long-term commitment at all levels**

Source: 1) RNT, *Teaching's Next Generation: A National Study of Precollegiate Teacher Recruitment Programs*, 1992



Recruiting New Teachers, Inc., 385 Concord Ave.
Belmont, MA 02178 (617) 489-6000

Survey Findings Indicate:

- Over 9,000 participants
- More than 3 /4 from groups underrepresented in teaching
- 200+ programs located in 30 states, DC, and Canada
- California, Texas, and New York have the most programs.
- Close to 3/4 of responding programs operate in urban areas, but not exclusively.



Source: 1) RNT, *Breaking the Class Ceiling: Paraeducator Pathways to Teaching*. (1996)

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Current Participants – Number and Characteristics:

- **Over 9,000 paraeducators**
- **Highly experienced**
- **Mature**
- **Women outnumber men by nearly 5 to 1.**
- **77 % are from groups underrepresented in teaching**

Source: 1) RNT, *Breaking the Class Ceiling: Paraeducator Pathways to Teaching*. (1996)



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Incentives and Accommodations :

- **Financial:**
 - > scholarships, forgivable loans, waivers
 - > book allotments
 - > stipends, salary replacement
 - > fee waivers, reductions
- **Flexible class scheduling:**
 - > evenings
 - > weekends
 - > summer term
- **Support for meeting state requirements,
e. g., test preparation workshops**
- **Preference, priority in hiring**

Current Participants – Characteristics:

- **Maturity: adults aged 25 or older**
- **Many making transition from business/industry, military service**
- **Typically post baccalaureate; often master's degree in area of expertise (e.g., math, science, technology)**

Selected Issues:

- **Time**
- **Clinical Experience**
- **Curriculum Reform**
- **Content/Pedagogy Balance**
- **Technology**
- **Influence of Standards**
- **Alternative Routes; Alternative Certification**



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PDS Model:

- **Focusses teachers on improvement of practice**
- **Depends on school/college collaboration**
- **Shifts training from university campus to school site**
- **Provides greater access to university supervisors**
- **Offers better preparation for cooperating teachers**
- **Encourages reflection on practice**
- **Encourages more applied research**

- **NCATE: accrediting teacher education programs**
- **INTASC: what beginning teachers should know and be able to do**
- **NBPTS: what experienced teachers should know and be able to do**
- **Competency testing for program entry and exit**
- **Assessments for licensure/certification**

Common Features:

- **Condensed time frame**
- **Flexible scheduling**
- **Off-campus classes, workshops**
- **Subject area focus**
- **Licensure requirements—same? modified? waived?**
- **Mentoring and supervision**
- **Programs uneven in terms of quality/rigor**

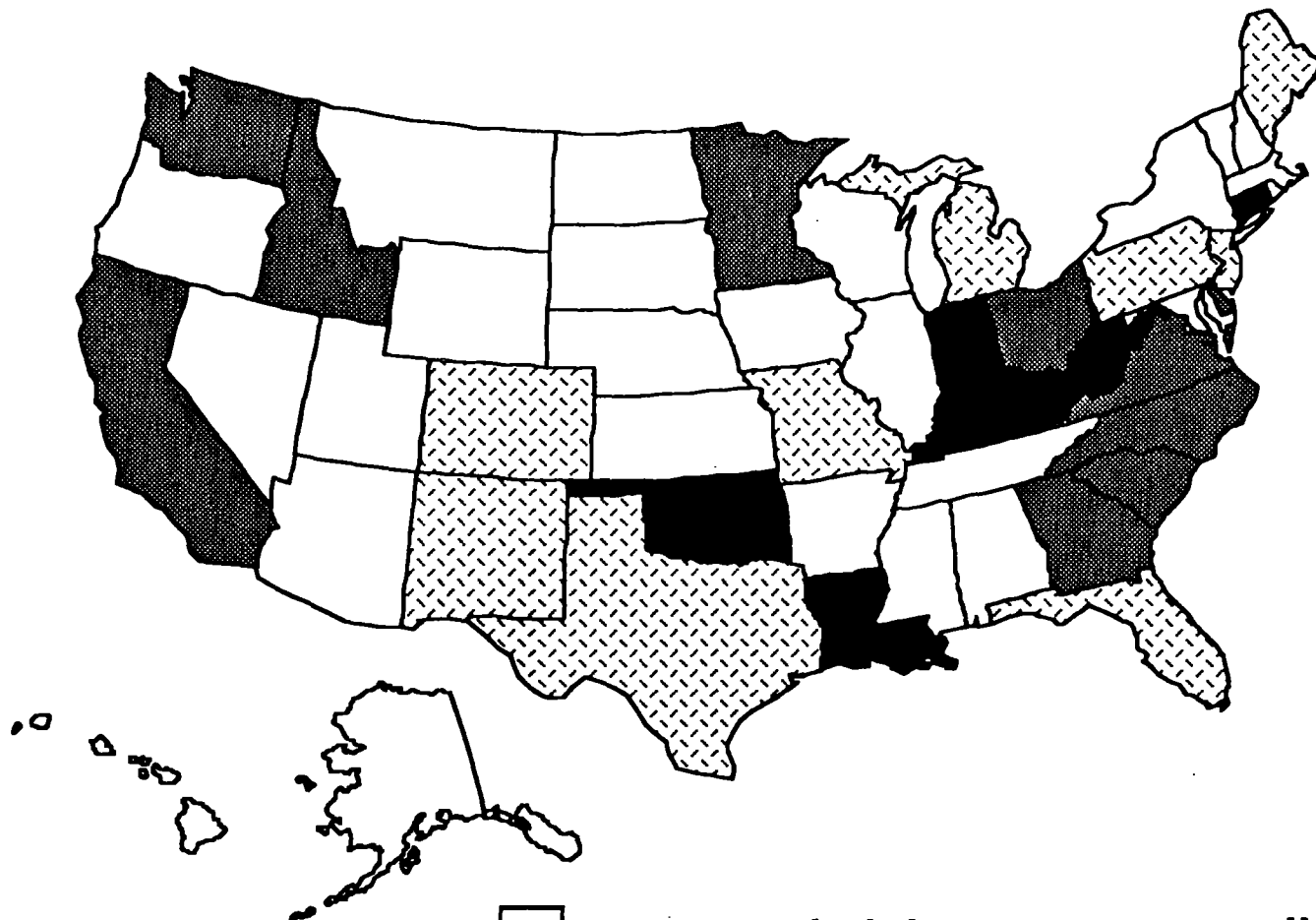
REASONS FOR ESTABLISHING INDUCTION PROGRAMS

- **Attrition of new teachers**
- **Recognition of inductees' need for support**
- **Changing state standards for licensing**
- **Changing curriculum standards in many states**
- **Alternative routes into the profession becoming more common**
- **More interns, emergency, provisional teachers given classroom responsibility**



Source: 1) RNT, National Study of Urban Teacher Induction Programs (forthcoming), Preliminary findings, 1997.

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- ☐ no current state program or policy
- ☒ both mandated and funded (7)
- ☒ mandated, no funding (10)
- ☒ funded, no mandate (10)

“Inductees” are:

Novice teachers (new to the profession, whether licensed or unlicensed) and experienced teachers who are new to a district, school, or subject field

Source: 1) RNT, National Study of Urban Teacher Induction Programs (forthcoming), Preliminary findings, 1997.



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- **To build a sense of professionalism, positive attitude**
- **To provide personal support**
- **To promote collaboration among teachers**
- **To improve inductees' knowledge, skills, performance**
- **To develop inductee self-confidence**
- **To ease the transition into teaching**

Source: 1) RNT, National Study of Urban Teacher Induction Programs (forthcoming), Preliminary findings, 1997.



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- **Orientation**
- **Support/assistance from a mentor or coach**
- **Training**

Source: 1) RNT, National Study of Urban Teacher Induction Programs (forthcoming), Preliminary findings, 1997.



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OPEN SOCIETY INSTITUTE

A Proposal For

BREAKTHROUGH FOR LEARNING

A Joint Project of the New York City Partnership & the New York City Board of Education

EXECUTIVE SUMMARY

Student performance in New York City's public schools is unacceptably low. The human cost of this failure affects us all: the tens of thousands of young people who lack the skills to secure decent employment, and consequently have no realistic hope for improving their quality of life; and the businesses that seek young people qualified for entry level positions, but cannot find them in their communities.

Schools Chancellor Rudy Crew and the New York City Board of Education, together with the New York City Partnership, developed *Breakthrough for Learning* to improve performance in our schools. *Breakthrough* takes management techniques -- planning, goals, and incentives -- and adapts them to our public schools. *Breakthrough* teaches principals how to focus on the school's real bottom line -- student performance -- and rewards the school staff for reaching measurable goals. It accomplishes this by:

- Teaming principals with local corporations to learn how to create strategic plans focusing improving students' fundamental skills;
- Developing a cadre of "Instructional Lead Teachers" and having them mentor their less experienced and less skilled colleagues;
- Understanding and analyzing student performance data and using this information to drive instruction and decision-making;
- Helping hard-to-staff districts to recruit and retain the best talent possible for their principal, teacher and administrator positions; and
- Setting achievement targets for improved performance based on accomplishments at comparable schools, and providing monetary awards to the teaching and administrative staff when the targets are reached.

BREAKTHROUGH FOR LEARNING: A PARTNERSHIP FOR NEW YORK CITY'S PUBLIC SCHOOLS

Education has become a local and national priority for one clear reason: our children cannot reach their potential unless they are well grounded in the fundamentals. That will not happen until our public school system gives our young people the tools needed to succeed.

As a means to improve its schools, New York State has instituted in recent years: higher academic standards; more rigorous graduation requirements; sanctions for low-performing schools; and school report cards. These efforts are helping to drive change, putting pressure on educators, schools and districts to be more accountable for the quality of education they provide. For the New York City public school system, which is responsible for educating 1.1 million public school children, the challenge is enormous.

In 1997, nearly one-third of all New York City sixth graders were reading below the minimum level for their grade, compared to just 14 percent in the rest of the state. Less than two-thirds scored at or above grade level in math. A majority of New York City's high school students fail to graduate within four years, and nearly a third never earn a diploma.

Chancellor Rudy Crew is implementing major changes to improve our schools. Under his leadership and that of the New York City Board of Education, major efforts are underway to transform the culture of the City's public schools and to institutionalize the concept of accountability throughout the system. In December 1996, the landmark School Governance Reform Law was enacted, giving the Chancellor greater authority to hold school leaders accountable.

Breakthrough for Learning is part of this concerted effort for reform. With rigorous day-to-day performance management, *Breakthrough for Learning* requires an uprooting of some long-established practices and significant behavioral change. *Breakthrough* empowers school leaders by giving them the tools to accomplish their goals, and the incentives portion of *Breakthrough for Learning* serves as the "carrot" for under-performing schools.

THE PROGRAM

Breakthrough for Learning compels schools to focus on their real bottom line – student performance. The program is comprehensive: supporting superintendents, principals and teachers as they focus on their leadership and addressing the needs of the students. Through *Breakthrough*, superintendents, principals and teachers are offered an array of professional development opportunities, mentoring, and managerial training to foster their instructional and administrative leadership.

Breakthrough for Learning is a privately funded initiative, but that is only the beginning of the business community's involvement. The private sector provides a variety of services including offering principals access to management consultants for assistance in developing executive strategies to transform their schools, and managerial training through the Partnership's *Partners for Leadership*

program. In addition, *Breakthrough* explicitly encourages superintendents, principals, and teachers to work together as a team; teachers to improve their professional skills, and experienced lead teachers to share their insights. The goal is to demonstrate that the training and support system – linked to achievable incentives – leads to a significant and measurable increase in student performance.

The program's initial pilot site is Community School District 19 located in the East New York section of Brooklyn, one of the poorest performing districts in New York City. Of the 24,551 students enrolled in District 19's 22 elementary and eight middle schools, 53.1% are Black; 40.1% are Hispanic; 1.6% are White; and the remaining 4.5% are of other ethnic or racial backgrounds. In 1998, only 45.9% of these students scored at or above grade level in math. Even fewer of the students, 35.9%, were able to read at or above grade level. As a result of these performance levels, the district ranks fifth lowest of the city's 32 districts in reading and second lowest in math. Through the innovations of *Breakthrough for Learning*, and the leadership of Superintendent Robert Riccobono, and the participation of 30 principals and over 1,700 school professionals, the students of District 19 are poised to improve their skills.

THE STRATEGY AND HOW IT WORKS

Breakthrough for Learning helps schools focus on the key element of student performance. It is designed to accomplish this objective by addressing five crucial areas:

1. Professional Development for principals so they can accomplish substantial performance gains.
2. Certification and Peer Support opportunities for teachers, so they can improve their professional preparedness.
3. Enhanced Diagnostic Information on each student's strengths and weaknesses to give the teachers tools to address those areas where students have the most need, enabling them to reach their *Breakthrough* targets.
4. Incentives in the form of monetary awards are given to superintendents, principals, teachers, assistant principals, special education supervisors, and paraprofessionals as well as the school in recognition of a school meeting or exceeding its *Breakthrough* targets.
5. Recruitment Assistance so they can attract the best teaching and administrative talent available.

Professional Development: A critical component of the *Breakthrough* program is professional development that supports schools – and especially principals, the pivotal school leaders – as they pursue their performance targets. McKinsey & Co. offers a three day August training session in the form of a “master class” style training academy for the principals, helping to hone their management skills in preparation for the coming year. At the end of the session, each principal drafts a *Breakthrough* strategic plan which includes a description of the three to five critical initiatives that he or she will implement in the coming school year to improve performance in his or her school.

Coupled with this plan is a timeline that incorporates clearly defined, measurable benchmarks that the superintendent and his or her district leadership team use over the course of the year to monitor each school's progress on its initiatives. Follow-up training sessions provide principals with ongoing support and help principals find solutions to problems they encounter as they implement their plans.

Certification and Peer Support: The *Breakthrough* program offers honoraria both to teachers who seek to improve their professional preparedness and to teachers who serve as mentors to their colleagues. Teachers completing the National Board for Professional Teaching Standards' training and certification process will receive a stipend to cover the program's costs and an additional award for their efforts. The rigorous NBPTS process is akin to board certification in the medical profession and requires teachers both to prepare a portfolio of their work and to teach sample classes for assessment by the National Board.

Through the *Breakthrough* program, experienced teachers also are eligible to serve as "Instructional Lead Teachers," or coaches to new and struggling members of their schools' faculties. These Instructional Lead Teachers, nominated by their schools because of their exemplary record of performance, serve as the captains of the teacher professional development efforts in their schools. They visit fellow teachers' classrooms and interpret student diagnostic data in order to identify the teachers' areas of weakness. They then help the teachers to improve their instruction by, for example, sharing best practices and demonstrating model lessons. The Instructional Lead Teachers earn a stipend for their efforts.

Enhanced Diagnostic Information: The program has worked with the leadership of District 19 to develop a new student diagnostic data initiative that helps schools harness the power of periodic benchmark assessments. It now is possible, for instance, to determine how many students below the 50% mark are progressing from the bottom quartile into the next highest quartile. It likewise is possible to discern how many students above the 50% mark are moving up even further. *Breakthrough* also has made available a more detailed, textured analysis of students' strengths and weaknesses. Rather than simply being told, for instance, that students cannot read at grade level, schools are provided with information on the particular reading skills with which the students are struggling – such as determining the main idea of a passage, drawing conclusions from the text, and distinguishing fact from opinion. As a result, principals and their teaching teams are able to sculpt their curricular and professional development strategies around specific student (and teacher) needs.

Incentives: *Breakthrough* grants monetary awards to superintendents, principals, teachers, assistant principals, special education supervisors, and paraprofessionals who meet or exceed clearly defined expectations of student performance. If a school reaches predefined performance targets in reading and mathematics, the educators – and the school itself – will receive the awards. The targets are set using actual improvement data from peer schools. All awards will be provided to the entire school team, so members of a school's faculty and staff will never be competing against each other, but rather will be encouraged to work together.

Recruitment: Poor performing districts often find it difficult to recruit highly qualified teachers and administrators. Unfortunately, they are sometimes used as "dumping grounds" for teachers and

administrators who themselves have not performed up to standards in better performing districts. Thanks to ***Breakthrough***, the Superintendent in District 19 and his leadership team have begun to market the District as a place where performance is valued and rewarded. It has started to spread the word about its groundbreaking reform efforts – and top-notch educators have begun to pay attention. Principal vacancies, for example, recently have been filled with qualified, highly recommended individuals who were identified, recruited, and hired in a way that never would have been possible in previous years. Now, the District is preparing to establish a recruitment office – complete with a private sector-trained, full-time director of recruitment – that is the first of its kind in the New York City public schools. The Spencer Stuart executive search firm is helping to locate a top-notch director of recruitment and develop a cutting-edge recruitment strategy for the District.

THE STAFF

Breakthrough for Learning is a joint effort of the New York City Board of Education and the New York City Partnership. This is an opportune moment for cooperation between the public and private sectors, and is the forerunner of more partnerships in the future.

McKinsey & Company helped develop the project on a pro bono basis and continues to play an ongoing role related to professional development for school superintendents and principals. Chancellor Crew serves as Honorary Chair of the Advisory Committee (composed of CEO's, civic leaders and educators) which guides the program.

The Partnership's Senior Vice President of Education and Workforce Development, Anne Rouse, has oversight for ***Breakthrough for Learning***. Stefan Pryor is the Executive Director of ***Breakthrough for Learning***. Please see the attached c.v.'s for their credentials.

EXPANSION AND IMPLICATIONS

Breakthrough for Learning is designed as a five year project for each participating district. Implementation began in September 1998 in District 19 and plans are underway to expand to up to two additional school districts over the life of the initiative. This staggered start means that the Partnership will maintain administration of this program for a total of six years. If the program is successful, it may be expanded throughout New York City's public schools as part of the schools' budget, and would serve as a model for replication in New York and elsewhere in the country.

EVALUATION

A rigorous and comprehensive evaluation is essential to ***Breakthrough for Learning*** to determine the success of the initiative and to guide improvement throughout. Dr. Fred Doolittle, Vice President and Associate Director of Research for the Manpower Demonstration Research Corporation (MDRC) will lead the evaluation team. This independent assessment is supported in part by the Ford Foundation. Dr. Doolittle's c.v. is attached.

The evaluation process began in September 1998, and is comprised of three phases: Phases I and II will assess implementation, and Phase III will assess overall impact. Phase I analyzes how effectively the initiative has been adopted in Brooklyn's Community School District 19, and the planning and preparation activities of the individual schools and the whole District. Changes at each school -- from hiring and personnel decisions to activities in the classroom -- will be assessed to determine whether and how significantly *Breakthrough for Learning* has affected school practices. This phase will conclude after the first year with a report detailing the findings, lessons learned and initial observations about program implementation.

Among the research questions to be addressed are:

- What factors support or hinder implementation?
- Is there a change in teacher attitude and practices and the climate in the targeted schools?
- Do achievement scores in the targeted schools rise?
- How have the overall focus on achievement and the particular concentration on test score-based accountability affected teaching and learning?

Phase II, to be conducted in the second and third years, will evaluate the expansion of the program into two additional school districts as well as continue to assess the progress of implementation in District 19. The second evaluation report, to be prepared at the end of the third year, will include an assessment of the implementation process and recommendations for any changes in the program.

The final phase of the evaluation will be conducted during years four and five and will focus on the overall impact of *Breakthrough for Learning*. Key research questions include what changes in school performance can be attributed to the initiative and which performance variations among schools can be linked to specific factors or characteristics. The final report, due in 2003, will outline the extent to which *Breakthrough for Learning* had an impact on teaching and learning in each of the pilot districts, and assess whether the program achieved its objectives. With this background and the longitudinal study of the program, an assessment can be made and recommendations offered concerning the feasibility and desirability of citywide roll out and expansion on a national level.

CONCLUSION

"The program works. We're able to target right in on what the kids need." Lizette Williams, Teacher, P.S. 108.

Breakthrough for Learning is an ambitious program that can be the catalyst for fundamental change throughout the New York City public school system and the nation. By holding educators, schools and districts accountable, and by offering the tools needed to offer a quality education, *Breakthrough for Learning* will provide an answer to a question of national significance: how do we turn around our public schools?

BREAKTHROUGH FOR LEARNING: C.V.'s

The Partnership's Senior Vice President of Education and Workforce Development, **Anne Rouse**, has oversight for Breakthrough for Learning. Ms. Rouse has been with the Partnership for over three years and was formerly a corporate communications executive with the Comcast Corporation. A graduate of Brown University, Ms. Rouse serves on the Board of Partnership with Children.

Stefan Pryor, an experienced administrator and educator, is the Executive Director of Breakthrough for Learning. As a top advisor to New Haven, Connecticut's mayor, Mr. Pryor helped launch that city's nationally acclaimed truancy prevention program and a \$100 million school construction program. A former US Department of Education Fellow and a lecturer at the Yale Child Study Center, Mr. Pryor participated in the successful development of one of Connecticut's first state charter schools. He is a graduate of Yale College and Yale Law School.

Dr. Fred Doolittle is Vice President and Associate Director of Research for MDRC. He received his Ph.D. in economics and his law degree from the University of California, Berkeley. Dr. Doolittle has authored or co-authored ten MDRC reports and has directed MDRC's research on the U.S. Department of Labor's National JTPA Study, Parents' Fair Share, New Hope Demonstration, JOBSTART Demonstration, and the replication of the Center for Employment Training.

**Breakthrough for Learning
Proposed Budget**

					Year 1		Year 2		Year 3
Planning and Recruitment									
	Principals				15,000		30,000		45,000
	Teachers				10,000		20,000		30,000
Incentives									
	Superintendents				8,525		17,050		25,575
	Principals				125,250		237,975		350,700
	Asst. Principals				18,200		35,750		53,300
	Special Ed. Supervisors				8,450		16,250		24,050
	Teachers				1,124,500		2,072,200		3,019,900
	Paraprofessionals				35,360		67,860		100,360
	School				150,000		285,000		420,000
Professional Development									
	Principal Professional Program				50,000		100,000		150,000
	NBPTS Reimbursement and Bonus								60,000
	Instructional Lead Teachers				154,000		316,000		478,000
Program Evaluation					246,000		400,000		400,000
Administration					177,200		186,060		195,363
					\$ 2,122,485		\$ 3,784,145		\$ 5,352,248

**Breakthrough for Learning
Proposed Budget**

					Year 4		Year 5		Year 6
Planning and Recruitment									
	Principals				45,000		30,000		15,000
	Teachers				27,000		20,500		10,500
Incentives									
	Superintendents				25,575		25,575		17,050
	Principals				350,700		350,700		225,450
	Asst. Principals				53,300		53,300		35,100
	Special Ed. Supervisors				24,050		24,050		15,600
	Teachers				3,019,900		3,019,900		1,895,400
	Paraprofessionals				100,360		100,360		65,000
	School				420,000		420,000		270,000
Professional Development									
	Principal Professional Program				150,000		150,000		100,000
	NBPTS Reimbursement and Bonus				240,000		240,000		180,000
	Instructional Lead Teachers				478,000		478,000		324,000
Program Evaluation					400,000		400,000		200,000
Administration					205,131		215,388		226,157
					\$ 5,539,016		\$ 5,527,773		\$ 3,579,257

**Breakthrough for Learning
Proposed Budget**

							Total Costs		
Planning and Recruitment									
	Principals						180,000		
	Teachers						118,000		
Incentive Rewards									
	Superintendents						119,350		
	Principals						1,640,775		
	Asst. Principals						248,950		
	Special Ed. Supervisors						112,450		
	Teachers						14,151,800		
	Paraprofessionals						469,300		
	School						1,965,000		
Professional Development									
	Principal Professional Program						700,000		
	NBTS Reimbursement and Bonus						720,000		
	Instructional Lead Teachers						2,228,000		
Program Evaluation							2,046,000		
Administration							1,205,299		
TOTAL							\$25,904,924		
In Kind Services									
	NYC Partnership/Chamber								
	McKinsey & Company								
GRAND TOTAL							\$25,904,924		

NO. 455 P. 13/13

Breakthrough for Learning:
A Partnership for New York City's Public Schools
WASHINGTON

Pledges to Date

ACTV	\$ 100,000
Bank of New York	\$ 250,000
Bowne & Co, Inc.	\$ 500,000
Chase Manhattan Corporation	\$ 750,000
Citigroup	\$ 300,000
Federated Department Stores Foundation	\$ 75,000
Ford Foundation	\$ 300,000
Goldman, Sachs & Co.	\$1,500,000
Horace W. Goldsmith Foundation	\$ 25,000
William Randolph Hearst Foundation	\$ 150,000
KeySpan Energy	\$ 500,000
KPMG	\$ 250,000
Henry R. Kravis	\$ 250,000
Lipper Foundation	\$ 50,000
Mauze Charitable Trust	\$ 25,000
Merrill Lynch & Co.	\$ 120,000
The MONY Group	\$ 500,000
New York Life Foundation	\$1,250,000
PaineWebber	\$ 50,000
PricewaterhouseCoopers	\$ 500,000
Time Warner, Inc	\$ 500,000
Tishman Speyer Properties, Inc	\$ 250,000
Viacom Inc.	\$ 150,000
Williams Capital Group	\$ 30,000
Misc.	\$ 26,025
Total Pledges to Date:	\$8,406,025

6/10/99

TALKING IT OVER

HILLARY RODHAM CLINTON

April 21, 1999

I would bet that most Americans can name their favorite teacher or remember the day when she or he singled them out for praise -- or, worse, a scolding in front of the class.

When President Harry Truman handed out the first Teacher of the Year award in 1952, he said that, next to one's mother, a teacher has the greatest influence on what kind of citizen a child will grow up to be. This is not much of an exaggeration. For as many as eight hours a day, five days a week, nine months a year, teachers hold the future of America in their hands.

This week, my husband carried on the tradition of recognizing great teachers when he honored Andy Baumgartner of Augusta, Ga., as the new Teacher of the Year.

A former Marine, Andy is a bundle of energy. Whether he's using popcorn to teach counting or leading a solemn funeral for a departed pet tarantula, Andy's ability to rivet the attention of his kindergarten students is the envy of his colleagues.

When he accepted his award, Andy said, "Educational accountability is the shared responsibility of all Americans. We can no longer continue to make excuses for not providing optimal learning environments for our children, who deserve nothing less than the best."

He went on to list what he thinks makes a learning environment optimal: small classes with strong parental and community involvement, access to the latest technology, an end to disparities between rich and poor schools, and a highly qualified and professionally compensated teacher in every classroom.

I've cared deeply about these issues for many years. In the 1970s, when I worked with the Children's Defense Fund, I knocked on hundreds of doors to talk with parents about their children's schools. In 1983, when my husband asked me to chair a committee to make recommendations to improve Arkansas schools, I traveled the state, listening to teachers and parents about the challenges they faced.

What I learned is just what Andy said: We need smaller classes, strong community support and parental involvement. We must meet the needs of every student -- the disadvantaged and the disabled as well as the gifted and the privileged. And we must recruit, train and hold onto the most effective and dedicated men and women this country has to offer to teach our children.

Among my husband's proudest achievements in his first term was the enactment of the Goals 2000: Educate America Act and the reauthorization of the Elementary and Secondary Education Act. Together, they fundamentally changed the role of the federal government in our educational system by establishing standards and holding schools, teachers and students accountable for meeting them.

Now, as part of a second major revision of the ESEA, the President has laid out a comprehensive three-part strategy to continue the progress we have made. His plan targets funds to prepare disadvantaged students, promotes student, teacher and school accountability, and strives to recruit, prepare and retain the very best teachers.

The President wants every teacher to be fully certified in the subjects they teach and asks states to adopt performance examinations for them. Teachers, like their schools and their students, must meet high standards.

Next, the President would fund scholarships and other programs to attract more mid-career professionals to teaching and to lure more teachers to high-poverty and rural public schools.

One out of five teachers leaves the profession after only three years, so once we've attracted the best individuals to teaching, we have to make sure they want to stay there. We have to offer more peer assistance programs and team planning periods to help new teachers. And we have to offer every teacher ongoing opportunities for professional development.

A major goal of the President's initiative is to reduce class size, particularly in the elementary grades. A recent five-year study of the Milwaukee schools confirmed that students in smaller classrooms outperformed those in larger ones, including those who used vouchers to study outside the public school system. Congress has already funded about a third of the President's proposal to put 100,000 new teachers in the classroom. Now, he is asking lawmakers to finish the job.

Finally, experienced teachers ought to be paid what they are worth. As we raise standards, we ought to raise salaries as well.

Because of a growing student population and an anticipated wave of teacher retirement, this country will need to hire 2 million new teachers over the course of the next few years. Every one of them should be just as committed, competent and enthusiastic as Andy Baumgartner.

As we stand on the brink of the new century, making our public schools the best in the world will be more important than ever. It will take imagination and daring, commitment and perseverance, equity and resources. But we can do no less for our children and for our future.

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April 29, 1997

TALKING IT OVER

HILLARY RODHAM CLINTON

May 20, 1998

America is facing a critical choice -- whether to honor and strengthen our commitment to our public schools or to retreat.

A truly free public education is a cornerstone of our democracy. Nearly 90 percent of the 52.2 million students in this country are enrolled in public schools.

Expanding the commitment to public schools is one of my husband's highest priorities. He has proposed legislation that would reduce class size in the early grades, modernize and build new schools, implement high standards of achievement and help every child read independently by the end of third grade.

It would also link every school to the Internet, end the practice of automatically promoting every student and give communities the flexibility to decide what their schools need.

Some members of Congress, however, have chosen to reject these meaningful improvements in favor of political expediency. They want to take dollars away from the public schools and use them to pay for private-school vouchers.

One proposal that has passed both houses of Congress would provide vouchers of up to \$3,200 for private- or parochial-school tuition to approximately 2,000 families in the District of Columbia.

Many of you have read news reports about the dismal state of the D.C. public schools, sadly referred to as among the worst in the nation. We must fix them, but vouchers are not the solution.

Vouchers divert attention and taxpayer dollars away from the schools that serve the vast majority of our students just when they need these resources to make fundamental changes. That's why my husband has promised to veto the bill.

Recently, a new superintendent took over the reins of D.C.'s troubled schools and has already begun to bring much-needed reform to the system. Now is not the time to siphon off desperately needed money for a program that will affect at most 3 percent of the system's 70,000 students at a cost of more than \$6 million.

Vouchers will not bring one more math teacher into the classroom or repair one broken window. Vouchers will not restore art, music or after-school activities. And vouchers will not rekindle a sense of pride in our public schools.

Vouchers raise fundamental questions about whether the federal government can use taxpayer dollars to send children to religious schools. And vouchers provide funds to schools that are not accountable for what their students learn or how the

schools manage their money.

The evidence is mixed on whether children who participate in voucher programs actually do better in school. The most recent study of Cleveland's voucher program concludes that students who use vouchers do no better than their counterparts in public school.

At a time in our nation's history when it is critical for every student to have better teachers, higher standards and more modern facilities, vouchers drain our public schools. Giving a few students a ticket out of the public schools is the wrong approach. The right approach is to fix the schools that are failing and to offer choices within the public school system.

We know how to fix our schools.

More than 10 years ago, Chicago's schools were singled out as the nation's worst. That's when the Mayor, the business community and parents got serious about fixing their schools. This week, Mayor Daley announced that test scores in the city have risen for the third straight year -- proof, he says, of the success of tough reform initiatives. The Mayor singled out DuSable High School, which has created a "culture of reading," including a special summer reading program and security guards who quiz kids on vocabulary words in the halls.

We also know how to provide meaningful choices for parents within the public schools -- such as charter schools. Charter schools are public schools that give parents and teachers the opportunity to design their own programs but are open to all students and strictly accountable for the education of their students. When my husband was elected, there was one charter school in the country. Today, under his leadership, there are almost 800.

Bill and I have visited charter schools all over the country that are leading the way in offering important choices to public-school students and their parents. Many of these schools are meeting the needs of students who had trouble succeeding in more traditional public schools.

As we prepare to enter the new millennium, we can choose to walk away from our public schools or we can choose to roll up our sleeves and make them work again. Let's not opt to give just a few students a way out at the expense of giving every student a way up.

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Talking it Over

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To: Anne
From: Elizabeth
PP: 7
w/cove()

① add reference
that there are not
myriad in good fit
to show success