



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF THE SECRETARY

FAX TRANSMITTAL

TO Allison Ballderston

PHONE _____

FAX 456-5581

FROM Heather Moore
Office of Terry Dozier, Special Advisor on Teaching

PHONE (202) 401-1078

FAX (202) 401-0596

Total number of pages: 2

Here's the page I think you're looking for.
This is a page from the Recruiting New
Teachers for Underserved Areas program (not
the Lighthouse program.)

1 communities served by the local educational agencies in the
2 partnership, and that have an interest in teacher recruitment,
3 preparation, and induction.

4 "(2) The term 'local educational agency' has the
5 meaning given that term in section 14101(18) of the Elementary
6 and Secondary Education Act of 1965.

7 "(3) The term 'support services' includes--

8 "(A) academic advice and counseling;

9 "(B) tutorial services;

10 "(C) mentoring; and

11 "(D) child care and transportation, if funding for
12 those services cannot be arranged from other sources; and

13 "(4) The term 'underserved area' means--

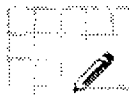
14 "(A) the three local educational agencies in the
15 State that have the highest numbers of children, ages 5
16 through 17, from families below the poverty level (based on data
17 satisfactory to the Secretary); and

18 "(B) any other local educational agency in which
19 the percentage of such children is at least 20 percent, or the
20 number of such children is at least 10,000.

21 "GRANT CONDITIONS

22 "SEC. 523. (a) GRANTS AUTHORIZED.--(1) (A) The Secretary
23 shall carry out this part by making competitive grants to
24 eligible applicants.

25 "(B) Each grant under subparagraph (A) shall be
26 for a period not to exceed five years.



Jonathan H. Schnur @ OVP
11/19/97 04:28:14 PM

Record Type: Record

To: William R. Kincaid/OPD/EOP

cc:

Subject:

Bill -- I just did a half hour work, and somehow just before I was sendit in, it all got deleted. I am really frustrated -- but now I have to leave for the mtg.

The overall gist was to clarify and tightten option 2 with a clear 3-6 word header in bold, like **use of funds** and **selection of districts** as the lead in to each para.

Also second para is confusing as is first bullet of slots section and the last paragraph. You mightwant to speciifcally use language about availability of adequate number of slots in good schools for students leaving bad schools to lead into your section on slots/alternatives. Also might want to use a concrete example -- and new language -- in your final bullet, like fo0r example bonuses for schools where 2/3 of parents vote for a particulr approach --- like reconstitution, or creatubg a number of smalls-within=schools, or creating a charter schoo, or bringing in a particulr New American schools team, etc.

Also, I would reorder section 2 into some flow like

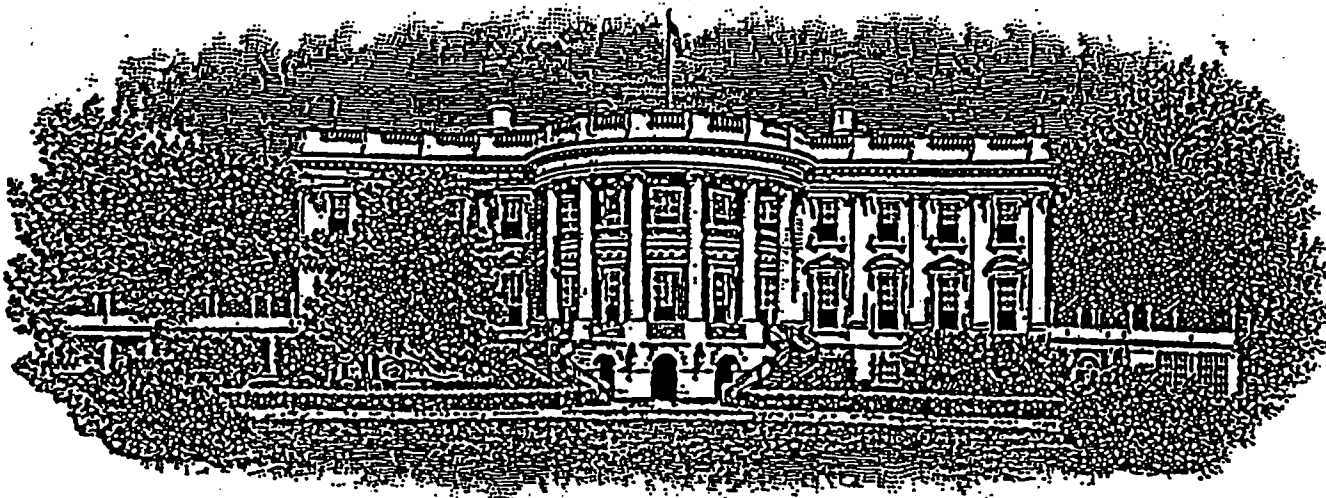
para 2 -- how disructs slected

para 3 and 4 -- pyblic school choice bonus and movement of federal funds

para. 5 use of funds (takje second part of current para 2 and put into this para.)

para 6 -- high quality slots

The White House



Domestic Policy Council
Old Executive Office Building, Room 220
Washington, DC 20502

Telephone Number: (202) 456-2857
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FAX Number: (202) 456-7028
Alternate FAX: (202) 456-7431

FAX COVER SHEET

TO: Mike Smith - LATE ARRIVING GUEST

FAX: 773 - 601 - 2873

FROM: BILL KINCAID

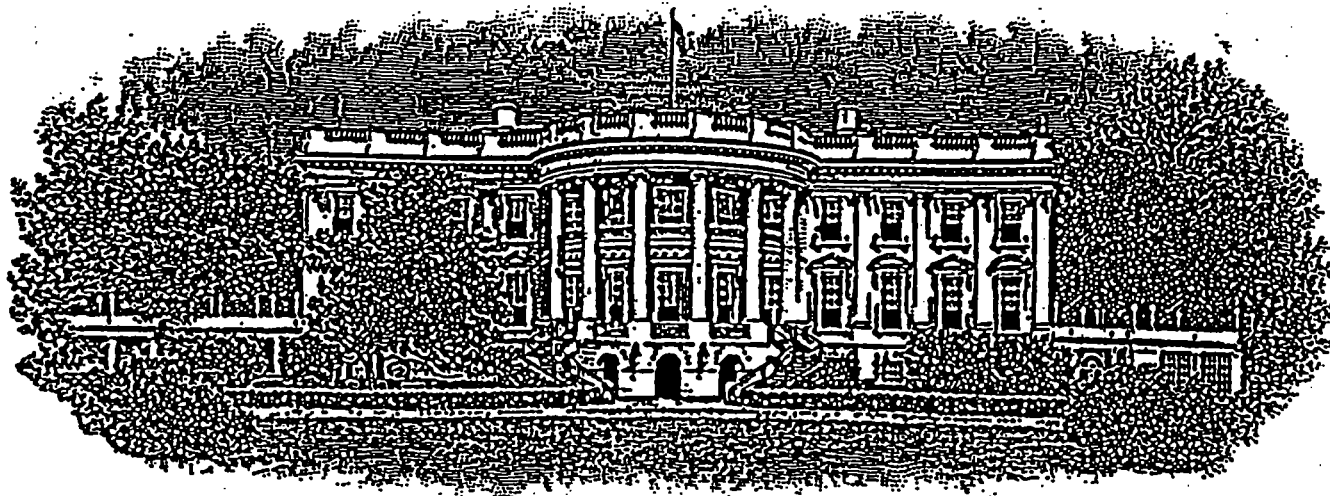
THIS FAX INCLUDES THE COVER SHEET PLUS 6 PAGES.

IF YOU DID NOT RECEIVE THE COMPLETE FAX, PLEASE CALL (202) 456-2857.

MESSAGE:

Mike - Welcome to Chicago! Thought you'd want to
review the latest on the Urban/Rural initiative and
possible public school choice options. Mike C. has
not seen these yet, but will likely be discussing with
Bruce at a meeting around noon Thursday.
Please review & let us know if you have comments.
Gerry & Tom Corwin have seen the urban, but not the choice addendum.
Thanks!

The White House



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Telephone Number: (202) 456-2857
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FAX COVER SHEET

TO: Tom Corwin
FAX: ~~401~~ 401-6139

FROM: BILL KINCAID

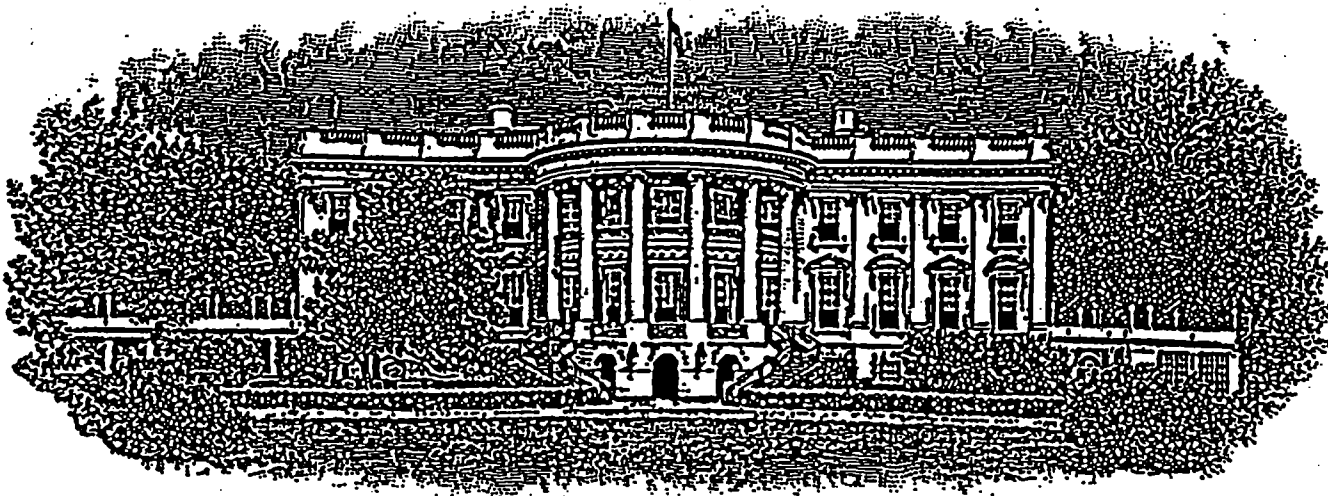
THIS FAX INCLUDES THE COVER SHEET PLUS 3 PAGES.

IF YOU DID NOT RECEIVE THE COMPLETE FAX, PLEASE CALL (202) 456-2857.

MESSAGE:

Revised urban/rural per our discussion
today. Please let me know if you
have further comments, especially re: \$\$.
Thanks!

The White House



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Old Executive Office Building, Room 220
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Telephone Number: (202) 456-2857
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FAX COVER SHEET

TO: Gerry Tirozzi/Judith Johnson/Catherine Jovicich
FAX: 205-0303

FROM: BILL KINCAID

THIS FAX INCLUDES THE COVER SHEET PLUS 3 PAGES.

IF YOU DID NOT RECEIVE THE COMPLETE FAX, PLEASE CALL (202) 456-2857.

MESSAGE:

Here's the fruit of our discussion today.
Please let me know if you have any
further thoughts in the morning.
Thanks!

November 19, 1997

NOTE TO GERRY, JUDITH, JACKIE AND CATHERINE --

Hope the IASA Conference went well. Attached is something that summarizes some of DPC's thinking on the urban/rural initiative, although it doesn't yet capture all the issues that came up in the meeting that was held over here last week. I don't think your 11/14 draft and this document are all that far apart conceptually.

Mike C. (who is out of town today) has asked me to work with you and Tom Corwin on further tightening of the proposal so we have paper that we can share internally in meetings here later this week -- perhaps as early as tomorrow. I will get detailed comments to you on your draft later this afternoon and then connect with one of you on how best to follow up. If you have already prepared an iteration beyond your 11/14 draft, it would be helpful to get that as soon as possible.

Thanks for your help.

CC: Tom Corwin

**FOSTERING A NEW ETHIC OF EDUCATION:
CHALLENGE GRANTS FOR URBAN AND RURAL EDUCATION ZONES**

Proposed FY 99 Budget Initiative

DRAFT -- November, 1997

An important complement to this Administration's campaign to raise standards is a program of school reform that fosters a new ethic of education involving high expectations, accountability and public school choice. The school reform effort should incorporate sustained advocacy for publicly accountable charter schools nationwide, and includes the President's proposals for recruiting and training good teachers. Another important feature of this effort should be a **new initiative** to select a number of inner cities and poor rural areas as Educational Opportunity Zones, in which schools would receive special assistance in exchange for adopting policies such as no social promotion, public school choice, reconstitution of failing schools, and removal of bad teachers. Specifically, school districts competing for grants would be challenged to show how they will hold students, staff, and schools accountable and use all available resources to help kids reach high standards:

- **Student Accountability:** To be selected as Educational Opportunity Zones, participating districts must show how they will ensure that students meet challenging academic standards before moving from school level to school level. In effect, districts would have to create conditions under which the whole school feels accountable for the academic success of every child. Critical to these efforts would be how schools will identify kids at risk of failure and how they will use Title I funds and other federal, state and local resources to provide extra help to these students, such as extended day enrichment/tutoring programs, Saturday academies, and summer school.
- **Staff Accountability:** Educational Opportunity Zones must clearly spell out how they will reward outstanding teaching, and also how they will identify and address incompetent or poorly performing teachers. Rewards and incentives should be offered to individuals or teams of teachers who meet high standards. For example, individual teachers should be assisted to attain certification by the National Board for Professional Teaching Standards and should be rewarded when they do, and districts should develop strategies for using these teachers in schools where they are needed the most. At the same time, participating districts must develop aggressive approaches for identifying failing teachers, and getting extra help to those who can improve, and counseling those who can't out of the profession quickly and fairly. Educational Improvement Zones must also show how they will build leadership capacity among the district's principals, and how they will develop rewards and sanctions for principals based on performance.
- **School Accountability:** Finally, Educational Opportunity Zones must show how they will hold individual schools accountable for high standards of discipline and achievement. Schools showing significant gains should be rewarded. Conversely, failing schools must be overhauled using proven reform models, or, if schools still don't improve, they should be shut down and reconstituted, perhaps as smaller schools-within-schools or independent public charter schools. Educational Opportunity Zones must also demonstrate how they will ensure that families have the opportunity to choose which public school their children will

attend, especially if the neighborhood school doesn't provide a safe and academically challenging environment.

- [Possible ^{district} public school choice component].

In the first year of the initiative, 3-year competitive grants would be awarded to [15-30] urban and rural school districts selected as Educational Opportunity Zones. Each rural grant would be worth approximately [X-Y] million, and each urban grant would be worth approximately \$[X-Y] million, with a total FY 99 request of \$X million.

UNITED STATES DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

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Washington, D.C. 20202-6100

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FAX TRANSMITTAL

Date: 11/14

Number of Pages, Including Cover Sheet: 5

Telephone Number of Receiving Fax Machine: 456-5581

ADDRESSEE: Mike Cohen

Organization: _____

Telephone #: 456-5575

FROM: Catherine Jovicich

Organization: OESE

Telephone #: 202-260-2012

MESSAGE: Mike - This is very draft. We will
continue our work in Dallas and fax you.
- Catherine, Gaelle & Judith

A STANDARDS-BASED REFORM INITIATIVE

Envision with us if you will, a school district with high concentrations of poor kids who may be living in urban centers, rural areas, or in tribal communities. The schools they attend share remarkably similar missions and goals. All students are encouraged and expected to achieve to high standards. Challenging academic performance standards inform and guide curriculum decisions. There exists a set of rewards for everyone in this enterprise able to demonstrate success against pre-established milestones. In these schools there are consequences for failure to achieve measurable progress.

This school district set standards, measures progress using a variety of assessment measures, and uses data from these measures to both inform instructional decisions and establish high stakes for students that include decisions about when they move on to the next level and what additional support they may need to be successful. Its work is framed by a clear vision, explicit understanding about what students should know and be able to do, and an accountability system with incentives and sanctions that establish clear performance expectations for everyone.

This district has a set of performance standards that provide clear guidance about what is to be taught and how progress is to be assessed. These standards have been disseminated widely to parents, staff, students and the community at large.

Standards for the foundation for accountability in this district. There is a set of procedures for identifying, supporting, and intervening in schools in decline and fixing failing schools. There is a reward system for school faculties who are able to demonstrate progress against a set of milestones they set based on disaggregated student achievement data. There are consequences for schools that do not meet their milestones, ranging from academic probation to reconstitution. There is also a set of explicit criteria for student achievement that includes rewards for achieving and excelling and consequences for failure to demonstrate progress. The consequences may range from extended schooling to delayed promotion. These incentives are intended to motivate students to achieve and motivate staff to provide instructional programs characterized by high expectations for all students.

While direct accountability for a student in these systems resides at the building level, individual schools are monitored, guided, and assisted at the district level.

The notion of explicit meaningful accountability measures coupled with a system of rewards, incentives, and consequences is not new. What we are learning since the reauthorization of the ESEA is that systems more likely to transform themselves into high performance management systems offer the best promise for influencing and re-directing the nature and character of teaching and learning in every school in the district.

This grant proposal targets urban and rural communities committed to making substantial investments and fundamental changes in their systems in order to greatly improve student achievement. At the core of this proposal is the notion that a fundamental shift is necessary in the incentives that motivate the work ethic of all members in the school system, a shift that holds people accountable for outcomes with rewards for success and consequences for failure. Nothing in this proposal is useful unless it results in changed behavior -- in students, and their parents, teachers, and administrators. Applicants will be asked to describe:

- 1) ***How the district will hold schools accountable for student performance and how it will intervene in failing schools.*** A successful applicant will describe plans to design and implement an effective school accountability system, including district and school report cards, in order to hold teachers, principals, and schools accountable for student achievement. Systems should be anchored on challenging academic standards and aligned assessments and easily accessed and understood by all participants in the system. Such a system should be data-driven and used to show evidence of progress for the whole school, disaggregated by student population, including students with special needs. The accountability system should include clear interventions or sanctions for low performing schools, such as targeted supports, personnel changes, technical assistance, and reconstitution.

The bulk of these grant funds should be used to intervene in failing schools. We expect districts to concentrate these grant funds in the lowest performing schools (our estimate is that funds will serve the lowest 20% of schools or the 20 lowest performing schools in the district). Districts could use grant support to provide technical assistance to failing schools or to newly reconstituted schools on issues such as conducting their needs assessment, selecting research-based instructional programs for their schools, and providing intensive professional development and curriculum improvements. Grant funds could go to schools that are implementing comprehensive school reform programs for the start-up costs of these efforts (current estimates are approximately \$50,000 per school for the first year). Grant funds could also be used for the start-up of charter schools that can provide alternatives for students who currently attend failing schools. Applicants must demonstrate how this grant will work in conjunction with other funds to improve student academic performance in the most troubled schools.

- 2) ***How the district will implement an incentive system -- using rewards and consequences -- that will ensure teachers and principals working in failing schools are equipped with the knowledge and skills to reach all students and are held accountable for their work.*** A system of incentives and consequences should be developed that includes input from teachers, principals, community, business, and parent groups. This includes providing ongoing professional development opportunities to improve the knowledge and skills of teachers, and strengthening instructional leadership through such activities as the

development of academies for principals. It also means developing an accountability system for principals and teachers that can accurately monitor the quality of their work, provide rewards, and counsel out those who are not performing.

- 3) ***How the district will implement an incentive system – using rewards and consequences – that will motivate students to be accountable for their achievement.*** Students need to know the academic standards that they are expected to reach. They also need effective instructional programs to ensure that they have an opportunity to reach challenging standards. But students also have a responsibility for learning and must be motivated to perform.

We know that classroom life is complex and dynamic and that successful instructional practices build upon the cultural resources children bring to their classrooms. In culturally diverse classrooms the task of evaluating students is especially complex. The district must show how multiple measures for evaluation and assessment will be used periodically to identify both achievement and the need for additional or different instructional resources. The student assessment system must be aligned to academic standards, allow students to demonstrate progress using a variety of measurable assessment methods (all aligned to standards), and distinguish between two kinds of uses: 1) high stakes data to determine promotion; and 2) informative diagnostic methods that trigger additional support.

- 4) ***How the district will create a high performance management system.*** The grant proposal should include information about the district's strategic plan for school improvement across the district and include research-based strategies for school improvement. The plan should be based on challenging academic standards and aligned assessments that produce current, reliable data on students' academic performance and that provide accurate and timely school-based indicators in such areas as attendance, discipline, and drop-out rates. Districts will be required to track school progress, and their applications should include detailed goals and timelines for intervening in their failing schools. Proposals must also demonstrate widespread commitment to education reform and include commitments from the mayor, parent associations, community groups, business, and the local teachers' union.

Applicants should be able to demonstrate concrete actions taken as a result of this grant, and justify where they are in implementation based upon their timelines and mileposts of progress. We expect grants to last three years, but grant renewal after the first year will be contingent upon demonstrating progress toward meeting the goals and timelines outlined in the proposal. Successful applicants will show measurable student achievement for the baseline year used to launch this work.

Our grant proposal outlines several options for making grant awards under this program:

1. create a model of a challenge grant (modeled after the technology challenge grant): provide 50% of funding in year one to school districts that can match the allocation with local funds and who can show after year one demonstrable progress in order to be eligible for future funding. Rewards and sanctions would look something like the Urban Systemic Initiative model. Districts that set annual milestones for achievement and meet or exceed them will receive bonus incentives to encourage expansion of their work.
2. provide a maximum of 10 urban districts 25 million dollars each and 10 rural and tribal communities with 5 million dollars each to become lighthouse districts;

Finally, this grant proposal includes ideas for national leadership activities. If districts can succeed in their most difficult schools, then they will offer lessons and inspiration to schools everywhere in the country. Our proposal includes setting aside funds for providing substantial technical assistance tailored to meet the unique needs of each grantee. Also, we propose using technology to create a "virtual office" to help districts consult with each other and with experts about overcoming obstacles. A final component of national leadership is documenting progress and lessons learned from these grantees and disseminating that information nationwide.

**FOSTERING A NEW ETHIC OF EDUCATION:
CHALLENGE GRANTS FOR URBAN AND RURAL EDUCATION ZONES**

Proposed FY 99 Budget Initiative

DRAFT -- October 17, 1997

As described in the Education Pillar prepared for the President, an important complement to this Administration's campaign to raise standards is a program of school reform that fosters a new ethic of education involving high expectations, accountability and public school choice. The school reform effort should incorporate sustained advocacy for publicly accountable charter schools nationwide, and includes the President's proposals for recruiting and training good teachers. Another important feature of this effort should be a new initiative to select a number of inner cities and poor rural areas as Educational Opportunity Zones, in which schools would receive special assistance in exchange for adopting policies such as no social promotion, public school choice, reconstitution of failing schools, and removal of bad teachers. Specifically, school districts competing for grants would be challenged to show how they will hold students, staff, and schools accountable and use all available resources to help kids reach high standards:

- **Student Accountability:** To be selected as Educational Opportunity Zones, participating districts must show how they will ensure that students meet challenging academic standards before moving from school level to school level. In effect, districts would have to create conditions under which the whole school feels accountable for the academic success of every child. Critical to these efforts would be how schools will identify kids at risk of failure and how they will use Title I funds and other federal, state and local resources to provide extra help to these students, such as extended day enrichment/tutoring programs, Saturday academies, and summer school.
- **Staff Accountability:** Educational Opportunity Zones must clearly spell out how they will reward outstanding teaching, and also how they will identify and address incompetent or poorly performing teachers. Rewards and incentives should be offered to individuals or teams of teachers who meet high standards. For example, individual teachers should be assisted to attain certification by the National Board for Professional Teaching Standards and should be rewarded when they do, and districts should develop strategies for using these teachers in schools where they are needed the most. At the same time, participating districts must develop aggressive approaches for identifying failing teachers, and getting extra help to those who can improve, and counseling those who can't out of the profession quickly and fairly. Educational Improvement Zones must also show how they will build leadership capacity among the district's principals, and how they will develop rewards and sanctions for principals based on performance.
- **School Accountability:** Finally, Educational Opportunity Zones must show how they will hold individual schools accountable for high standards of discipline and achievement. Schools showing significant gains should be rewarded. Conversely, failing schools must be overhauled using proven reform models, or, if schools still don't improve, they should be shut down and reconstituted, perhaps as smaller schools-within-schools or independent public charter schools. Educational Opportunity Zones must also demonstrate how they will

ensure that families have the opportunity to choose which public school their children will attend, especially if the neighborhood school doesn't provide a safe and academically challenging environment.

In the first year of the initiative, 3-year competitive grants would be awarded to up to [10-15] school districts selected as Educational Opportunity Zones. Each grant would be worth approximately \$15 - \$35 million, with a total FY 99 request of \$320 million.

UNITED STATES DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education
600 Independence Avenue, S.W. - Portals
Washington, D.C. 20202-6100

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Date: 11/10/97

Number of Pages, Including Cover Sheet: 18

Telephone Number of Receiving Fax Machine: 456-5581

ADDRESSEE: Mike Cohen & Bill Kincaid

Organization: _____

Telephone #: _____

FROM: Catherine Jovicich, Judith Johnson & Terrie Jackson

Organization: OESE

Telephone #: 202-260-2012

MESSAGE:

This is a draft urban proposal. We
would love your feedback!

DRAFT 11/8/97

(FIXING FAILING SCHOOLS IN URBAN DISTRICTS:
A GRANT PROPOSAL FOR A COMPETITIVE GRANT PROGRAM

This proposal supports a grant program targeted to urban communities to help them fix failing schools. It is organized into four sections: 1) a summary; 2) issues that the grant will address; 3) how applicants will compete and be held accountable; and 4) national leadership activities. **viral?*

I SUMMARY

One of the great strengths of this nation is the promise that all individuals can successfully participate in the economy and in their communities. Education is critical, however, for ensuring that promise and sustaining the economic and democratic freedoms of this country. Our urban communities are no exception, and often have failed to deliver the education necessary to fulfill that promise.

All students should leave schools fully equipped with the knowledge and skills needed to participate as productive citizens in the 21st century. For example, the 100 largest school districts in the U.S. currently serve 22% of the nation's students; and many are not adequately meeting the needs of their students, thus diminishing their chances to become productive citizens. The problems in urban school districts are not unique, but they are magnified by their pure size and concentration. Urban schools have some of the highest concentrations of poverty, greatest shortages of qualified teachers, worst conditions for learning, and most outdated management systems in the country.

According to the latest Phi Delta Kappan poll, 70 percent of the public believes that urban school problems are severe. The momentum behind an initiative to address the problems of urban schools has been building. Over the past year, at least six major education organizations -- the Council of Great City Schools, the National Education Association, the National Urban League, the Rainbow PUSH Coalition, and the U.S. Conference of Mayors -- have released their plans for improving urban schools. These plans have striking similarities in terms of the problems they cite and the strategies they identify for raising student achievement in urban districts.

This grant proposal targets urban communities that are committed to making substantial investments and fundamental changes in their systems in order to greatly improve student achievement. At the core of this proposal is the notion that a fundamental shift is necessary in the incentives that motivate the work ethic of all members in the school system, a shift that holds people accountable for outcomes with rewards for success and consequences for failure. Nothing in this proposal is useful unless it results in changed behavior -- in students, and their parents, teachers, and administrators.

Applicants will be asked to focus on fixing failing schools so that all students have an opportunity to achieve at high levels. Title I criteria for schools in need of improvement will be the standard

DRAFT 11/8/97

How is day going to be managed?

How will miracle w/ obe, version that passed?

meaning?

for identification of a failing school. District proposals can identify a higher standard to be used but not a lower one. School districts that choose to compete will submit proposals describing how they will intervene in low performing schools. Their plans should describe:

- 1) ***How the district will create a high performance management system.*** In such a system all students are expected to reach high academic standards. There is a clear strategic plan that includes a powerful vision, mission, values, goals, objectives, timelines, and a budget. Each component of the system supports the strategic plan, the components are clearly connected to other parts of the system, and all are focused on teaching and learning. In such a system every employee is focused on improving student achievement, is held accountable for student results, and is in turn supported by opportunities to continually improve his or her knowledge and skills for helping all students reach high standards. Districts should demonstrate how they will pull all of the elements of their system together in ways that yield a system wholly different from any of its constituent parts. Districts will be required to track school progress, and their applications should include detailed goals and timelines for intervening in their failing schools. ?
- 2) ***How the district will hold schools accountable for student performance and how it will intervene in failing schools.*** This includes the development of an accountability system that is anchored on challenging academic standards and aligned assessments and is easily accessed and understood by all participants in the system. Districts are also expected to describe the types of interventions that they plan to use -- including technical assistance, professional development, and reconstitution -- for persistently low performing schools.
- 3) ***How the district will implement an incentive system -- using rewards and consequences -- that will ensure teachers and principals working in failing schools are equipped with the knowledge and skills to reach all students and are held accountable for their work.*** This includes providing ongoing professional development opportunities to improve the knowledge and skills of teachers, and strengthening instructional leadership through such activities as the development of principal academies. It also means developing an accountability system for principals and teachers that can accurately monitor the quality of their work, provide rewards, and counsel out those who are not performing. ?
- 4) ***How the district will implement an incentive system -- using rewards and consequences -- that will motivate students to be accountable for their achievement.*** Students need to know the academic standards that they are expected to reach. They also need effective instructional programs to ensure that they have an opportunity to reach challenging standards. But students also have a responsibility for learning and must be motivated to perform.

Applicants will also be expected to demonstrate how they will use their local, state, and federal

DRAFT 11/8/97

funds in more creative ways to turn around failing schools and improve student achievement. They should be able to demonstrate concrete actions taken as a result of this grant, and justify where they are in implementation based upon their timelines and mileposts of progress. We expect grants to last three years, but grant renewal after the first year will be contingent upon demonstrating progress toward meeting the goals and timelines outlined in the proposal. Furthermore, successful applicants will describe how they plan to carry on their work after the grant funding period ends.

Our grant proposal outlines several options for making grant awards under this program:

preferred option?

1. provide a maximum of 10 urban districts 30 million dollars each to become lighthouse districts;
2. provide a maximum of 20 urban school districts up to 15 million dollars each to become lighthouse districts;
3. provide a maximum of 30 urban school districts up to 10 million dollars each to become lighthouse districts;
4. provide approximately 43 districts each 7.5 million dollars (for up to 20% percent of their failing schools) for comprehensive reform;
5. provide 70 urban sites with 4 million dollars each so that they can intervene in up to 20 of their low performing schools (approximately 1400 to 1500 schools); and
6. create a model of an urban challenge grant (modeled after the technology challenge grant): provide 50% of funding in year one to school districts that can match the allocation with local funds and who can show after year one demonstrable progress in order to be eligible for future funding. Rewards and sanctions would look something like the Urban Systemic Initiative model.

Finally, this grant proposal includes ideas for national leadership activities. One of the key benefits of an urban initiative to turn around failing schools is that lessons can be shared nationwide. If districts can succeed in their most difficult schools, then they will offer lessons and inspiration to schools everywhere in the country. Our proposal includes setting aside funds for providing substantial technical assistance to districts that receive these grants. Technical assistance should be tailored to meet the unique needs of each grantee, and it should also include opportunities to bring districts together to share ideas and lessons learned. Also, we propose using technology to create a "virtual office" to help districts consult with each other and with experts about overcoming obstacles. A final component of national leadership is documenting progress and lessons learned from these grantees and disseminating that information nationwide.

DRAFT 11/8/97

II. ISSUES THAT THIS ^{Program/initiative} GRANT WILL ADDRESS

ISSUE 1: CREATING HIGH PERFORMING SYSTEMS.

One of the fundamental premises of this proposal is that failing schools cannot be turned around in isolation. Substantially improving failing schools will require changes in the systemic supports for those schools. Districts must be willing to make improvements in how they manage and support schools in order to truly support their improvement.

Lessons learned:

- Districts must address the way the entire system works in order to improve schools.* A decade of experience in school reform tells us that the key to school improvement is changing the way the entire system works -- from standards to curriculum to assessment to management to accountability. Recent experience has shown that school-by-school improvement efforts ultimately stall without district level support and encouragement. For example, the Annenberg Foundation poured \$500 million into school efforts. Reports now suggest modest effects of these efforts. They were targeted to individual schools and research projects, without supporting capacity building in urban school systems. Also, the New American Schools Development Corporation (NAS) recognized after just two years of implementing research-based design models for whole school change in schools that the key to success would be district-level efforts in addition to their school-by-school approach. NAS is now supporting 10 district-wide activities in an attempt to build district capacity to sustain school change. Schools need the support of a high performance management system that provides more than dollars, but also clear standards and assessment, useful technical assistance and professional development, and meaningful accountability.
- A clear, meaningful accountability system is critical.* Research on high performing organizations indicates that all players in the system -- students, parents, teachers, and administrators -- must know the measures of success and stakes for performance, including rewards and consequences. (~~Tucker and Codding, unpublished 1997~~) According to Elmore, Abelman, and Fuhrman, an effective accountability system has three components: 1) a focus on student performance; 2) the use of standards and an assessment aligned to standards as a basis to measure student achievement; and 3) a system of rewards, penalties and intervention strategies to introduce incentives for individual and collective improvement.

DRAFT 11/8/97

Our proposal:

District applications should address how the district plans to become a high performing system and how its plan will improve student achievement. Grant funds could support bringing funds into a coherent plan for school improvement and building some of the supports for turning around failing schools.

- ***Building a high performing system.*** Districts should develop a plan for fixing failing schools to support increased student achievement. Such a plan should include an expectation that all students are to reach high academic standards. The plan should have a powerful vision, mission, values, goals, objectives, timelines, and a budget. It should include mechanisms to ensure that all schools have powerful, challenging academic programs that are based on high standards, are supported by meaningful assessments, and have aligned research-based instructional strategies delivered by high quality teachers and principals. Each component of the system should in turn support the strategic plan, and the components should be clearly connected to other parts of the system and all be focused on teaching and learning. In such a system every employee is focused on improving student achievement, is held accountable for student results, and is, in turn, supported by opportunities to continually improve his or her knowledge and skills for helping all students reach high standards. Such a high performing system collects and analyzes data to document school progress and make mid-course adjustments as necessary. It also uses data to drive instruction, management, and accountability decisions.
- ***Drawing upon all federal, state, and local resources to improve the system.*** Urban school districts often have the elements of a high performing system that will be necessary to turn around failing schools, but they are not coherent parts of a comprehensive plan to improve student achievement. The road to creating a coherent system is rocky, and urban districts need support in the transformation process. Funds from such federal programs as Title I, Eisenhower, Goals 2000, and School-to-Work, as well as the Individuals with Disabilities Education Act and the Carl D. Perkins Vocational Education Act can be used to strengthen urban academic programs. In addition, several Administration initiatives are under consideration to support academic and school infrastructure programs. (See Appendix A.) Districts should consider all of these programs, as well as their own in rethinking how resources are used to support their schools.

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ISSUE 2: HOLDING SCHOOLS ACCOUNTABLE AND INTERVENING IN FAILING SCHOOLS.

Schools must be held accountable for student results and districts must be held accountable for turning around those schools that do not meet student needs. Districts are taking increasingly tough measures to improve schools, but need assistance to strengthen their accountability systems and mechanisms to intervene in failing schools.

Lessons learned:

- *High poverty, inner city schools can work.* The Title I Special Strategies Study provided several key findings related to successful schoolwide programs in high poverty schools. It found that a key to successful school turn-around is a thorough assessment of school strengths and areas in need of improvement before implementing a schoolwide program. As the school selects research-based strategies that meet its needs, it must be sure that it has full and active district, school administration, and faculty commitment. An effective principal and committed faculty is also important. Long-term, targeted technical assistance and professional development tied to school-specific needs is often key to program implementation. Finally, sustained commitment to the core design features of a school improvement strategy is critical. Successful schools in this study sustained high student achievement.
- *Intensive technical assistance and professional development is necessary.* Researchers such as Susan Fuhrman of CPRE have begun to conclude that intensive assistance is necessary to help failing schools overcome their legacy of failure and turn around.
- *Direct interventions, including school reconstitution, seems to be having an effect in some districts.* If a school does not improve after significant technical assistance and support, then a district must take more drastic interventions such as reconstituting a failing school. San Francisco, Chicago, and New York, all have examples of successful school intervention efforts, including reconstitution.

Our proposal:

Districts must demonstrate their commitment to implementing a rigorous and fair accountability system and intervening in failing schools.

- *Building systems of rigorous and fair accountability:* An urban grant should support the design and implementation of an effective school performance and information system, including district and school report cards, in order to hold teachers, principals, and schools accountable for student achievement. Systems should be anchored on challenging academic standards and assessments aligned with those standards, along with high quality, disaggregated data on student and school progress toward achieving tougher standards,

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and other measures such as improved attendance, discipline, safety, and drop-out rates. Districts could use part of their grant funds to consult with other districts regarding effective indicators of school performance. They could also use these funds to disseminate information on their accountability system to parents, teachers, and school administrators. Specific assistance should be provided to low performing schools that will be most affected by a rigorous accountability system, so that they are prepared to fully participate in the accountability process.

- *Assisting failing schools and schools in decline:* The bulk of these grant funds should be used to intervene in failing schools, including reconstituting or closing failing or unsafe schools, consistent with State and district accountability efforts. Districts could use grant support to provide technical assistance to failing schools or to newly reconstituted schools on issues such as conducting their needs assessment, selecting research-based instructional programs for their schools, and providing intensive professional development and curriculum improvements. Grant funds could go to schools that are implementing comprehensive school reform programs for the start-up costs of these efforts (current estimates are approximately \$50,000 per school for the first year). Grant funds could also be used for the start-up of charter schools that can provide alternatives for students who currently attend failing schools.

ISSUE 3: SUPPORTING TEACHERS AND PRINCIPALS AND HOLDING THEM ACCOUNTABLE FOR RESULTS

In order to turn around failing schools and manage a high performing urban school system, urban districts must ensure that they attract, retain and continually develop high quality teachers and school principals. This will require ongoing, sustained professional development opportunities for new and veteran teachers and principals, as well as a meaningful accountability system that rewards competence and intervenes or sanctions poor performers.

Lessons learned:

- *Students need good teachers who provide enriching programs.* Student learning is clearly affected by the qualifications and experiences of their teachers. (Webster, 1988) When students are asked to identify "the one change" that would be most important in helping them learn more, "having good teachers" was at the top of the list. Students are hungry for structure, discipline, and more rigorous standards. (Public Agenda, 1997).
- *Teacher accountability makes a difference.* Teachers are more effective when they are treated as professionals who are empowered to use their skills, rewarded for good work, and sanctioned for incompetence. In contrast, the failure of school administrators to take action against teacher incompetence results in decreased student achievement, low teacher morale, diminished confidence in schools, teacher and administrator liability, and increased

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litigation (McGrath, 1993). A study of the Kentucky performance-based accountability system also found that the accountability system motivated teachers and resulted in school improvement. (Kelley, 1997)

- *Effective principals are critical for school success.* Principals as instructional leaders are the linchpin of systemic reform in the classroom. School leaders are expected to make sense of programs, provide instructional leadership, keep buildings safe and functional, manage and develop a mix of students, parents, community members and classified and non-classified staff, and allocate and administer shrinking budgets while sharing decision-making authority. According to Kotter, effective principals are instructional leaders who have the knowledge and skills and ongoing professional development experiences to: implement research-based, dynamic models of school change; provide meaningful supervision that focuses on constructive analysis of the instructional climate; guide staff as adult learners; provide opportunities for staff to collaborate and learn from practice during the school day; and use data to support planning for ongoing student achievement
- *School principals must also be held accountable for student performance.* Outstanding schools have outstanding principals. Districts consistently tell us that they need good principals. For example, in District 2 in New York, the superintendent found that principals were so critical to school improvement that he replaced 20 principals of the roughly 30 schools in the district as he implemented a school reform plan. (Elmore, 1996)

Our proposal:

We propose that an urban grant be used in conjunction with other funds to develop a meaningful accountability system for teachers and school administrators that includes ongoing professional development opportunities as well as rewards and sanctions based on student performance. Developing rigorous accountability measures will take an investment of time, money, and professional development to ensure that it is fair, is based on incentives that really matter to the teachers and principals of a district, and is understandable to all participants.

- *Rewarding Good Teachers:* We must retain good teachers in urban schools. Rewards do not necessarily have to be financial, but could include intrinsic rewards such greater decision making authority and continuous learning opportunities. For example, teachers could be rewarded with continued opportunities to remain in the classroom and school, rather than moving up and out of classrooms. Career ladders can be modified to provide creative and experienced teachers the power, prestige, and salaries that will keep them actively engaging students. Teachers are continuous learners, and can be supported by administrators who encourage them to try out new teaching methods and help generate new ideas for work in the classroom.

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- ***Counseling Out Incompetent Teachers:*** One of the most intractable problems in schools is removing incompetent teachers. Districts could use a federal grant to work cooperatively with unions and administrators to develop programs of ongoing mentoring and support that include mechanisms to counsel incompetent teachers out of the classroom. Clear sanctions for continually low-performing teachers could be developed to help schools release incompetent teachers.
- ***Providing ongoing professional development opportunities to improve the knowledge and skills of teachers:*** If urban districts are going to turn around their failing schools, they must ensure that new teachers are supported and that veteran teachers have ongoing, sustained professional development opportunities. We propose that a district receiving an urban grant, demonstrate how it will comprehensively and systemically approach professional development for its teachers in a way that is tailored to meet the unique demands of their school programs.
- ***Strengthening instructional leadership:*** School principals and other instructional leaders are critical for raising student achievement. If meaningful change is going to occur in urban schools, leadership must go beyond the traditional management training of most principals to the kind of visionary leadership that will impact curriculum and instruction and build capacity throughout the school district. An urban education grant should support State, local, and higher education initiatives that provide instructional leaders with the knowledge and skills and ongoing professional development experiences to implement research-based, dynamic models of school change and to provide instructional leadership and supervision for teachers.
- ***Holding principals accountable:*** Principals are ultimately accountable for student learning in their schools. Their leadership enables teachers to meet diverse student learning needs. Districts must have in place mechanisms to select, hire, and retain principals on the basis of their ability to learn and implement the district's overall strategy. They must also have mechanisms to remove ineffective principals. In exchange, principals should be able to recruit, hire, nurture, retain and fire or counsel-out teachers in their schools which requires that they be able to evaluate and support teachers in the classroom based on a strong foundation in content and good pedagogy.

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ISSUE 4: SUPPORTING STUDENTS AND HOLDING THEM ACCOUNTABLE FOR LEARNING

The bottom line of a good school accountability system is student performance. Measuring student progress against challenging academic standards provides critical information to teachers, parents and students about how students are doing and where they need additional assistance. Schools should be responsible for providing the supports necessary for every student to reach high standards. In return, students must come to school motivated to learn.

Lessons learned:

- *Schools can support the intrinsic motivation and accountability of students.* There have been numerous studies examining the impact of particular educational interventions on the social and moral development of children. They largely show that moral development and the personal desire to succeed is influenced not only by what is taught, but how it is taught and how the classroom and school is structured. (Berman, 1997) Evidence collected on effective school- wide practices suggest that fundamental changes in school life, organization, and culture linked to achievement can improve student learning and foster in students the intrinsic motivation to achieve school success. (Wang, and Reynolds, 1997) In such settings students are held accountable for their performance and recognize the implications of rewards and consequences.

Our proposal:

- *Strengthen accountability for student behavior to support learning.* Standards of conduct must be clear for students. Consequences for violent and disruptive behavior must be swift and meaningful. Districts could use this grant opportunity to rethink their student accountability system.
- *Hold students accountable for learning.* Many urban schools are plagued by a peer culture that discourages academic achievement. Urban districts could use funds to support initiatives to change that culture through such programs as recognition of outstanding peers, highlighting popular role models, and mentoring. Students can also be held accountable for high stakes assessments paired with rich academic supports for those students who do not move on in grade.

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III. HOW APPLICANTS WILL COMPETE AND BE HELD ACCOUNTABLE

This section of our proposal outlines what would be required to receive an urban education grant under this program.

The Department proposes highly competitive, three-year grants to urban school districts committed to raising student achievement by building high performance systems, and focusing on turning around the most troubled schools. These grants should support the development of a strong accountability system with targeted interventions in failing schools, and rewards and sanctions for principals, teachers, and students. We anticipate districts will develop comprehensive grants to describe how a variety of fiscal and human resources will be used in conjunction with these funds, to meet their stated goals to turn around the district's most troubled schools.

Eligible Applicants:

Urban Local Education Agencies (LEAs) or consortia of LEAs in partnership with businesses, community-based organizations, institutions of higher education, parent organizations, teacher unions, community collaborative, and/or service providers. Categories are:

- Large urban LEA Category---urban LEAs administering schools with a total enrollment of 100,000 or more elementary and secondary students.
- Medium-sized urban LEA Category--- urban LEAs administering schools with a total enrollment of 50,000 but less than 100,000 elementary and secondary students.
- Small urban LEA Category--urban LEAs administering schools with a total of enrollment of less than 50,000 students.

Estimated Grant Size:

The Department currently has a \$320 million placeholder in its FY 99 budget request for an urban education initiative. The large urban LEA grants would be based upon enrollment and identified needs. The range would probably be from 5 to 15 million dollars.

Selection Criteria/Application Requirements:

It is understood that districts may be in different stages of implementing their reform plans. Therefore these grant funds may be tailored to meet the unique needs of individual school districts, as long as those activities are tied to an overall plan for improving student performance. Applicants would be asked to provide information to support the following elements.

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- ***How the district will create a high performance management system.*** The grant proposal should include information about the district's strategic plan for school improvement across the district and include research-based strategies for school improvement. The plan should be based on challenging academic standards and aligned assessments that produce current, reliable data on students' academic performance and that provide accurate and timely school-based indicators in such areas as attendance, discipline, and drop-pout rates. Proposals must also demonstrate widespread commitment to education reform and include commitments from the mayor, parent associations, community groups, business, and the local teachers' union.
- ***How the district will hold schools accountable for student performance and how it intervene in failing schools.*** The proposal should describe a data system, or a proposed system, tied to student achievement that will be used to assess school progress over time. Such a system must be used to show evidence of progress for the whole school, disaggregated by student population, including students with special needs. The accountability system should include clear interventions or sanctions for low performing schools, such as targeted supports, personnel changes, technical assistance, and reconstitution. Applicants must demonstrate how this grant will work in conjunction with other funds to improve student academic performance in the most troubled schools.
- ***How the district will implement an incentive system -- using rewards and consequences -- that will ensure teachers and principals, working in failing schools are equipped with the knowledge and skills needed to educate all students successfully and are held accountable for their work.*** A system of incentives and consequences should be developed that includes input from teachers, principals, community, business, and parent groups. Districts would be able to use these grant funds to design and implement these accountability measures.
- ***How the district will implement an incentive system -- using rewards and consequences -- that will motivate students to be accountable for their achievement.*** An incentive system that does not honor social promotion should be developed with input from students, parents, teachers, community, and business groups. Districts would be able to use these grant funds to design and implement these accountability measures.

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IV. NATIONAL LEADERSHIP ACTIVITIES

Urban communities could benefit greatly from opportunities to share lessons learned and from technical assistance. National leadership activities could support such efforts. In addition, national leadership could document progress and lessons learned in grant recipients and disseminate effective strategies and lessons to cities nationwide. We propose reserving a portion of the urban grant funds for such national activities. These activities might include:

- ***A White House conference regarding urban education issues.***
We propose a White House conference in the spring of 1998 that focuses on urban education. In particular, the conference should focus on effective strategies for turning around failing schools and sessions on building meaningful accountability systems that hold schools, principals, teachers, and students accountable for student learning.
- ***Technical Assistance To Be Provided By The Department***
The department proposes to offer technical assistance to the participating districts and will make available all the appropriate resources needed to support their efforts. The technical assistance efforts will be documented and available for future replication. Each of the department's program offices will collaborate to offer districts the opportunity to acquire new knowledge, identify barriers to their success and provide the department with continuing opportunities to determine how these barriers can be overcome. In addition, department staff and the staff in the Technical Assistance Centers and Regional Education Laboratories will be available to provide appropriate support.

The Department will also use technology to provide technical assistance to grantees. Grantees will need on-demand access to emerging research findings, evaluation data and the experiences of other districts pursuing comprehensive school reform. The traditional opportunities for access to this body of data have usually required time away from the school day and travel, often across the continent, to educational conferences and forums. The advent of technology offers tremendous promise for bringing together needs and resources. We are proposing the establishment of a virtual office that will use human and technology resources to serve the needs of school districts seeking access to research findings and opportunities for problem solving. Using technology, the Department can set up networks of urban educators, researchers, and technical assistance providers to support school reform efforts.

- ***Documentation and Information dissemination.***
The department will guide the gathering of data resulting from the ongoing research conducted at the district sites. A major emphasis will be on identifying the most promising practices that improve student learning. The data will be analyzed and disseminated using existing and new communication systems.

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APPENDIX A CURRENT INITIATIVES THAT SUPPORT URBAN EDUCATION

The Clinton Administration has proposed several major initiatives that would strengthen urban schools. These initiatives should be a central part of an overall urban strategy.

Pending Legislation:

- School Construction: The infrastructure of many urban schools poses serious health and safety hazards. In addition, they require improvements in order to install new technology equipment. Our FY 99 budget proposal includes a school construction proposal for a one-time infusion of \$5 billion that will stimulate \$20 billion in school construction and renovation over the next four years. Through this program, schools could obtain financing to make emergency repairs, to correct health and safety problems, to make technological upgrades, to improve energy efficiency, to ensure access for individuals with disabilities, and to build new schools needed to accommodate growing enrollments. Funds under this program would pay for half of the interest costs on school construction bonds or similar financing mechanisms. Half of the funds available under this program would be targeted to the nation's largest 100 cities. Cities would also be eligible to compete with other districts for the other half of the funds available under this program. Our legislative proposal for this program has been introduced.
- Title V Reauthorization Proposal for Professional Development: The quality and quantity of teachers in urban school districts must be increased if all children are to reach challenging academic standards. The professional development programs included in the Administration's higher education reauthorization proposal would greatly benefit urban school efforts to improve their teaching force. The proposal includes a program to recruit new teachers for underserved areas. This will greatly help urban school systems which traditionally have difficulty recruiting certified teachers and are often forced to rely on a large pool of uncertified teachers. Our proposal for lighthouse partnerships for professional development could also benefit urban districts. Both programs include provisions to support training for paraprofessional educators to become certified teachers. Since a great number of paraprofessionals are in urban districts, this would help increase the ranks of certified teachers in urban schools. It may also increase the diversity of the urban teaching pool since a majority of paraprofessionals come from racial and ethnic minority groups.
- America Reads: Reading will play a critical role in improving the education of urban children -- 47% of whom scored below the basic level on the 1994 NAEP. The Administration has proposed legislation for a \$260 million initiative for FY 98 that would support early interventions and individualized tutoring programs after school, on weekends, and in summers. Tied to this initiative, the Administration is encouraging

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colleges and universities to send 100,000 students into their communities as reading tutors. Colleges and universities are being asked to devote half of their new Federal Work-Study money to community service jobs, and the Department is waiving the requirement for local agencies to match the Federal investment. The President's budget also includes a major expansion of Head Start to reach one million pre-school children in 2002 so that they will enter school ready to learn.

- Reauthorization of the Vocational and Adult Education Acts: Aligning all federal programs to support increased student achievement is critical for helping urban districts comprehensively address the needs of their schools. The Administration's proposals for vocational education and adult education reauthorizations contain provisions to target resources to communities and populations with the greatest need. Our proposals to target formulas to high poverty areas would benefit urban school districts. Our proposals are designed to improve student academic achievement, school-to-work opportunities, welfare reform, and family literacy. The reauthorizations also support program improvement by establishing priorities for quality programs, and creating links between these acts and planning and services under other Federal education programs. The proposal for vocational education encourages each State to use those funds for activities in the State school-to-work plan, Goals 2000 plan, and other reform efforts, including schoolwide programs.

Authorized Programs, Pending Funds:

- 21st Century Learning Centers: Students in failing urban schools will need additional support to master challenging academic material. The FY 98 budget request includes a \$50 million program that would support extended learning time for youth in inner city and rural schools. Grants would be used to establish community learning centers in local public schools that offer stimulating, safe, supervised, and cost-effective after school, weekend or summer havens for children and youth. Recent research shows that a stimulating environment of this type can improve thinking skills and language skills of participating children and youth. These programs would have a focus on offering learning activities.
- National Research Center on School Leadership: Effective instructional leaders are essential for fixing failing schools. The Department's FY 99 budget request includes funding for a national research center on school leadership which would focus on improving district and school leadership as well as the support systems that must operate in a coherent manner to provide improved teaching and learning.
- Title I Comprehensive School Reform: Efforts to improve low performing schools must include the implementation of research-based strategies for improving teaching and learning in those schools. The FY 98 budget includes a new \$145 million program to

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support comprehensive school reform efforts using research-based models. These funds would support \$50,000 competitive grants to as many as 4,000 schools to start-up research-based models of whole school reform. These schools will focus on implementing challenging academic standards, engaging teachers, and strengthening parental and community support. This program, however, is open to all schools, and does not have an urban focus.

Current Initiatives with a Clear Urban Focus:

- New American High School Reform Initiative: High schools should not be neglected in school improvement efforts. In the spring of 1995, the Department began encouraging high school reform efforts that focus on helping all students achieve high levels of academic skills and prepare for college and careers, especially through whole school reform. The Department identified five urban high schools to receive assistance in expanding and promoting their reforms and serve as models for other districts. We are working with these schools to revamp their curriculum, improve teaching methods, and raise expectations for both students and teachers. They are creating smaller, safer learning environments, and building partnerships with community leaders, businesses, and parents. The Department is expanding this initiative to 30 schools this year.
- Urban-Rural School-to-Work Opportunities Grants: Exposing students to the world of work and relating their academic experiences to the demands of the workplace and postsecondary education have proven effective in motivating and educating students. A total of 46 grants have been awarded to urban areas to assist in establishing comprehensive school-to-work systems. These grants are made directly to local school-to-work partnerships that serve areas of concentrated poverty.
- Educational Technology: Technology can be a powerful tool for opening urban classrooms to the rest of the world. The new E-rate put forward by the FCC as part of the Universal Services provision of the Telecommunications Act provides essential support to urban school districts so they can access Internet services at heavily discounted rates for both wiring schools and connecting to the Internet. Educational technology offers a powerful tool to improve teaching and learning and bring all children into the Information Age. This Administration has made significant investment into expanding access to educational technology through both discounted rates and through grants such as the Technology Literacy Challenge Fund and the Technology Innovation Challenge Grants.
- NSF Urban Systemic Initiative: The National Science Foundation funds grants to urban school districts for comprehensive reforms to improve student achievement in math and science.



Barry White
11/28/97 02:15:57 PM

Record Type: Record

To: William R. Kincaid/OPD/EOP

cc: michael cohen/opd/eop, Wayne Upshaw/OMB/EOP, Mary I. Cassell/OMB/EOP

Subject: Re: Public School Choice

I finally had a chance to read your paper. We've been a tad snowed under here, so you may yet get other comments from Wayne and his people, but here are mine.

First, as you know, I don't think any sort of "zones" approach makes sense in education. Unlike in economic development or employment -- two areas with major "zone" approaches underway -- there is no general lack of Federal or State or local money for education. Sure there are high poverty districts that badly need more money for basics, but overall a zone approach in education is far too narrow in focus and avoids the key need, which is getting all States, schools, and districts to set high standards and organize curriculum, teacher training, assessment and feedback around them, so as to raise student achievement. Zones in education is a huge step backward, certainly a huge step away from the themes and philosophies of the Clinton Administration as expressed in Goals 2000 and the Improving America's Schools Act.

Now about choice. Your two-pager has lots of interesting ideas, but I'm surprised to see them in this Administration. So far under Clinton, we have avidly supported local decisions to set up public school choice options, and to enact State enabling laws. Federal funds -- charter schools -- follow these things. None of our other, much bigger money, is conditioned on there being choice plans. Going in the directions of your draft would be a major departure. That doesn't make it bad, but I think it will make it even harder for this Administration to keep up the iron-clad opposition to private school choice. For example:

In Option 1, it is virtually impossible for any large district to be able to ensure that all parents can choose a good public school. No amount of money we are considering can do this for any but a tiny handful of districts -- in fact, no amount of money can do it by itself, no matter how large the sum. To state this as a goal is to raise the question, "Your goal is good schools for all kids, so if there aren't enough good public school slots, why can't I have a private school slot?"

In Option 2, to ensure that any kid who wants to can leave an ineffective or unsafe school is also far beyond what we can assure with money or "plans." Think what would have happened in DC if every parent in a school the court had shut down for unsafe conditions had thought they could take the kids out of the school to a better place of their choice? Let alone how outside observers -- akin to the parent group that attacked on the dimension of unsafe physical conditions -- might establish the list of "ineffective" schools, or the list of "unsafe" schools on the dimension of danger from other kids to their kids?

Requiring all Federal funds to follow the child was a basic condition of the Bush voucher pilot. Makes lots of sense, but again, it raises the question of why Federal funds should be going into schools that someone out there has labeled unsafe or ineffective.

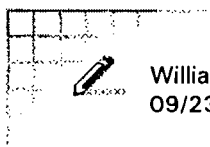
Similarly, the "opening more slots in first rate schools" item is very good, but is it realistic? Can a floundering urban district or sparsely populated rural district really give you a realistic plan for making "good" slots available for all who want to transfer?

The proponents of private school choice don't have to deal with any of these problems. They offer one thing: choice. Parents decide if they want to move the kid, but the kid still has to be taken in by some non-public school, good or bad, and those schools retain this choice. If there aren't enough slots to meet parental demand, perhaps the enticement of money will call them into being, but if not, the proponents haven't lost anything. They have still brought the pressure to bear and "proved" how bad the parents think the public school is by virtue of the demand for private school slots.

To the contrary, however, when the Administration undertakes to enable choice across an entire district, then the district, and the Administration, have undertaken to make a good public school slot available for every child whose parents want it for him. We can't pull it off with money for a few zones.

Which brings me full circle. Look again at the School Achievement Awards approach we offered. It focuses on rewarding schools and school districts for using our plethora (let alone their own) of funding as it is intended; it gives them help along the way; it uses schools and districts who've proved it can be done to provide some of that help. If poor-achieving poor districts make it (i.e., children's achievement rises) we reward them; if they don't, no reward that year, but at least a continuing Federal incentive to get there and with luck, some push from parents and the business community to make the teachers and administrators sit up and take notice.

I don't mind encouraging choice along the way, but if the way is something like what we offered, you can avoid the above conundrums and keep the focus on raising achievement, not one among many possible avenues toward it.



William R. Kincaid
09/23/97 08:47:11 AM

Record Type: Record

To: Elena Kagan/OPD/EOP

cc: Michael Cohen/OPD/EOP, Tanya E. Martin/OPD/EOP

Subject: Urban Initiative

I am checking to see if there is anything more current from Education, but the most recent version of this initiative that I am familiar with would have the following elements:

FY 99 Funding: \$320 million

Competitive grant program open to roughly the largest 50 or 100 school districts with a large central city.

Grants would be for 3 years, with approximately 10 - 15 awards being made in the first year, worth approximately \$15 million to \$35 million apiece.

Too many -
make like
EZ

Funds would be used to address urgent needs in the following areas:

- Strengthening accountability and management
- Fixing failing schools and rewarding successful schools.
- Building instructional and leadership capacity in schools, with intensive professional development for teachers and especially principals
- Expanding public school choice, either system-wide or partial system-wide

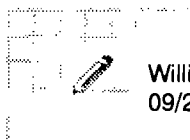
ED also contemplates allowing districts to use funds for other local priorities, such as summer programs to provide extra help for low-achieving students, and perhaps efforts to improve the racial climate in inner-city schools.

We will need to continue working with ED to bring their actual proposal more in line with the school reform priorities identified in our "Pillars" submission -- for example, focusing on no social promotion, removing bad teachers, etc..

Need to do

Mike - This sounds abysmally
bureaucratic. We will not
forget this money (quite
humbly, we will not press
for this money) if the
program remains like this.

Elena cc Bruce
Bill



William R. Kincaid
09/23/97 08:47:11 AM

Record Type: Record

To: Elena Kagan/OPD/EOP
cc: Michael Cohen/OPD/EOP, Tanya E. Martin/OPD/EOP
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Funds would be used to address urgent needs in the following areas:

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- ✓ *and closing*
• Fixing failing schools and rewarding successful schools.
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ED also contemplates allowing districts to use funds for other local priorities, such as summer programs to provide extra help for low-achieving students, and perhaps efforts to improve the racial climate in inner-city schools.

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- Fixing Failing Schools
- Removing Bad Teachers
- No Social Promotion
- Public School Choice
- Strong Accountability & Management

#2 - 8/4

SCHOOL IMPROVEMENT PROGRAMS

Urban initiative
(Proposed legislation)

1999 Authorization (\$000s): To be determined.

Budget authority (\$000s)

1997

1998
President's
Budget

1999
Request

\$320,000

OPTIONAL FORM 99 (7-90)

FAX TRANSMITTAL

of pages 4

To: Bill Kyrcaid
Dept. Agency: WHITE HOUSE
From: Tom Corcoran
Phone #: 401-6318
Fax #: 401-6139
456-7028
GENERAL SERVICES ADMINISTRATION
NSN 7540-01-317-7368 5093-101

PROGRAM DESCRIPTION

For fiscal year 1999, the Department proposes a new initiative to improve education in hard-pressed urban communities. Under this program, the 100 [??]¹ largest local educational agencies cities would apply to the Department for competitive grants to address their most urgent needs in the following areas:

- Strengthening management and accountability and fixing failing schools -- Urban districts must hold their schools accountable for sound management and for educating all students to challenging standards. In order to achieve this accountability, districts and schools must have in place sound management systems covering such areas as enrollments and student records, personnel, procurements, and facilities planning. Yet many urban districts do not yet have those systems in place and do not have available the discretionary resources to make the needed improvements. With targeted Federal assistance, they would be able to obtain assistance, potentially working through partnerships with the private sector, to implement the management systems needed to ensure the public that school systems are in control of their resources and that those resources are being expended efficiently and appropriately.

Well-managed urban LEAs must also have rigorous and fair systems for holding schools

¹OESE has proposed that the 100 largest LEAs be eligible. This proposal needs further review. A number of the 100 largest school districts are 100% suburban. Others are large county districts that probably have more cows than people. (See p. 103 of Digest of Education Statistics, 1996.) One alternative might be the largest 50 or 100 LEAs that have include a central city with a population of at least a certain size.

accountable for performance. These systems must produce current, reliable data on students' academic outcomes and in such areas as attendance, discipline, and drop-out rates. Those data must become the basis for LEA policies and actions on individual schools. Some of the LEAs have begun to implement those systems; many need extra help in design and implementation, including assistance in ensuring that all schools of the LEA are generating the intended information.

An effective LEA accountability system must include measures for rewarding successful schools and for turning around failing schools. Districts would be able to use their Federal grants to design and implement those measures. They would develop fair and attractive incentives that acknowledge and reward schools that are making significant progress in educating students to high standards. Such incentives could include greater school autonomy, financial rewards, provision of release time for professional development, or public recognition. With regard to schools consistently failing to make progress, the LEAs could provide intensive technical assistance and professional development, and also implement procedures for comprehensive school overhaul, reassignment of staff, reconstitution, or school closure.

- Building human capacity to improve instruction -- In order for urban schools to meet the challenge of educating all students to challenging standards, they will need to invest in sustained, intensive professional development for teachers and instructional leaders. Although Eisenhower Professional Development and other existing Federal programs provide some support for those efforts, the challenges in urban communities often require a more targeted and intensive approach. In particular, much of the burden of raising school performance rests with the school principal, and existing programs do not fund activities to enhance the leadership skills of principals and other school administrators. Urban Initiative grants could support partnerships between LEAs and institutions of higher education that provide principals, other administrators, and other members of the school community with the skills and knowledge they need to bring about needed changes in the school climate, provide strong instructional leadership, and hold all staff accountable for achieving results.

- Expanding public school choice -- LEAs could use their grant funds to design and implement system-wide, or partial-system, programs that give students and parents a wide range of public school options. These programs could greatly expanded choices beyond what is currently available through magnet and charter schools, and could include such innovations as total open enrollment across the system, availability of choices across school systems, or postsecondary options for high school students. The availability of these choices would have to be consistent with LEA desegregation plans, and could, in fact, enhance progress in achieving desegregation. Providing funding for development of expanded choice programs could thus be a component of the Administration's race initiative.

• Other priority improvements -- Depending on their needs and priorities, recipient school districts could use their Federal grants to invest in such areas as summer programs that build on the school-year curriculum and give low-achieving students an extra opportunity to raise their achievement levels; implementation of all-day kindergartens in order to give children from low-income families the boost they need to begin their formal education successfully; and programs to improve the racial climate in inner-city schools. In each of these areas, applicants would have to show how the particular investment is aligned with their comprehensive reform strategies and how they will continue the activities once the Federal grant has ended.

Under this new program, the Department would make three-year grants to eligible LEAs. Applicants would commit themselves to specific goals related to student achievement and district management, and would have to demonstrate, in their applications, how participation in the program would help enable them to meet those goals.

The Department would also reserve a small portion of the money for national activities, including evaluation, peer review of applications, dissemination and sharing of best practices, and other activities to assist the grantees.

1999 BUDGET REQUEST

For fiscal 1999, the Department requests \$320 million for the first year of the Urban Initiative. This amount would fund 10-15 grants, with individual grants ranging from \$15 million [?] to \$35 million [?]. In addition, the Department would reserve \$3 million [?] for national activities.

Urban schools today face a major challenge. They must educate an increasingly diverse and needy student population. Many also have rapidly growing enrollments, with the increase in students far outstripping increases in revenues. At the same time, urban schools have lost some of the confidence of parents and the general public. Families leaving cities frequently cite poor school quality as a reason for their exodus, and corporations complain that they cannot recruit well educated workers from urban communities. Critics claim that urban school systems lack a clear mission, including the mission of quality education for students.

Yet the Nation cannot write off its urban schools. Within the next ___ years, school districts in the largest ___ districts will enroll over ___ percent of American schoolchildren. These children are the key to our future; they must be prepared for responsible citizenship and to enter jobs in an increasingly technological workplace.

Recent Administration education initiatives recognize the distinct needs of our urban communities. For example, in response to GAO data showing that urban districts have the most urgent infrastructure needs, one-half of the assistance under the the President's school construction initiative would flow to the 100 districts serving the largest numbers of children from low-income families. The recently announced HEA Title V educator training initiative

would target all of its support on colleges and school systems that serve concentrations of poor children -- that is, primarily on urban communities. Our proposals for better targeting of Title I and Vocational Education funds would channel more revenues to urban school districts. But these initiatives cannot do the job alone. A new initiative focusing on management reforms, accountability, school-level improvements, school leadership development, and expanded educational choice will complement and build on the previous initiatives and fit securely within the Administration's broader urban policies and within policies to improve racial relations in America.

PROGRAM OUTPUT MEASURES

cc: Cohen
Martin

UNITED STATES DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education
600 Independence Avenue, S.W. - Portals
Washington, D.C. 20202-6100

Schnur

Telephone: 202-401-0113 Fax: 202-205-0303

FAX TRANSMITTAL

Date: 8/20

Number of Pages, Including Cover Sheet: 14

Telephone Number of Receiving Fax Machine: 456-7028

ADDRESSEE: Bill Kincaid

Organization: _____

Telephone #: _____

FROM: Jackie Jackson

Organization: _____

Telephone #: 401-0113

MESSAGE: Sorry ~~was~~ I was out sick Mon & Tues!

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URBAN EDUCATION CONCEPT PAPER

I. INTRODUCTION

This nation was founded upon the inalienable freedoms and rights that seek to ensure that all Americans have been educated to assume a productive and personally fulfilling life that includes the ability to function as a contributing citizen to our society. This premise assumes that our schools are equipping students to engage as active members in such a society.

The imminent danger on the horizon is the mounting evidence that students living in large urban centers characterized by high unemployment rates, violent crimes including rising rates of child abuse, decaying infrastructures, and dysfunctional family structures are very likely to attend schools unable to support the complex learning environments necessary to equip them to live out their lives as productive contributing citizens. "Nowhere are the problems and needs of children as great as in this nation's urban communities, where the lives of so many children are in disarray." (Wang, May 1997)

It is, however, the widespread evidence of academic failure that offers the greatest threat to our nation's ability to sustain a highly educated workforce and citizenry. Students in our urban schools score lower on math achievement tests than other students; 47 percent of our urban youngsters scored below the basic level on the NAEP reading tests. The purposes and goals of an urban education initiative are to address the deep educational needs of urban youngsters and expand their life opportunities.

The momentum behind a focused effort to improve education in urban schools has been building. Over the past year, at least six major education organizations -- the Council of Great City Schools, the National Education Association, the National Urban League, the National Urban Coalition, the Rainbow PUSH Coalition, and the U.S. Conference of Mayors -- have released their plans for improving urban schools. These plans have striking similarities in terms of the strategies they identify for raising student achievement in urban districts. (See attachment B.)

The time has come for concerted action to raise the achievement levels of all students in our urban schools. The following concept paper outlines the Administration's proposals currently under consideration to improve urban schools and "holds the course" for a number of initiatives to see if we can determine if these initiatives implemented in a systematic fashion contributes significantly to increased student achievement. It then outlines the gaps in our efforts, and offers a proposal for a focused grant competition to improve the urban schools with the greatest needs.

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II. CURRENT INITIATIVES THAT SUPPORT URBAN EDUCATION

The Clinton Administration has proposed several major initiatives, many of which are currently under consideration in Congress, that would strengthen urban schools. These initiatives should be a central part of an overall urban strategy.

Pending Legislation:

- School Construction: Our FY 99 budget proposal again includes a school construction proposal for a one-time infusion of \$5 billion that will stimulate \$20 billion in school construction and renovation over the next four years. This proposal requires legislative action. These funds would pay for half of the interest costs on school construction bonds or similar financing mechanisms. Half of the funds available under this program would be targeted to the nation's largest 100 cities. Cities would also be eligible to compete with other districts for the other half of the funds available under this program. Through this program, schools could obtain financing to make emergency repairs, to correct health and safety problems, to make technological upgrades, to improve energy efficiency, to ensure access for individuals with disabilities, and to build new schools needed to accommodate growing enrollments.
- Title V Reauthorization Proposal for ^{Recruiting / Preparing Urban Teachers} Professional Development: The professional development programs included in the Administration's higher education reauthorization proposal would greatly benefit urban schools. The proposal includes a program to recruit new teachers for underserved areas. This will greatly help urban school systems which traditionally have difficulty recruiting certified teachers and are often forced to rely on a large pool of uncertified teachers. Our proposal for lighthouse partnerships for professional development could also benefit urban districts. Both programs include provisions to support training for paraprofessional educators to become certified teachers. Since a great number of paraprofessionals are in urban districts, this would help increase their ranks of certified teachers. It may also increase the diversity of the urban teaching pool since a majority of paraprofessionals come from racial and ethnic minority groups.
- America Reads: Reading will play a critical role in improving the education of urban children -- 47% of whom scored below the basic level on the 1994 NAEP. The Administration has proposed legislation for a \$260 million initiative for FY 98 that would support Parents as First Teachers programs and individualized tutoring programs after school, on weekends, and in summers. Tied to this initiative, the Administration is encouraging colleges and universities to send 100,000 students into their communities as reading tutors. Colleges and

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universities are being asked to devote half of their new Federal Work-Study money to community service jobs, and the Department is waiving the requirement for local agencies to match the Federal investment. The President's budget also includes a major expansion of Head Start to reach one million pre-school children in 2002 so that they will enter school ready to learn.

- Reauthorization of the Vocational and Adult Education Acts: The Administration's proposal for vocational education and adult education reauthorizations contain provisions to target resources to communities and populations with the greatest need. Our proposals to target formulas to high poverty areas would benefit urban school districts. Our proposals are designed to improve student academic achievement, school-to-work opportunities, welfare reform, and family literacy. The reauthorizations also push program improvement by establishing priorities for quality programs, and creating links between these acts and planning and services under other Federal education programs. The proposal for vocational education encourages each State to use those funds for activities in the State school-to-work plan, Goals 2000 plan, and other reform efforts, including schoolwide programs.

Authorized Programs, Pending Funds:

- 21st Century Learning Centers: Our FY 98 budget request includes a \$50 million program that would support extended learning time for youth in inner city and rural schools. Grants would be used to establish community learning centers in local public schools that offer stimulating, safe, supervised, and cost-effective after school, weekend or summer havens for children and youth. Recent research shows that a stimulating environment of this type can improve thinking skills and language skills of participating children and youth. These ^{center} programs would have a focus on offering learning activities.

- National Research Center on School Leadership: The Department's FY 99 budget request includes funding for a national research center on school leadership which would focus on improving district and school leadership as well as the support systems that must operate in a coherent manner to provide improved teaching and learning. 

- Title I Whole School Reform: A proposal has been put forward by Congressman Obey for a whole school reform program totaling \$200 million in FY 98 (\$150 million under Title I, and \$50 million under the Fund for the Improvement of Education). These funds would support \$50,000 competitive grants to as many as 4,000 schools to start-up research-based models of whole school reform. These schools will focus on implementing challenging academic standards, engaging

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teachers, and strengthening parental and community support. This program, however, is open to all schools, it does not have an urban or a Title I focus.

Current Initiatives with a Clear Urban Focus:

- New American High School Reform Initiative: In the spring of 1995, the Department began encouraging high school reform efforts that focus on helping all students achieve high levels of academic skills and prepare for college and careers, especially through whole school reform. The Department identified five urban high schools to receive assistance in expanding and promoting their reforms and serve as models for other districts. We are working with these schools to revamp their curriculum, improve teaching methods, and raise expectations for both students and teachers. They are creating smaller, safer learning environments, and building partnerships with community leaders, businesses, and parents. The Department is expanding this initiative to 30 schools this year.
- Urban-Rural School-to-Work Opportunities Grants: A total of 46 grants have been awarded to urban areas to assist in establishing comprehensive school-to-work systems. These grants are made directly to local school-to-work partnerships that serve areas of concentrated poverty.
- Educational Technology: The new E-rate put forward by the FCC as part of the Universal Services provision of the Telecommunications Act provides essential support to urban school districts so they can access Internet services at heavily discounted rates for both wiring schools and connecting to the Internet. Educational technology offers a powerful tool to improve teaching and learning and bring all children into the Information Age. This Administration has made significant investment into expanding access to educational technology through both discounted rates and through grants such as the Technology Literacy Challenge Fund and the Technology Innovation Challenge Grants.
- NSF Urban Systemic Initiative: The National Science Foundation funds grants to urban school districts for comprehensive reforms to improve student achievement in math and science. *But is it - higher?*

III. GAPS IN CURRENT INITIATIVES

Despite these far-reaching initiatives, some gaps still exist for cities to implement truly comprehensive, sustainable education reform strategies.

1. Strengthening Accountability and Fixing Failing Schools

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A key component of an overall plan to raise student achievement in urban schools is that of holding schools accountable for student results and holding the district accountable for turning around those schools that do not meet student needs. Districts are taking increasingly tough measures to improve schools, but need assistance to strengthen their accountability systems and provide rewards for good student performance and interventions or sanctions to address failing schools.

- **Building systems of rigorous and fair accountability:** Urban school districts need support to design and implement effective school performance and information systems, including district and school report cards, in order to hold teachers, schools, and principals accountable for student achievement. Systems would be anchored on challenging academic standards and assessments aligned with those standards, along with high quality, disaggregated data on student and school progress toward achieving tougher standards, and other measures such as improved attendance, discipline, safety, and drop-out rates. As schools gear up to implement tough accountability systems, they will need assistance to ensure that their accountability systems are fair and reliable. They should be encouraged to consult with other districts regarding effective indicators of school performance. They will also need to target assistance to low achieving schools to prepare them to participate in such an accountability process.
- **Turning around failing schools:** Urban school districts should develop and implement fair and effective strategies for identifying, assisting, and, if necessary, overhauling, reconstituting, or closing failing or unsafe schools, consistent with State and district accountability efforts. Districts could use grant support to provide technical assistance to failing schools on issues such as intensive professional development and curriculum improvements. They could also intervene in struggling schools, removing ineffective principals, shifting teaching staff, or overhauling instructional programs. If schools are reconstituted or taken over, they will need support to plan and implement effective schoolwide reforms so that reconstitution is successful.
- **Rewarding successful schools:** Urban school districts could develop and implement fair and attractive incentives to acknowledge and reward successful schools based on progress toward challenging academic achievement objectives and other measurable results such as reduced drop-out rates, student and teacher attendance, and improved preparation for college and careers. Incentives could be based on whether ALL student groups -- including minority, limited English proficient, disabled and low-income students who tend to come to school at an educational disadvantage and often are the lowest achieving within a school -- are achieving at high levels and staying in school. Reward strategies could include

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greater school autonomy, financial incentives, and the provision of release time to enable teachers and principals to visit and learn from their peers in other successful schools. Such rewards would increase incentives to improve schools and would build public recognition of and support for well-performing schools.

- **Improving District and School Management:** Urban school districts need assistance to strengthen and improve their management and administrative leadership. They could use support in building their administrative and management capacity and capabilities, and improving personnel practices, budget, accounting, and finance systems, and procurement policies. They should build an accountability system for management and administration of the school system. Districts could be encouraged to partner with the business community to utilize business expertise in improving management systems such as personnel and payroll, budgeting, procurement, food services, facilities planning and maintenance.

2. Building Human Capacity to Improve Urban Instruction

As districts engage in raising student achievement through the implementation of challenging standards and assessments and participation in such rigorous measures at the national tests, they will need to invest in ongoing, sustained professional development for teachers and instructional leaders. An urban education grant that includes support for professional development would be powerful for those districts prepared to invest in their teachers and school leaders. It should be targeted initially to the grades k-8, with an emphasis on reading and math so that schools are prepared to meet challenging national standards.

- **Strengthening instructional leadership:** School principals and other instructional leaders are critical for raising student achievement. If meaningful change is going to occur in urban schools, leadership must go beyond the traditional management training of most principals to the kind of visionary leadership that will impact curriculum and instruction and build capacity throughout the school district. An urban education grant should support State, local, and higher education initiatives that will provide instructional leaders with the knowledge and skills and ongoing professional development experiences to: implement research-based, dynamic models of school change; provide meaningful supervision that focuses on constructive analysis of the instructional climate; guide staff as adult learners; provide opportunities for staff to collaborate and learn from practice during the school day; and use data to support planning for ongoing student achievement.
- **Investing in intensive, ongoing professional development for teachers:** In order to meet the President's goals in reading and mathematics, teachers will need

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to center their instruction and classroom practices on achieving challenging academic standards. This will require intensive, professional development so that all teachers are equipped with the knowledge and skills to reach diverse learners so that all students reach high standards. Some will need to learn how to implement new instructional approaches and how to utilize such tools as educational technology to strengthen teaching and learning in their classrooms. Districts could use urban education funds to work with their teachers, colleges and universities to together develop programs for pre-service teachers preparation and ongoing professional development to meet these needs.

3. Providing Additional Learning Opportunities for Students with the Greatest Needs**• Year-round school for those with greatest needs (Extended Learning Time):**

All students should be expected to reach high standards, and some may need additional support. To extend the school year for low achieving students would give them an opportunity to gain skills over the summer months. However, research on extended school years indicates that in order to be effective, the school district must invest in the planning and development necessary to ensure that the summer program effectively builds student knowledge and skills. There must be clear and mutually understood goals for how the time should be used, and provisions for teachers to gain the skills they need to effectively help all students reach high standards.

Despite the increased investment in kindergarten, recent data show that only 45% of children in low-income families are able to attend full day kindergarten, compared to participation of 73% for their peers from more affluent homes and that child care programs serving children from low and moderate income families have huge waiting lists. The research shows that children who are involved in kindergarten early in their development show positive improvements in cognitive development and school readiness. A related set of research studies tracked the performance of children over time after they left kindergarten. The findings showed children who went to full day preschool out performed children who were not in preschool or who went for half day preschool on school achievement tests, grade-point average and rates of retention in grades and placement in special education.

What
would
cost
pay
for?

4. Expanding Public School Choice to Improve Student Achievement

Urban districts could use funds to design and implement strategies to create, broaden, or overhaul districts' public school choice options. These public school choice strategies, with a focus on creating smaller, more personalized learning environments, would ensure that all parents could choose the public school their child will attend at any grade level. Choice plans should be

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integrated with the accountability system and include strategies to inform parents of school performance and services so that they can make informed choices. Federal funds could be used to implement broad public school choice plans that include options such as district-wide public school choice, open enrollment policies, cross-district enrollment programs, charter schools, magnet schools, alternative schools, schools-within-schools, expanded choices of advanced classes, and postsecondary options for high school students. Funds could support strategies for implementation such as public information and outreach and transportation. (Urban districts could also be encouraged to tap into charter school funds or magnet school funds to transform failing schools into new entities.)

5. Improving Race Relations

Over the last few years there has been a increase in the growth of racist organizations and cults, often armed and dangerous. Assaults on minority families trying to move into previously segregated neighborhoods are still a flourishing form of racial harassment. The ghettos and barrios of our urban cities quickly reveals the price of neglect. A price that is being paid by our youth in the form of more crimes against and among the races. One of the ways the schools can help to eliminate this problem is to provide students in urban schools opportunities to interact with students of different races and cultures to reach understanding and respect for our differences. Funds could encourage this dialogue and would provide us with an opportunity to explore solutions and to disseminate best practices in this area.

IV. FOCUSING AN URBAN DISCRETIONARY GRANT PROGRAM**1. Fixing Failing Schools -- \$300 million (10-15 grants)****PURPOSE:**

The Department will award three-year grants to urban school districts to raise student achievement in their most troubled schools. These grants focus on turning around failing schools through clear academic standards, strong accountability, and substantial investments in professional development and other supports to help all students achieve to challenging standards.

ELIGIBLE APPLICANTS:

Urban Local Education Agencies (LEAs) or consortia of LEAs in partnership with businesses, community-based organizations, institutions of higher education, parent organizations, community collaboratives, and/or service providers. Categories are:

- Large urban LEA Category---urban LEAs administering schools with a total enrollment of 100,000 or more elementary and secondary students.
- Medium-sized urban LEA Category--- urban LEAs administering schools with a total enrollment of 50,000 but less than 100,000 elementary and secondary students.

DRAFT--August 15, 1997**ESTIMATED GRANT SIZE:**

The Department currently has a \$320 million placeholder in its FY 99 budget request for an urban education initiative. The large urban LEA grants would range from 10 to 15 million dollars and the medium-sized LEAs would range from 5 to 10 million dollars.

SELECTION CRITERIA/APPLICATION REQUIREMENTS:

Applicants must submit a proposal that shows how grant funds will be used to improve student achievement particularly in failing schools, reconstituted schools, or the schools with the greatest demonstrated need. Grant proposals must be tied to an overall plan for school improvement across the district. Applicants must demonstrate how this grant will work in conjunction with other funds to improve student academic performance in the most troubled schools. Proposals must also demonstrate widespread commitment to a local education reform plan, including commitment from the mayor, community groups, business, and the local teachers' union.

Grant proposals must focus on finding solutions to the problems that students face in the schools; connecting proven research to the solutions; utilizing research findings from educational programs as well as other programs; and implementing and building on existing structures.

Proposals must demonstrate **district readiness for implementing elementary school reform** with a focus on ensuring that all students can read for understanding by the end of the third grade. If a district has already focused on early grades and has demonstrated success, it must provide evidence of such success and demonstrate its ability to implement reforms for other primary school years or for middle schools.

The grant proposals should be targeted to intervene in the schools with greatest need and must include such elements as:

- **Challenging Curriculum and Instructional Practices:** A district proposal must include evidence that it has in place, or has strategies to develop, a research-driven curriculum that focuses on the acquisition and application of knowledge tied to challenging academic standards for all students. The District must also demonstrate that instructional practices are in place or it will develop instructional practices to implement the challenging curriculum so that students are acquiring depth of understanding, engaging in authentic problem-solving, or applying their understanding in new contexts.
- **Accountability:** The proposal should describe a data system, or a proposed system, tied to student achievement that will be used to assess school progress over time. Such a system must be used to show evidence of progress for the whole school, disaggregated by student population, including students with special needs. It should be based on challenging academic standards and aligned assessments that produce current, reliable data on students' academic performance and that provide accurate and timely school-based indicators in such

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areas as attendance, discipline, and drop-out rates.

The accountability system should include clear interventions or sanctions for low performing schools, such as targeted supports, personnel changes, technical assistance, and reconstitution. Similarly, it should include rewards for successful schools and schools that show great improvement. Rewards or incentives might include for example, financial rewards, provision of release time for professional development, greater school independence in administrative decisions, or public recognition. Districts would be able to use these grant funds to design and implement these accountability measures.

- **Professional Development:** A district proposal must include a plan, or strategies to develop such a plan, for research-driven, intensive professional development for teachers in the targeted schools. For tenured teachers, the District's proposal should have multiple perspectives for the provision of professional development such as weekly sessions and intensive summer institutes. For first year teachers, the District should develop a comprehensive induction program utilizing such activities as the use of mentors, on-going supervision and coaching.

Professional development plans must include strategies to develop the capacity of instructional leaders in the targeted schools, with a particular emphasis on instructional leadership in reading and math.

- **Parental Involvement:** The district plan must include strategies to build and sustain active parental involvement in failing schools.

ADDITIONAL ACTIVITIES

It is understood that districts may be in different stages of implementing their reform plans. Therefore these grant funds may be tailored to meet the unique needs of individual school districts, as long as those activities are tied to an overall plan for improving student performance. For example, funds could be used for activities such as:

- **Improving management:** building administrative and management capacity and capabilities for strengthening supervision of instructional programs, and improving personnel practices, budget, accounting and finance systems, and procurement policies. Districts could be encouraged to partner with the business community to utilize business expertise in improving management systems such as personnel and payroll, budgeting, procurement, food services, facilities planning and maintenance.
- **Technical assistance and support for whole school change:** Some districts may want to provide assistance to help schools design and implement schoolwide reform plans. Assistance might take the form of expert consultations for implementing research-based

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designs for whole school change, restructuring daily teaching patterns and expanding the types of instructional strategies, implementing challenging standards and assessments, ensuring that students with disabilities are in the least restrictive environments and held to high standards, or enriching instruction for limited English proficient students.

- **Extended Learning Time:** Funds could be used to extend the opportunities for learning for low achieving students. For instance, the school day could be extended with after school learning programs. Schools could also offer year round schools or summer programs for low achieving students. The project could pay for staff time for employees employed 10 months. The program would have to be academic in nature and build on the existing high level curriculum. Funds might also support full day kindergarten programs.
- **Expanding Public School Choice:** Grant funds could be used to expand innovative learning opportunities to a greater number of students by investing in public school choice options such as charter schools, magnet schools, and schools within schools. These grant funds could be used to ensure that public school choice opportunities are held accountable for student performance and have open enrollment or a lottery system. This grant could support public school choice by funding assistance to new schools or addressing such needs as planning, public outreach and education, transportation, and personnel.

2. Race relations and our public schools (demonstration project) -- \$17 million (grants would range from 200,000 to 1 million)

PURPOSE: The purpose of this grant will be to foster positive race relations between and among the races.

ELIGIBLE APPLICANTS: Local urban schools districts in partnership with suburban and/or rural school districts where the racial make-up is different from the urban school district.

APPLICATION REQUIREMENTS:

The grant proposals should be based upon:

- identifying, clearly articulating and finding solutions to the problems that students face in the inner schools;
- connecting proven research to the solutions;
- developing an intra disciplinary approach to the research; and
- the fact that significant learning occurs outside of the schools, in homes and the larger community.

The grant proposals must be targeted to intervene and/or develop prevention strategies to

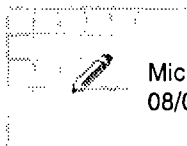
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eradicate race related problems in the schools and may include such elements as:

- Develop partnerships with suburban and/or rural school districts to work with students around race and cultural issues. The purpose would be to foster real dialogue among various groups to establish a common core of understanding.
- Fund multi-cultural schools that would reflect the racial make-up of the world. The schools would be highly academic and would encourage the learning of foreign languages and those skills need to be successful in a global economy.
- Develop activities for students to interact with their counterparts from partnership districts such as summer camps, joint courses and field activities, etc.
- Develop activities that would address conflict resolution, importance of education, goal development, etc. utilizing the research on educationally resilient students.

3. National leadership activities -- \$3 million

- Superintendent's network--meet with the superintendents on a quarterly basis and based upon their needs provide technical assistance, such as speakers on topics that are relevant to them.
- Brokering technical assistance for the grantees -- especially around whole school reform.
- To create and test new modes of communication for the dissemination of best practices
- Create a consortium of universities concerned with inner-city education
- Evaluation and documentation of the process so that data would be available for the replication purposes.



Michael Cohen
08/03/97 02:07:28 AM

Record Type: Record

To: William R. Kincaid/OPD/EOP
cc: Tanya E. Martin/OPD/EOP
Subject: stuff

Some loose ends before I go:

1. General reactions to ED/Tirozzi's urban concept paper and urban initiative
 - In the Friday evening meeting with Bruce and Elena, we decided we would not pust the Department's urban initiative on a fast-track timetable to announce outside the budget cycle, for two reasons: It will be very tough to get OMB to agree to something significant outside of the cycle, and we think in general that we will be better off holding off almost all ED initiatives until the State of the Union. Otherwise we will have announced everything before hand, and then have nothing left for the big speech.
Despite this, you should not yet tell Gerry to slow down, because I think the odds of the above decision being changed in the near future are decent.
 - I still have not had a chance to review this in detail, but my own reactions and the discussion with Bruce and Elena about an urban initiative more generally lead to the following issues I think you should raise with Gerry when you meet with him:
 - While each of the components of new and existing initiatives make sense, its not clear that they add up to a sufficient set of incentives and actions to really turn around urban systems--at least not those systems which rally need to be shaken-up, along the lines of Daley assuming control in Chicago, or last year's legislation in New York to overhaul the relationship between the community school boards and the chancellor's office. Presumably, there are still a few city school systems that need change that drastic--even if the particulars vary from city to city. Shouldn't our initiative provide some kind of incentive for that change where needed? How could we do that? I don't think the ideas under Improving District and School Management quite get at it, though they are a start.
 - The accountability and fixing failing schools stuff is good. Now that 15 school districts are signing up for the tests, and presumably more will follow, we might want to think about tieing the rewarding successful schools component to progress as measured by the national tests. This will be very sensitive politically, especially if we were to announce it now. But they should spend some time imaging that by February we might be in better shape overall with regard to the test, and may have another 15 or so cities signed up. If so, linking rewards to performance on the test will neither look like federal intrusion, nor a bribe to participate in the tests.
 - Along the same lines, they should be encouraged to explore the possibility of providing rewards to individual students based on meeting national standards as measured on the national tests. Think about the idea I've been pushing in the context of Chakah - Fattah; of providing rewards in the form of deposits into education savings accounts for academic accomplishments, including doing well on the 8th grade math test. If we can get over the immediate hurdles with the Hispanic caucus (and to a lesser extent the Black caucus), then a reward program tied to meeting national standards could set up a positive dynamic in which (1) parents are really insistent about schools doing a good job, because they have a clear measure of performance,

and because there is a very tangible consequence of success or failure for individual kids. Put bluntly, parents could be really pissed if their kids miss out on scholarship \$ because the schools couldn't get their act together. If the system can anticipate that in advance, it ought to put considerable pressure on the system to deliver for those kids; (2) the rest of the community--church groups, businesses, higher education, etc. -- has a real incentive to pitch in with tutoring, mentoring, etc., to make sure that every eligible kid can earn some scholarship money.

Having thought this through before in the context of Chakkah Fattah, I know this is complicated and potentially expensive. It also could be very powerful, and I would encourage the Department to think of ways of approaching this that could work.

- It would be good if there were a clear component in there that was focused on preparing kids for college -- by helping them take the right courses and do well in them. I'm not sure what form this would take -- guidance counselors, partnerships with IHE's, even more work on AP, etc.. This could also tie in to School-to-Work and VOk-ed, and to Trish McNeill's ideas about high school reform. However, I think the objective is an important one, especially in light of the circumstances in California and Texas, and the general notion that you have to start early with many kids to get them on the right trajectory for college.

2. Back-to-school

The current thinking about an event for the week of September 8 would be to focus on the Obey funds for effective practices, especially if we can get a piece of that focused on failing schools. I've got to check some of this out with Obey's staff to see what is possible (I'm pretty sure they will go for a failing school component for some of the funds), and what timing makes sense -- before or after the House appros. vote. I'm going to try to reach Cheryl Smith on his staff this week to see what we can do.

We should still push the charter event, either as a separate event or tied to the Obey stuff. Bruce in particular is interested in broadening whatever we might do with Obey to capture a broader reform message, so it is worth thinking about combing the two some how. In addition, Obey could well fall through, so this charter schools piece could be our best bet. You should make sure you get Christa, Elena and Bruce in the loop on this asap.

3. Thursday's Race/Urban ed initiative meeting

- Could you please contact Virginia Acuso at DOL. She is the Race initiative contact person there, and ought to be invited. I have two numbers for her, from 2 different sources: 219-2455, or 219-6151.
- With respect to the focus of the meeting; it's a bit hard to call this one, largely because I'm not sure who will show up. You might ask Allison to get a handle on that early on. Otherwise, a couple of things seem important to me, in addition to the value of holding the meeting just to create the appearance of momentum. First, there are a set of higher education issues that would be timely to discuss. One revolves around ED's plans for HBCU's and HSI's in the HEA reauthorization. I gather there is a real conflict brewing there, and we ought to find out what is going on and what might be done about it. A second revolves around the Texas/California issues you are pursuing with Tom. This might be a good group to discuss what POTUS and the Administration might do. (A third would be Chakkah Fattah, but Bob will not be at the meeting)



Kevin_Sullivan @ ed.gov
08/07/97 11:59:00 AM

Record Type: Record

To: William R. Kincaid

cc:

Subject: Re[3]: chicgo public school reform effort

Friends,

Let me come at this subject from a different angle. Vouchers continue to gain adherents among the elite press including the NYT in part because we can never give them clear examples of success in urban areas. Voucher proponents have "Milwaukee" as their case study and we have no distinct positive alternative that we can point to as illustrative of a public school system that has started to turn around. Val has suggested District II in NYC and possibly Charlotte/Mecklenburg as possible examples and it would be very helpful to have some background on either of them or others. Coverdell and others are not going to back off in the next year and we need to get some positive press stories that have national impact on some urban system that is showing positive progress.

Kevin

Reply Separator

Subject: Re[2]: chicgo public school reform effort

Author: Mike Smith at wdct01

Date: 8/6/97 4:54 PM

Kevin: This is essentially uncharted territory -- Jennifer O'Day at Jennifer@forsythe.stanford.edu probably knows more about it than anyone else -- she has some info from Chicago. There has been some data gathered about SF that is encouraging but the trick is understanding the policies and tracking the reasons for things that might work.

Citing the Chicago reforms is good press but, as you say, we need more data and a better understanding of what has been happening there. Two successive Chicago reforms have been touted by us -- one that led to complete decentralization and one that is coming from the perspective of lots of centralization. Fortunately we are flexible.

Re:social promotion -- as wiht the reforms this makes good press -- red meat for the conservatives to support us. But the fact is it's only obverse in our society is retention in grade which is generally not a good idea (according to the data) especially for the young and poor -- where is it generally practiced. Students actually and naturally learn at different paces and some years they spurt and others they lag -- and it is often different from kid to kid. A lock=step curriculum that forces specific mastery in one grade in order to be

advanced from that grade into another misunderstands the problem. The problem is that we do not help those who are lagging behind if we hold them back-- we label and stigmatize them. The answer we most clearly advocate comes down in the middle -- have some gate years such as the 4th grade and 8th grade. Thus our reading and math tests which lend some support to this notion and thus our arguing in G2000 and other places for content and performance standards only at the 4th, 8th and 12th grades. But again we don't have any good data to support us. The Europeans call retention "wastage" and have been avidly reducing it's incidence over the past two decades. The Japanese never hold back anyone and their mean test scores are higher and their dispersion (spread of scores) is much smaller. A real reform would work very hard with students who don't do well and continue to challenge them -- we do the opposite on both counts.

Real life is complicated, Kev. Best wishes from the tundra where the sky is blue and the ale is hearty and all the problems have clear solutions. Mike

Attached is an earlier brief describing some state and local efforts. I will ask Daphne Hardcastle of my staff to follow up with Chris Dwyer at RMC on her study of schoolwides that were turned around over an extended (5+ year period), if you are not looking for quick fixes. Jennifer O'Day at CPRE is doing research on reconstitution in San Francisco; we are going to support an expansion of this work to include more cities and schools that have been identified for reconstitution or Title I school improvement. Chicago will be included but we will not have a report anytime soon. We are particularly interested in how the federal program might support state and local efforts to fix schools. Our preliminary indication from a meeting held on reconstitution was that Title I did not come up in the discussion.

Val

Speech help for the Fall:

Chicago:

I have citing in speeches the current reform effort in Chicago as something that is positive when it comes to urban education -- reconstitution of schools, the end of social promotion, a commitment to standards. Most of this is just coming out of news accounts. Has anyone in our shop, OERI or other outside experts taken a good look at what is going on in Chicago?

Turning Around Failing Schools:

Do we have any data! -- research or reports that summarizes the best ways to turn around failing schools -- and do we have any examples with hard evidence of failing schools that have been turned around? This would be very useful information for the speechwriters.

Kevin

URBAN EDUCATION

CONCEPT PAPER

I. INTRODUCTION

This nation was founded upon the inalienable freedoms and rights that seek to ensure that all Americans have been educated to assume a productive and personally fulfilling life that includes the ability to function as a contributing citizen to our society. This premise assumes that our schools are equipping students to engage as active members in such a society.

The imminent danger on the horizon is the mounting evidence that students living in large urban centers characterized by high unemployment rates, violent crimes including rising rates of child abuse, decaying infrastructures, and dysfunctional family structures are very likely to attend schools unable to support the complex learning environments necessary to equip them to live out their lives as productive contributing citizens. "Nowhere are the problems and needs of children as great as in this nation's urban communities, where the lives of so many children are in disarray." (Wang, May 1997)

It is, however, the widespread evidence of academic failure that offers the greatest threat to our nation's ability to sustain a highly educated workforce and citizenry. Students in our urban schools score lower on math achievement tests than other students; 47 percent of our urban youngsters scored below the basic level on the NAEP reading tests. The purposes and goals of an urban education initiative are to address the deep educational needs of urban youngsters and expand their life opportunities.

The momentum behind a focused effort to improve education in urban schools has been building. Over the past year, at least six major education organizations -- the Council of Great City Schools, the National Education Association, the National Urban League, the National Urban Coalition, the Rainbow PUSH Coalition, and the U.S. Conference of Mayors -- have released their plans for improving urban schools. These plans have striking similarities in terms of the strategies they identify for raising student achievement in urban districts. (See attachment B.)

The time has come for concerted action to raise the achievement levels of all students in our urban schools. The following concept paper outlines the Administration's proposals currently under consideration to improve urban schools. It then outlines the gaps in our efforts, and offers a proposal for a focused grant competition to improve the urban schools with the greatest needs.

II. CURRENT INITIATIVES THAT SUPPORT URBAN EDUCATION

The Clinton Administration has proposed several major initiatives, many of which are currently under consideration in Congress, that would strengthen urban schools. These initiatives should be a central part of an overall urban strategy.

Pending Legislation:

- School Construction: Our FY 99 budget proposal again includes a school construction proposal for a one-time infusion of \$5 billion that will stimulate \$20 billion in school construction and renovation over the next four years. This proposal requires legislative action. These funds would pay for half of the interest costs on school construction bonds or similar financing mechanisms. Half of the funds available under this program would be targeted to the nation's largest 100 cities. Cities would also be eligible to compete with other districts for the other half of the funds available under this program. Through this program, schools could obtain financing to make emergency repairs, to correct health and safety problems, to make technological upgrades, to improve energy efficiency, to ensure access for individuals with disabilities, and to build new schools needed to accommodate growing enrollments.
- Title V Reauthorization Proposal for Professional Development: The professional development programs included in the Administration's higher education reauthorization proposal would greatly benefit urban schools. The proposal includes a program to recruit new teachers for underserved areas. This will greatly help urban school systems which traditionally have difficulty recruiting certified teachers and are often forced to rely on a large pool of uncertified teachers. Our proposal for lighthouse partnerships for professional development could also benefit urban districts. Both programs include provisions to support training for paraprofessional educators to become certified teachers. Since a great number of paraprofessionals are in urban districts, this would help increase their ranks of certified teachers. It may also increase the diversity of the urban teaching pool since a majority of paraprofessionals come from racial and ethnic minority groups.
- America Reads: Reading will play a critical role in improving the education of urban children -- 47% of whom scored below the basic level on the 1994 NAEP. The Administration has proposed legislation for a \$260 million initiative for FY 98 that would support Parents as First Teachers programs and individualized tutoring programs after school, on weekends, and in summers. Tied to this initiative, the Administration is encouraging colleges and universities to send 100,000 students into their communities as reading tutors. Colleges and universities are being asked to devote half of their new Federal Work-Study money to community service jobs, and the Department is waiving the requirement for local agencies to match the Federal investment. The President's budget also includes a major expansion of Head Start to reach one million pre-school children in 2002 so that they will enter school ready to learn.

- Reauthorization of the Vocational and Adult Education Acts: The Administration's proposal for vocational education and adult education reauthorizations contain provisions to target resources to communities and populations with the greatest need. Our proposals to target formulas to high poverty areas would benefit urban school districts. Our proposals are designed to improve student academic achievement, school-to-work opportunities, welfare reform, and family literacy. The reauthorizations also push program improvement by establishing priorities for quality programs, and creating links between these acts and planning and services under other Federal education programs. The proposal for vocational education encourages each State to use those funds for activities in the State school-to-work plan, Goals 2000 plan, and other reform efforts, including schoolwide programs.

Authorized Programs, Pending Funds:

- 21st Century Learning Centers: Our FY 98 budget request includes a \$50 million program that would support extended learning time for youth in inner city and rural schools. Grants would be used to establish community learning centers in local public schools that offer stimulating, safe, supervised, and cost-effective after school, weekend or summer havens for children and youth. Recent research shows that a stimulating environment of this type can improve thinking skills and language skills of participating children and youth. These programs would have a focus on offering learning activities.
- National Research Center on School Leadership: The Department's FY 99 budget request includes funding for a national research center on school leadership which would focus on improving district and school leadership as well as the support systems that must operate in a coherent manner to provide improved teaching and learning.
- Title I Whole School Reform: The Administration is backing (???) a proposal put forward by Congressman Obey for a whole school reform program totaling \$200 million in FY 98 (\$150 million under Title I, and \$50 million under the Fund for the Improvement of Education). These funds would support \$50,000 competitive grants to as many as 4,000 schools to start-up research-based models of whole school reform. These schools will focus on implementing challenging academic standards, engaging teachers, and strengthening parental and community support. This program, however, is open to all schools, it does not have an urban or a Title I focus.

Current Initiatives with a Clear Urban Focus:

- New American High School Reform Initiative: In the spring of 1995, the Department began encouraging high school reform efforts that focus on helping all students achieve high levels of academic skills and prepare for college and careers, especially through whole school reform. The Department identified five urban high schools to receive assistance in expanding and promoting their reforms and serve as models for other

districts. We are working with these schools to revamp their curriculum, improve teaching methods, and raise expectations for both students and teachers. They are creating smaller, safer learning environments, and building partnerships with community leaders, businesses, and parents. The Department is expanding this initiative to 30 schools this year.

- Urban-Rural School-to-Work Opportunities Grants: A total of 46 grants have been awarded to urban areas to assist in establishing comprehensive school-to-work systems. These grants are made directly to local school-to-work partnerships that serve areas of concentrated poverty.
- Educational Technology: The new E-rate put forward by the FCC as part of the Universal Services provision of the Telecommunications Act provides essential support to urban school districts so they can access Internet services at heavily discounted rates for both wiring schools and connecting to the Internet. Educational technology offers a powerful tool to improve teaching and learning and bring all children into the Information Age. This Administration has made significant investment into expanding access to educational technology through both discounted rates and through grants such as the Technology Literacy Challenge Fund and the Technology Innovation Challenge Grants.
- NSF Urban Systemic Initiative: The National Science Foundation funds grants to urban school districts for comprehensive reforms to improve student achievement in math and science. ...

III. GAPS IN CURRENT INITIATIVES

Despite these far-reaching initiatives, some gaps still exist for cities to implement truly comprehensive, sustainable education reform strategies.

for key parts

1. Strengthening Accountability and Fixing Failing Schools

A key component of an overall plan to raise student achievement in urban schools is that of holding schools accountable for student results and holding the district accountable for turning around those schools that do not meet student needs. Districts are taking increasingly tough measures to improve schools, but need assistance to strengthen their accountability systems and provide rewards for good student performance and interventions or sanctions to address failing schools.

- **Building systems of rigorous and fair accountability:** Urban school districts need support to design and implement effective school performance and information systems, including district and school report cards, in order to hold teachers, schools, and principals accountable for student achievement. Systems would be anchored on challenging

academic standards and assessments aligned with those standards, along with high quality, disaggregated data on student and school progress toward achieving tougher standards, and other measures such as improved attendance, discipline, safety, and drop-out rates. As schools gear up to implement tough accountability systems, they will need assistance to ensure that their accountability systems are fair and reliable. They should be encouraged to consult with other districts regarding effective indicators of school performance. They will also need to target assistance to low achieving schools to prepare them to participate in such an accountability process.

- **Turning around failing schools:** Urban school districts should develop and implement fair and effective strategies for identifying, assisting, and, if necessary, overhauling, reconstituting, or closing failing or unsafe schools, consistent with State and district accountability efforts. Districts could use grant support to provide technical assistance to failing schools on issues such as intensive professional development and curriculum improvements. They could also intervene in struggling schools, removing ineffective principals, shifting teaching staff, or overhauling instructional programs. If schools are reconstituted or taken over, they will need support to plan and implement effective schoolwide reforms so that reconstitution is successful.
- **Rewarding successful schools:** Urban school districts could develop and implement fair and attractive incentives to acknowledge and reward successful schools based on progress toward challenging academic achievement objectives and other measurable results such as reduced drop-out rates, student and teacher attendance, and improved preparation for college and careers. Incentives could be based on whether **ALL** student groups -- including minority, limited English proficient, disabled and low-income students who tend to come to school at an educational disadvantage and often are the lowest achieving within a school -- are achieving at high levels and staying in school. Reward strategies could include greater school autonomy, financial incentives, and the provision of release time to enable teachers and principals to visit and learn from their peers in other successful schools. Such rewards would increase incentives to improve schools and would build public recognition of and support for well-performing schools.
- **Improving District and School Management:** Urban school districts need assistance to strengthen and improve their management and administrative leadership. They could use support in building their administrative and management capacity and capabilities, and improving personnel practices, budget, accounting, and finance systems, and procurement policies. They should build an accountability system for management and administration of the school system. Districts could be encouraged to partner with the business community to utilize business expertise in improving management systems such as personnel and payroll, budgeting, procurement, food services, facilities planning and maintenance.

2. Building Human Capacity to Improve Urban Instruction

As districts engage in raising student achievement through the implementation of challenging standards and assessments and participation in such rigorous measures at the national tests, they will need to invest in ongoing, sustained professional development for teachers and instructional leaders. An urban education grant that includes support for professional development would be powerful for those districts prepared to invest in their teachers and school leaders. It should be targeted initially to the grades k-8, with an emphasis on reading and math so that schools are prepared to meet challenging national standards.

- **Strengthening instructional leadership:** School principals and other instructional leaders are critical for raising student achievement. If meaningful change is going to occur in urban schools, leadership must go beyond the traditional management training of most principals to the kind of visionary leadership that will impact curriculum and instruction and build capacity throughout the school district. An urban education grant should support State, local, and higher education initiatives that will provide instructional leaders with the knowledge and skills and ongoing professional development experiences to: implement research-based, dynamic models of school change; provide meaningful supervision that focuses on constructive analysis of the instructional climate; guide staff as adult learners; provide opportunities for staff to collaborate and learn from practice during the school day; and use data to support planning for ongoing student achievement.
- **Investing in intensive, ongoing professional development for teachers:** In order to meet the President's goals in reading and mathematics, teachers will need to center their instruction and classroom practices on achieving challenging academic standards. This will require intensive, professional development so that all teachers are equipped with the knowledge and skills to reach diverse learners so that all students reach high standards. Some will need to learn how to implement new instructional approaches and how to utilize such tools as educational technology to strengthen teaching and learning in their classrooms. Districts could use urban education funds to work with their teachers, colleges and universities to together develop programs for pre-service teachers preparation and ongoing professional development to meet these needs.

3. Providing Additional Learning Opportunities for Students with the Greatest Needs

- **Year-round school for those with greatest needs (summer programs):** All students should be expected to reach high standards, and some may need additional support. To extend the school year for low achieving students would give them an opportunity to gain skills over the summer months. However, research on extended school years indicates that in order to be effective, the school district must invest in the planning and development necessary to ensure that the summer program effectively builds student knowledge and skills. There must be clear and mutually understood goals for how the time should be used, and provisions for teachers to gain the skills they need to effectively

help all students reach high standards.

- **Full day kindergarten for all students:** Despite the increased investment in kindergarten, recent data show that only 45% of children in low-income families are able to attend full day kindergarten, compared to participation of 73% for their peers from more affluent homes and that child care programs serving children from low and moderate income families have huge waiting lists. The research shows that children who are involved in kindergarten early in their development show positive improvements in cognitive development (measured by IQ tests) and school readiness. Studies showed that the result of a boost in IQ for children who experienced preschool intervention, ranging from one-third of a standard deviation to more than two standard deviations. Less intensive intervention of one half-day preschool for one year resulted in the smaller IQ gains; while the more intensive intervention of full-day intervention almost from birth resulted in the higher IQ gain. A related set of research studies tracked the performance of children over time after they left kindergarten. The findings showed children who went to full day preschool outperformed children who were not in preschool or who went for half day preschool on school achievement tests, grade-point average and rates of retention in grades and placement in special education.

4. Expanding Public School Choice to Improve Student Achievement

Urban districts could use funds to design and implement strategies to create, broaden, or overhaul districts' public school choice options. These public school choice strategies, with a focus on creating smaller, more personalized learning environments, would ensure that all parents could choose the public school their child will attend at any grade level. Choice plans should be integrated with the accountability system and include strategies to inform parents of school performance and services so that they can make informed choices. Federal funds could be used to implement broad public school choice plans that include options such as district wide public school choice, open enrollment policies, cross-district enrollment programs, charter schools, magnet schools, alternative schools, schools-within-schools, expanded choices of advanced classes, and postsecondary options for high school students. Funds could support strategies for implementation such as public information and outreach and transportation. (Urban districts could also be encouraged to tap into charter school funds or magnet school funds to transform failing schools into new entities.)

V. FOCUSING AN URBAN DISCRETIONARY GRANT PROGRAM

The Department currently has a \$320 million placeholder in its FY 99 budget request for an urban education initiative. We envision a competitive grant process in which districts submit proposals to use grant funds that fill the gaps in their district wide plans for school improvement. *The ultimate goal of the grants will be to improve student achievement. They will focus, however, on turning around failing schools through stronger accountability and substantial investments in professional development and interventions for students.* || x

The Department would provide flexibility for districts to design proposals that meet their unique needs, but would expect district proposals to include such fundamental processes as promoting whole school reform and forming collaborations and partnerships with other agencies, community-based organizations, businesses, parents groups, community economic development programs, etc. The proposals should be dramatic, based upon solid research to have the best chance of success, capture the imagination of our best educators so that they will want to design and support programs for urban schools, and, hopefully, change the public's perception.

The grant proposals should be based upon:

- finding solutions to the problems that students face in the inner schools and not on the identification of the problems;
- connecting proven research to the solutions;
- developing an intra disciplinary approach to the research; and
- implementing and building on existing structures.

[These efforts should take into consideration that significant learning occurs outside of the schools, in homes and the larger community. We may consider focusing our decisions to continue the program on the results of student achievement and not on the type of program. Another aspect of the program that would be interesting would be to have the successful projects agree to mentor another district in their second or third year of funding.]

Options for targeting grants

Urban grants could be focused on turning around individual failing schools, improving clusters of feeder schools, or implementing district-wide reforms. We also recommend a race relations demonstration program and some national leadership activities.

-
1. Fixing individual failing schools or groups of feeder schools that have a demonstrated need -- ~~\$200 million~~
 2. ~~District-wide activities -- \$100 million~~
 - 2 3. Race relations and our public schools (demonstration projects -- possible name "E-RACE the Problem") -- \$17 million
 - 3 4. National leadership activities -- \$3 million

1. Fixing failing schools or groups of feeder schools that have a demonstrated need -- \$300 million (10 to 15 grants) Districts would apply for these grants to substantially invest in turning around failing schools, including reconstituting schools. Targeted schools would make bold commitments to specific goals in improved student achievement such as all students reaching national standards in fourth grade reading and eighth grade math, a 90% school completion rate, 50% going to postsecondary education, and increases in rates of challenging course participation. To help ensure that gains are made, the district could use grant funds for efforts such as:

- Design a strong accountability system based on student performance.
- Develop a system of rewards for schools that show substantial improvement and sanctions for schools that show no improvement in student achievement.
- Target interventions on failing schools, including reconstituting schools.
- Improve management -- building administrative and management capacity and capabilities, and improving personnel practices, budget, accounting, and finance systems, and procurement policies. Districts could be encouraged to partner with the business community to utilize business expertise in improving management systems such as personnel and payroll, budgeting, procurement, food services, facilities planning and maintenance
- Technical assistance and support for whole school change -- bringing experts such as a design team from New American Schools, or restructuring daily teaching patterns and increasing the levels of interactive instruction. Schools would get assistance for ensuring the students with disabilities are in the least restrictive environments and held to high standards.
- Fund year round schools or summer programs for low achieving students. The project could pay for staff time for employees employed 10 months. The program would have to be academic in nature and build on the existing high level curriculum.
- Full day kindergarten for incoming students.
- Develop a plan for intensive professional development for all teachers with a major emphasis on training for elementary and middle school teachers. These sessions would concentrate on reading and math weekly sessions and intensive summer institutes. Staff development should be based upon proven research.

Support an institute for all instructional leaders in the school district with particular concentration on elementary principals emphasizing supervision of reading and math and instructional leadership.

- Develop a comprehensive induction program to support first year teachers through the such activities as the use of mentors, on-going supervision and coaching.
- Invest in expanding public school choice options, including planning, transportation, and personnel.

2. Race relations and our public schools (demonstration project) -- \$17 million (grants would range from 200,000 to 1 million)

- Develop partnerships with suburban and/or rural school districts to work with students around race and cultural issues. The purpose would be to foster real dialogue among various groups to establish a common core of understanding.
- Fund multi-cultural schools that would reflect the racial make-up of the world. The schools would be highly academic and would encourage the learning of foreign languages and those skills need to be successful in a global economy.
- Develop activities for students to interact with their counterparts from partnership districts such as summer camps, joint courses and field activities, etc.
- Develop activities that would address conflict resolution, importance of education, goal development, etc. utilizing the research on educationally resilient students.

3. National leadership activities -- \$3 million

- Superintendent's network--meet with the superintendents on a quarterly basis and based upon their needs provide technical assistance, such as speakers on topics that are relevant to them.
- Brokering technical assistance for the grantees -- especially around whole school reform.
- To create and test new modes of communication for the dissemination of best practices
- Create a consortium of universities concerned with inner-city education
- Evaluation and documentation of the process so that data would be available for the replication purposes.

ATTACHMENT A

OTHER SUGGESTIONS

Other Program Offices have made suggestions for additional gaps that could be filled through an urban initiative. We have included some key issues for your reaction and feedback.

- BE BOLD
- High school v. middle school v. Elementary school: We received differing opinions on the point of focus
- Include early childhood education
- Include lifelong learning.
- what will be outcomes and how will they be measured?
- How will we cost out these grants?
- Focus on a feeder pattern of schools -- have strong results orientation; raise teacher salaries in those schools to attract the best

ATTACHMENT B

ANALYSIS OF SELECTED URBAN EDUCATION INITIATIVES

CROSS-CUTTING THEMES

- **The Community School Concept**--linking schools to networks of health and social services, before-and-after child care, pre-school programs, etc.
- **Early Childhood Education**--ensuring that quality child care opportunities are widely available
- **Fixing Inequitable School Finance Systems**--reducing inter-municipal disparities by increasing state and/or federal funding to urban centers
- **School Construction And Repair**--building on the President's initiative
- **Raising Standards**--ensuring that urban schools meet state and national standards
- **Increasing Parental Involvement**--mobilization of parents
- **School-business Partnerships**--leveraging private resources to aid urban public schools
- **Accountability**--systems to be put in place that makes all school personnel accountable
- **Convening And Mobilizing**--a number of potential forums for airing additional ideas and reaching consensus on the urban education agendas

ANALYSIS OF INDIVIDUAL INITIATIVES

- **COUNCIL OF THE GREAT CITY SCHOOLS (CGCS)**
Michael Casserly, Executive Director

The "Urban Schools Marshall Plan" consists of 5 components: 1) developing standards and accountability-centered strategies, 2) ensuring adequate state financing for urban schools, 3) passing the "American Cities Education Act", 4) supporting and extending the President's "Partnership to Rebuild America's Schools Act", and 5) promoting community mobilization.

- **NATIONAL EDUCATION ASSOCIATION (NEA)**
Robert Chase, President

The NEA **Emergency Commission on Urban Children** consists of educators, public officials, business leaders, clergy and community activists charged with designing a process to confront the "crises of spirit" in urban communities by creating smaller schools and class sizes, setting "higher standards for both academic achievement and student conduct", and finding "more effective ways of meeting children's social, human and health needs to ensure that all students are physically and psychologically ready to achieve in school."

*** DRAFT *** August 7, 1997 *** DRAFT ***

- **NATIONAL URBAN COALITION**

Ramona Edelin, Executive Director

“Say Yes to a Youngster’s Future” was developed to serve populations in U.S. public schools that are under served in the areas of math and science. The Coalition operates in 7 “Family Learning Centers in 4 cities. It has a “family-centered supplemental math, science and technology elementary education program serving low-income, urban children of color and their families. The program, which requires parental involvement through mandatory parent attendance, operates before and after school hours, on Saturdays, and in the summer.

- **THE NATIONAL URBAN LEAGUE**

Hugh Price, Executive Director

“African-American Crusade for Academic Achievement” discusses making quality pre-school education universally available, a “No Excuses” accountability component, in which “everyone is responsible for the holistic development of children”, enhancement of parental involvement, promotion of a positive “peer culture”, staging of national celebrations on September 20, 1997 and in June, 1998 to raise awareness and attract recognition for children (the hope is that the celebrations will become annual events), and the enlistment of African-American leaders and churches in the campaign for improved educational opportunities.

- **Rainbow PUSH Coalition**

Jesse Jackson, President

The Education: National Defense Tranquility Act: Equal Opportunity for Closing the Gap advocates for the rebuilding of school facilities, raising academic standards, improving management and accountability, implementing “mandatory training for teachers in their subject areas” and offering attractive salary/benefit packages to teachers, offering health care and early childhood education programs, providing “multi-lingual” education, increasing parental involvement by mobilizing 2 million parents and 5000 ministers and judges to reclaim our youth, a strong emphasis on character education and ethical standards, the teaching of entrepreneurial skills, and encouragement of the media to stop the stereotyping of children.

- **United States Conference of Mayors**
Norman Rice, President

“Strengthening Public Schools in America’s Cities: An Agenda for Action” wants to increase the availability of jobs for youth, re-examine school expulsion and suspension policies, make schools into neighborhood centers (community schools), sites for health clinics, human services, and police substations, aggressively enforce truancy and curfew laws, reform student promotion policies that permit movement from grade to grade without adequate advances in pupil performance, increase the investment in early childhood education, “reward, not punish, successful efforts to improve education systems” through federal and state funding, improve equity in school finance, enhance the role of mayors in education, reevaluate the role of police officers in school security, and “maintain high academic standards through a system of accountability for all school personnel.

- **EDUCATION FOCUS GROUPS**
Council of the Great City Schools: Michael Casserly, Executive Director
Institute for Educational Leadership: Michael Usdan, Executive Director
U.S. Department of Education: Gerald Tirozzi, Assistant Secretary, OESE; and Ray Cortines, Assistant Secretary for Educational Research and Improvement

During the winter of 1996-1997, the Department of Education, the Council for Great City Schools, and the Institute for Educational Leadership formed a partnership and held a series of five meetings with a cross-section of representatives from urban school administration, school boards, teachers, parents, Federal and State policy-makers, businesses, educational research, higher education, community groups and foundations to discuss the improvement of urban education. Through these deliberations, the meeting participants identified several major priorities for improving urban education and a preliminary national strategy to address these problems. Several timely and important strategies emerged including: raising academic standards, increasing professional development for teachers and instructional leaders, developing positive school environments, improving school governance and accountability, increasing community involvement, and investing in urban schools.

Urban**UCLA Institute for Educational Policy and Innovation**

August 1, 1997

TO: Senator Dianne Feinstein
FROM: Ted Mitchell, Ray Cortines
RE: Education Initiatives (Draft 4)

Basic Principles

Educational policy has been shaped in the last twenty years by a struggle between those who argue for equity in education and those who argue for excellence. As this argument has proceeded, the two poles have grown farther apart, leading many in the education community, in the policy community, and worse, in the public at large, to believe that these two concepts, equity and excellence, are mutually exclusive. We believe that the next generation of educational policy activity, if it is to succeed, must restore the connection between equity and excellence and must argue forcefully that the two are interdependent in critical ways. Most critically, equity means nothing without excellence. If, for example, we provide equitable access to bad schools, we have done worse than nothing; we have ratcheted down our expectations for a whole generation of children and for the society that they will create as adults. This is simply unacceptable. On the opposite side of the coin, excellence means nothing without equity in a democratic society. If we do not create the opportunity for all to excel, we not only violate fundamental principles of our nation, but also waste the potential of huge numbers of citizens who could become our very best scholars, statesmen, and business leaders.

Bringing excellence and equity together again will require principled policy making of the kind you have made your trademark. Fundamentally, we believe that equity and excellence are reconcilable in policy terms only if we focus on two other important principles, standards and accountability. Together, high standards and accountability for results can guarantee that the children of California enjoy an educational system that is at once excellent and equitable. To create this system, we must think, then, of a set of standards and a means of accountability that insure both excellence and equity.

Action Framework

An action framework designed to achieve equity and excellence cannot be simplistic, but it can be simple. We have tried for too long to find a single, 'silver bullet' that will cure the ills of education in California. While none of these has succeeded alone, our efforts have helped us learn how we might, with a systemic focus, create an interlocking set of actions that together can restore California's schools to preeminence in the nation. In its most basic formulation, the logic can be expressed as follows:

To achieve excellence, California's schools, its school children, and the adults who teach and administer schools must be held accountable for results. For California's schools to succeed in this environment nothing is more critical than support for professional development and for policies that promote the creation of appropriate technical, financial, and physical infrastructure.

The three elements of this action framework can be elaborated in greater detail.

Establishing accountability for results: For nearly a century we have held schools accountable for meeting process and input goals, while ignoring outcomes. At the policy level, we have been content to know that schools are spending money in prescribed ways, utilizing curricula that have been approved by state agencies, and employing educators who have met certification requirements. We have not, by contrast, even bothered to look, except in a cursory way, at the results these schools have achieved. This must change. To achieve excellence, we must first hold schools accountable for results at the back end rather than for compliance at the front end. In fact, it is by letting school communities develop programs that are best suited to the needs of their clientele that true excellence can be achieved.

In the same way that we need to hold schools accountable we must hold students and individual educators accountable for results. This does not mean ignoring effort or obstacles, but it does mean attention to real educational outcomes. In fact, it is by understanding impediments to achievement that resources can be brought to bear in ways that help support our push for excellence and equity.

Building professionalism: Allowing schools to seek their own best methods for achieving world class results in student achievement implies great reliance on the

teaching professionals in each school. For too long we have undervalued the men and women who work with our children. In this project of restoring greatness to California's schools, they are our greatest resource, and we must make it possible for them to succeed.

Doing this will require that we provide teacher with the basic infrastructure supports to teach. These include textbooks and curricular material, access to technology, safe classrooms of human scale, and financial resources necessary to maintain world class programs. It will also require that we help teachers develop intellectually and technically over their careers, helping them find time and perspective to grow so that they may help their students grow.

Creating world-class infrastructure: California's schools reflect to a great extent the industrial age in which they were created. Large factory-like facilities seek to mass-produce literate and numerate citizens as if children were widgets and teachers assembly-line workers. We understand, in California better than anywhere else, that this model, if it ever worked, is long outmoded. Effective teaching relies on a seamless match between need and opportunity and smaller, more intimate in which flexibility and responsiveness rule.

Building an education system for the next century, rather than tinkering with the system for the last, requires us to think first of schools and classrooms of intimate size, but infinite scope. It requires us, second, to think of resources available at the classroom or school level to provide opportunities for flexibility. And it requires us, third, to think of access to education that is spread over a longer period of time, so as to make it more of a constant in the lives of children and teachers alike.

Together these three elements, **Establishing accountability for results**, **Building professionalism**, and **Creating world-class infrastructure** create an action framework within which the following specific proposals aim not just to improve the education of California's schoolchildren, but to establish a new beginning for our schools and our society.

Proposal

Rationale

Establish High Standards California must adopt a broad set of performance standards for both schools and students. The California State Department of

This is consistent with the efforts of the Department of Education and with Federal efforts under the Clinton Administration. It

Education will be charged to establish for each grade curriculum standards stipulating basic material to be taught, standards for mastery of that material, and for certifying appropriate means of measuring student performance against these standards. Assessments will be phased these in one grade per year for the next twelve years. Similarly, testing will be phased in one grade per year.

The Department will also be charged with establishing high standards for school performance, including standards for teacher quality, physical condition, technology access, and safety.

End Social Promotion Students will be promoted from grade level to grade level on the basis of achievement, measured by the mastery of essential skills. Students will be tested at the end of each year in the areas of basic skills: reading, mathematics, and writing, using assessments developed by the California Department of Education (above). At each level, students will not proceed to the next grade level until they have demonstrated appropriate mastery of skills; social promotion is expressly forbidden. Each school will be responsible to create a plan for remedial work for those students who fail to achieve mastery.

Testing will be phased in one grade per year, consistent with the Department's schedule for creating the assessments. In the first year of their implementation, tests will be given in the fall, for diagnostic purposes, and again in the

improves upon these efforts by being specific about standards and the means of assessing progress to these standards.

This proposal matches recent proposals made by the AFL's new President Sandy Feldman and by union leaders across the nation. The specific "hurdle" grades are chosen to match the grades at which major diagnostic efforts are already underway and to match, in the case of grade 4, the proposal of the Administration for universal literacy by that age.

spring.

In addition to these annual assessments, we propose that there be three major benchmarks of student progress. At grade four, we propose that all students be tested for mastery of reading and basic arithmetic skills. At grade six, we propose that all students be tested for mastery in mathematical reasoning, reading, and basic writing skills. At grade ten, we propose that all students be tested for mastery of complex mathematical skills, reading, and expository writing.

Spend The Money Where Kids Are All Californians want the bulk of public tax dollars to be spent where they impact students, in schools rather than in district administration. We propose the establishments of ceilings on district administrative expense, in line with district size and consistent with the ability of large districts to achieve economies of scale in their administrative work.

For districts of more than 55,000 pupils, we propose a 5 percent ceiling on district administrative expenses. For districts of 35,000-55,000 pupils, we propose a 7 percent ceiling on district administrative expenses. For districts with fewer than 35,000 pupils, we propose a 9 percent ceiling.

Furthermore, regardless of size, we propose that all state allocations to districts be made as general appropriations rather than targeted line

This is a build upon the 95/5 legislation currently in the Assembly. Like 95/5, this proposal limits the amount of money spent on administration at the district level. The cut-offs are based on an analysis done for this project that showed the size distribution of school districts in California. Using the distribution, we examined the administrative expenditures of these districts against school based expenditures. From this analysis, it looks like the smaller districts do have slightly larger legitimate administrative burdens.

item allocations. Superintendents will develop budgets that reflect the aspirations of the district and of schools within it. Schools, and then Districts will be held accountable for meeting state curriculum standards and for meeting student achievement goals. Schools and Districts that fail to meet either set of standards will first be placed on probation and be asked to develop a specific plan to address its deficiencies. These districts will be assigned a monitor from the State Department of Education who will review and approve the district's budget, personnel decisions, and overall plan. Districts that fail, after a probationary period, to achieve state standards will be put under the control of the State Department of Education, which will then determine the ultimate disposition of the district's educational and financial resources.

Guarantee Small Classes Effective education depends upon close interaction between students and their teachers. To accomplish this, classes must be of reasonable size. Governor Wilson has taken steps to reduce class size in the first years of elementary school, but even these laudable efforts are hampered by a lack of suitable facilities and a lack of trained teachers. In the next ten years, the enrollment in California's public schools is predicted to grow at the rate of 150,000 students per year, exacerbating both space and teacher resource problems.

We propose therefore, that a longer term

This is based in the long research literature on class size, combined with an analysis of the projected demographic growth of the state. Twenty years for a phase in allows for and the creation of new schools, the hiring and training of new teachers. Rapid ramp-up of elementary school class size reduction tries to capture the current momentum for small classes and to emphasize the importance of early mastery of skills. This maps, by the way, onto all that we are learning about brain development from our brain research colleagues.

approach be taken to the issue of class size, specifically that over the next seven years class size in grades k-7 be reduced to a maximum of twenty students, that, class size in grades 8-9 be reduced to a maximum of thirty students, and that class size in grades 10-12 be capped at thirty-five students.

To facilitate the construction of new facilities and the renovation of existing facilities, we propose modifying existing statutes regarding the construction of school facilities to allow for the retrofitting of non-school space for use as primary schools. In addition, we propose creating tax incentives for private developers to build facilities suitable for use as primary schools in housing developments and commercial space.

The impact on facilities will be critical only in elementary school, in the K-7 schools. Our research shows that in grades 8-12, nearly 95% of classrooms are already in compliance with these ceilings.

For K-7 schools, a transition plan will require the creation of new funding to support the construction or renovation of facilities and the recruitment of new teachers. Our estimates indicate that taking the status quo, meeting these new class size ceilings would require 8000 new classrooms and new teachers statewide (after the present k-3 reduction). Using the Department of Finance estimates, this would require one-time expenditures of \$10 billion and ongoing expenditures of another \$500 million.

Looking at enrollment growth, half of which (75000 per year) is estimated to be at the K-7 level, compliance with these ceilings will require the construction of 3500 new classrooms at a cost of \$750 million per year. Most of this expense is already calculated in the Department's estimates.

Clearly, this is not an inexpensive proposition. New funding will be required primarily for construction costs. These may be mitigated by providing incentives for private industry to build schools and lease them back to districts or for districts

to renovate existing non-school facilities for school use.

Create Schools of Human Scale

Research suggests that along with class size, school size is an important determinant of student achievement. We propose that effective immediately, all new school construction be limited in the following ways: elementary schools, 350 students; middle schools, 600 students; and high schools, 800 students. It should be noted that this would allow for larger complexes in which multiple 'houses' or schools within schools operate and for complexes in which combinations of elementary, middle, and high school education takes place as long as the educational community with which students and their teachers identify fits within these guidelines. For existing schools, planning must take place immediately to bring the size of learning communities within these parameters. The California Department of Education estimates that over the next ten years, California will spend \$46 billion renovating its schools and building new schools. We see this as an opportunity to create school communities of more manageable size. The California Department of Education will monitor progress to these goals.

Promote Teacher Professionalism

Teacher professionalism and teacher quality are the key to any educational reform. To make California's schools the nation's best, we simply must have the nation's best teachers.

Based, again, on the research on effective schools, tempered by what we think we know about the financial and demographic realities of the next decades. The proposal makes it possible to carve several "schools" out of one physical facility. This "school within a school" approach has been used to great positive effect in New York City.

Districts and unions have struggled over this forever. We wish we could tell you that this is based in clear research. It isn't. At the same time, we believe that it is a proposal that gives the unions something

We propose that new teachers be offered two alternative 'tracks' upon certification. In track one, teachers will be paid on a nine-month basis and will be eligible for tenure according to current practice. In track two, teachers will be paid on a twelve month basis, and will forego tenure and instead receive three year renewable contracts. All teachers will be subject to recertification every five years. Recertification will be based on peer, principal, and parent observation, the presentation to a panel of peers of a teaching portfolio, and the successful completion of twenty course units in approved courses from accredited and approved colleges and universities. Courses and colleges and universities will be approved by the California Teacher Credentialing Commission. The time during which teachers are on duty and not with children will be spent in professional development activities as determined by the teacher and the principal in concert with district guidelines and district and school plans.

Increase Time at Task There is no doubt that additional time in school will be effective in increasing student

they need desperately (a more professional profile for teachers) while getting tenure dealt with in a positive rather than a negative way. Recertification and alignment of professional development credits with a professional development plan are becoming standard in reforming districts, including the Bay Area and LA Annenberg districts. Outside California, Cincinnati, Dade County, and Columbus have all implemented this kind of review process.

State Department of Education research suggests that 1/2 of the state's teaching force will turn over during the next ten years, either from retirements or resignations. This gives this proposal a chance, in a relatively short time, to change radically the nature of the teaching force.

This proposal has important cost implications. The clearest is that the teachers who choose the recertification track will be paid more money per year (1/3 again as much) and will have consequent increases in retirement benefits. This will be an important set of incentives, and will cost the state and the district. Cost estimates are forthcoming in a separate white paper.

This is based on a midpoint of school time in industrialized nations:

achievement only if the quality of instruction is high. We believe that the proposals above will generate high quality instruction, from which California's schoolchildren will benefit. To increase that benefit, we propose that the school year be raised from 180 to 210 days and that the instructional day be increased by one hour per day.

In addition, we propose that teachers work days, those days when teachers are able to work together as colleagues, develop strategies for individual students and for the school as a whole, be established at 10 days per year. Thus the instructional year will be 190 days per year.

These changes will add one month to the salary of teachers. Estimates of this cost are forthcoming.

Create Real Autonomy

Truly making schools accountable at the back end (for results) implies the freedom for schools to develop their own strategies for achieving results. Indeed, schools should be assisted in their efforts to develop autonomous plans and to differentiate their programs. This differentiation, along with the public display of information regarding the program and its results, will create competition between schools and we expect imitation of best practices.

To unlock this autonomy and to create real choice within the public system, we

Korea: 220
Japan: 220
Israel: 216
Great Britain: 190
Spain: 180
France: 180

These numbers must be taken with some care, as some include teacher workdays (or portions thereof) and others do not.

For an assessment of the importance of teacher work days, see the RAND Corporation Report, TIME FOR REFORM (1992)

Our goal is to increase the diversity of ways in which the schools of California seek to achieve the high student performance goals we propose here while at the same time, adhering to the basic civil rights guidelines that serve to protect the principles of equity.

propose that the current limit on charter schools be lifted and that schools and self defined clusters of schools (for example a k-12 feeder pyramid of schools) be allowed to apply for charters either through their district or directly to the State Department of Education.

We further propose that schools report on an annual basis a set of basic data regarding the nature of its instructional program, student progress toward state standards, teacher characteristics, and other elements in a standard format aligned with national models and norms.

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*** DRAFT *** July 29, 1997 *** DRAFT ***

URBAN EDUCATION

CONCEPT PAPER

We have in this nation at this time a growing crisis, one with social consequences so grave it could alter the moral premises that undergird the individual freedoms and rights protected by the Constitution. The inalienable rights seek to ensure that all Americans have been educated to assume a productive and personally fulfilling life that includes the ability to function as a contributing citizen to our society. This premise assumes that our schools are equipping students for adult lives that reflect this basic assumption.

The imminent danger on the horizon is the mounting evidence that students living in large urban centers characterized by high unemployment rates, violent crimes including rising rates of child abuse, decaying infrastructures, and dysfunctional family structures are very likely to attend schools unable to support the complex learning environments necessary to equip them to live out their lives as productive contributing citizens. "Nowhere are the problems and needs of children as great as in this nation's urban communities, where the lives of so many children are in disarray." (Wang, May 1997)

It is, however, the widespread evidence of academic failure that offers the greatest threat to our nation's ability to sustain a highly educated workforce and citizenry. Students in our urban schools score lower on math achievement tests than other students; 47 percent of our urban youngsters scored below the basic level on the NAEP reading tests. The purposes and goals of an urban education initiative are to address the deep educational needs of urban youngsters and expand their life opportunities.

The momentum behind a focused effort to improve education in urban schools has been building. Over the past year, at least six major education organizations -- the Council of Great City Schools, the National Education Association, the National Urban League, the National Urban Coalition, the Rainbow PUSH Coalition, and the U.S. Conference of Mayors -- have released their plans for improving urban schools. These plans have striking similarities in terms of the strategies they identify for raising student achievement in urban districts. (See attachment.)

The time has come for concerted action to raise the achievement levels of all students in our urban schools. The following concept paper outlines the Administration's proposals currently under consideration to improve urban schools. It then outlines the gaps in our efforts that could be filled through an overall urban education initiative.

Current Initiatives That Support Urban Education

The Clinton Administration has proposed several major initiatives, many of which are currently under consideration in Congress, that would strengthen urban schools. These initiatives should be a central part of an overall urban strategy.

- School Construction: Our FY 99 budget proposal again includes a school construction proposal for a one-time infusion of \$5 billion that will stimulate \$20 billion in school construction and renovation over the next four years. These funds would pay for half of the interest costs on school construction bonds or similar financing mechanisms. Half of the funds available under this program would be targeted to the nation's largest 100 cities. Cities would also be eligible to compete with other districts for the other half of the funds available under this program. Through this program, schools could obtain financing to make emergency repairs, to correct health and safety problems, to make technological upgrades, to improve energy efficiency, to ensure access for individuals with disabilities, and to build new schools needed to accommodate growing enrollments.
- 21st Century Learning Centers: Our FY 98 budget request includes a \$50 million program that would support extended learning time for youth in inner city and rural schools. Grants would be used to establish community learning centers in local public schools that offer stimulating, safe, supervised, and cost-effective after school, weekend or summer havens for children and youth. Recent research shows that a stimulating environment of this type can improve thinking skills and language skills of participating children and youth. These programs would have a focus on offering learning activities.
- Title V Reauthorization Proposal for Professional Development: The professional development programs included in the Administration's higher education reauthorization proposal would greatly benefit urban schools. Our reauthorization proposal includes a program to recruit new teachers for underserved areas. This will greatly help urban school systems which traditionally have difficulty recruiting certified teachers and are often forced to rely on a large pool of uncertified teachers. Our proposal for lighthouse partnerships for professional development could also benefit urban districts. Both programs include provisions to support training for paraprofessional educators to become certified teachers. Since most paraprofessional are in urban districts, this would help urban areas increase their ranks of certified teachers. It may also increase the diversity of the urban teaching pool since a majority of paraprofessionals come from racial and ethnic minority groups.
- America Reads: Reading will play a critical role in improving the education of urban children -- 47% of whom scored below the basic level on the 1994 NAEP. The Administration has proposed legislation for a \$260 million initiative for FY 98 that would support Parents as First Teachers programs and individualized tutoring programs after school, on weekends, and in summers. Tied to this initiative, the Administration is

encouraging colleges and universities to send 100,000 students into their communities as reading tutors. Colleges and universities are being asked to devote half of their new Federal Work-Study money to community service jobs, and the Department is waiving the requirement for local agencies to match the Federal investment. The President's budget also includes a major expansion of Head Start to reach one million pre-school children in 2002 so that they will enter school ready to learn.

- Title I Whole School Reform: The Administration is backing (???) a proposal put forward by Congressman Obey for a whole school reform program totaling \$200 million in FY 98 (\$150 million under Title I, and \$50 million under the Fund for the Improvement of Education). These funds would support \$50,000 competitive grants to as many as 4,000 schools to start-up research-based models of whole school reform. These schools will focus on implementing challenging academic standards, engaging teachers, and strengthening parental and community support. **[Are these only Title I schools?]**
- Reauthorization of the Vocational and Adult Education Acts: The Administration's proposal for vocational education and adult education reauthorizations contain provisions to target resources to communities and populations with the greatest need. Our proposals to target formulas to high poverty areas would benefit urban school districts. Our proposals are designed to improve student academic achievement, school-to-work opportunities, welfare reform, and family literacy.
- Educational Technology: The new E-rate put forward by the FCC as part of the Universal Services provision of the Telecommunications Act provides essential support to urban school districts so they can access Internet services at heavily discounted rates for both wiring schools and connecting to the Internet. Educational technology offers a powerful tool to improve teaching and learning and bring all children into the Information Age. This Administration has made significant investment into expanding access to educational technology through both discounted rates and through grants such as the Technology Literacy Challenge Fund and the Technology Innovation Challenge Grants.
- New American High School Reform Initiative: The Department is expanding its initiative to work with urban school systems and high schools to raise academic achievement and college and career preparation for all students from five to thirty schools this year. We are working with these schools to revamp their curriculum, improve teaching methods, and raise expectations for both students and teachers. They are creating smaller, safer learning environments, and building partnerships with community leaders, businesses, and parents.
- National Research Center on School Leadership: The Department's FY 99 budget request includes funding for a national research center on school leadership which would focus on improving district and school leadership as well as the support systems that must operate in a coherent manner to provide improved teaching and learning.

Filling In the Gaps: Rounding Out the Administration's Efforts to Improve Urban Education

Despite these far-reaching initiatives, some gaps still exist for cities to implement truly comprehensive, sustainable education reform strategies. The Department currently has a \$300 million placeholder in its FY 99 budget request for an urban education initiative. We envision grants to large school systems to focus on key areas that need additional attention such as those outlined below. Urban districts would submit proposals that justify how they would spend their grant funds in one or more of the following areas, based on their unique needs.

[NOTE: Such urban grants could be further targeted or paired with other initiatives to maximize their impact. For example, some offices have suggested focusing on schools that exist within Empowerment Zones, thus a subsection of a larger urban school district. Another suggestion is to include a strong component for interagency collaboration either by focusing on the Empowerment Zones or by pairing the education initiative with other efforts such as the HHS after school child care/extended learning initiative that is currently under consideration or Labor's job training programs.]

points or incentives, but don't limit

1. Improving District and School Management

Urban school districts need assistance to strengthen and improve their management and administrative leadership. They could use support in building their administrative and management capacity and capabilities, and improving personnel practices, budget, accounting, and finance systems, and procurement policies. They should build an accountability system for management and administration of the school system. Districts could be encouraged to partner with the business community to utilize business expertise in improving management systems such as personnel and payroll, budgeting, procurement, food services, facilities planning and maintenance.

2. Strengthening Accountability and Fixing Failing Schools

A key component of an overall plan to raise student achievement in urban schools is that of holding schools accountable for student results and holding the district accountable for turning around those schools that do not meet student needs. Districts are taking increasingly tough measures to improve schools, but need assistance to strengthen their accountability systems and provide rewards for good student performance and interventions or sanctions to address failing schools.

- **Building systems of rigorous and fair accountability:** Urban school districts need support to design and implement effective school performance and information systems, including district and school report cards, in order to hold teachers, schools, and principals accountable for student achievement. Systems would be anchored on challenging academic standards and assessments aligned with those standards, along with high quality, disaggregated data on student and school progress toward achieving tougher standards,

*TA
High stakes
Poor teachers and principals
Turn'd schools*

and other measures such as improved attendance, discipline, safety, and drop-out rates. As schools gear up to implement tough accountability systems, they will need assistance to ensure that their accountability systems are fair and reliable. They should be encouraged to consult with other districts regarding effective indicators of school performance. They will also need to target assistance to low achieving schools to prepare them to participate in such an accountability process.

- **Turning around failing schools:** Urban school districts should develop and implement fair and effective strategies for identifying, assisting, and, if necessary, overhauling, reconstituting, or closing failing or unsafe schools, consistent with State and district accountability efforts. Districts could use grant support to provide technical assistance to failing schools on issues such as intensive professional development and curriculum improvements. They could also intervene in struggling schools, removing ineffective principals, shifting teaching staff, or overhauling instructional programs. If schools are reconstituted or taken over, they will need support to plan and implement effective schoolwide reforms so that reconstitution is successful.
- **Rewarding successful schools:** Urban school districts could develop and implement fair and attractive incentives to acknowledge and reward successful schools based on progress toward challenging academic achievement objectives and other measurable results such as reduced drop-out rates, student and teacher attendance, and improved preparation for college and careers. Incentives could be based on whether **ALL** student groups -- including minority, limited English proficient, disabled and low-income students who tend to come to school at an educational disadvantage and often are the lowest achieving within a school -- are achieving at high levels and staying in school. Reward strategies could include greater school autonomy, financial incentives, and the provision of release time to enable teachers and principals to visit and learn from their peers in other successful schools. Such rewards would increase incentives to improve schools and would build public recognition of and support for well-performing schools.

3. Building Human Capacity to Improve Urban Instruction

As districts engage in raising student achievement through the implementation of challenging standards and assessments and participation in such rigorous measures at the national tests, they will need to invest in ongoing, sustained professional development for teachers and instructional leaders. An urban education grant that includes support for professional development would be powerful for those districts prepared to invest in their teachers and school leaders. It should be targeted initially to the grades k-8, with an emphasis on reading and math so that schools are prepared to meet challenging national standards.

- **Strengthening instructional leadership:** School principals and other instructional leaders are critical for raising student achievement. If meaningful change is going to occur in urban schools, leadership must go beyond the traditional management training of most

principals to the kind of visionary leadership that will impact curriculum and instruction and build capacity throughout the school district. An urban education grant should support State, local, and higher education initiatives that will provide instructional leaders with the knowledge and skills and ongoing professional development experiences to: implement research-based, dynamic models of school change; provide meaningful supervision that focuses on constructive analysis of the instructional climate; guide staff as adult learners; provide opportunities for staff to collaborate and learn from practice during the school day; and use data to support planning for ongoing student achievement.

- **Investing in intensive, ongoing professional development for teachers:** In order to meet the President's goals in reading and mathematics, teachers will need to center their instruction and classroom practices on achieving challenging academic standards. This will require intensive, professional development so that all teachers are equipped with the knowledge and skills to reach diverse learners so that all students reach high standards. Some will need to learn how to implement new instructional approaches and how to utilize such tools as educational technology to strengthen teaching and learning in their classrooms. Districts could use urban education funds to work with their teachers, colleges and universities to together develop programs for pre-service teachers preparation and ongoing professional development to meet these needs.

3. Implementing Whole School, Standards-Based Reform.

Inner city schools are sprinkled with successful classrooms. But truly transforming an entire school by translating challenging academic standards into meaningful changes in classroom practices requires a substantial investment of time and resources for planning, professional development, and developing or acquiring instructional materials and resources.

- **Targeted assistance in implementing schoolwide programs:** [NOTE: if we include the Obey proposal in our current initiatives section, we may not want to include this element in our new section.] Many schools in urban districts are qualified to become schoolwide programs under the new definition in Title I of the Elementary and Secondary Education Act. They could use their Federal funds from elementary and secondary education programs to select a research-based model of whole school reform. Federal resources can be used for developing a plan for whole school change, involving the community in school improvement activities, and carrying out the schoolwide plan. As part of a larger urban initiative, schools should receive concentrated technical assistance in developing their schoolwide plans and addressing implementation issues.
- **Integrating resources to support whole-school reform:** Many urban schools could more effectively bring the full range of Federal education funding together into a coherent strategy. This can be done in elementary and secondary education programs through schoolwide programs. A new initiative should provide further assistance to help schools

incorporate School-to-Work, vocational education, bilingual and special education, and (where applicable) adult education in their standards-based plans, and strengthen the incentives for big city schools to adopt the whole-school reform option in ESEA. Many urban school districts also receive funding from NSF and/or a myriad of foundation projects for school improvement, which may operate separately from Federally funded reform efforts. Districts could be encouraged to analyze the resources flowing into their schools and develop partnership agreements with ED and with community leaders around plans for whole school reform efforts that would benefit all students.

4. Expanding Public School Choice to Improve Student Achievement

Urban districts could use funds to design and implement strategies to create, broaden, or overhaul districts' public school choice options. These public school choice strategies, with a focus on creating smaller, more personalized learning environments, would ensure that all parents could choose the public school their child will attend at any grade level. Choice plans should be integrated with the accountability system and include strategies to inform parents of school performance and services so that they can make informed choices. Federal funds could be used to implement broad public school choice plans that include options such as district wide public school choice, open enrollment policies, cross-district enrollment programs, charter schools, magnet schools, alternative schools, schools-within-schools, expanded choices of advanced classes, and postsecondary options for high school students. Federal funds could be used to further support charter schools, magnet schools or schools-within-schools, and other creative choice options. Funds could also support implementation strategies such as public information and outreach and transportation.

Conclusion

In conclusion, we believe that a significant, targeted investment in urban schools will allow them to address the missing pieces of their overall education reform strategies. City school districts would target their grant funds to the areas that are most pressing within the above categories. Almost a quarter of our nation's children are attending these schools. We cannot afford to linger any longer in addressing these issues.

OTHER SUGGESTIONS

Other Program Offices have made suggestions for additional gaps that could be filled through an urban initiative. We have included them here for your reaction and feedback.

- **The improvement of urban high schools (OVAE)**

The educational mission of big city high schools is collapsing under the weight of poverty, violence, discipline, drug abuse, family, and infrastructure problems. High dropout rates and low attainment put urban youth at a great disadvantage in securing jobs or continuing with their educations. Yet districts have traditionally focused reform efforts on elementary schools. School-wide approaches to reforming high schools are unusual. Successful models are hard to find. Little technical assistance is available to those interested in improving high schools.

Proposal: Focus attention on high schools by asking participating cities to include their high schools in their reforms; providing funding and technical assistance for high school reform, and building off the new American high school and school-to-work activities. Schools should incorporate their funding and strategies for students with limited English proficiency and disabilities. Safe and Drug-Free Schools resources would also be incorporated into a whole-school improvement plan. OVAE's plan for FY 1997 national activities includes the development and expansion of the initiative to 25 urban high schools, helping them assess their needs and design reforms, and with technical assistance, resources, and networking. OVAE also plans to use national programs funds to strengthen existing school reform networks, to which the participating urban schools could be linked. Many elements of the new American high school model, such as adult mentors, community service and real-world experiences, and applied learning, create positive experiences for disadvantaged youth. These efforts would include accountability for student outcomes, to ensure that efforts are resulting in improved student performance.

- **Improving life-long learning opportunities (OVAE)**

For individuals living in urban areas, further education can be key to improving their social and economic opportunities. Adult education and postsecondary vocational-technical education programs open opportunities for citizenship, increased participation in civic life, transition from welfare to work, and effective parenting. Disadvantaged target groups, such as individuals with very low literacy skills, limited-English proficient adults, and adults making the transition from welfare to work are concentrated in cities. Adult basic education and English as a second language classes have long waiting lists in many urban areas. Furthermore, adults in these and other educational programs often lack secure and affordable child care, transportation, counseling and other supportive services that they

need to succeed in their education programs.

Proposal: The expansion of life-long learning opportunities should be part of an urban initiative. The first priority would be expanding the capacity of the adult education programs in cities, including basic education, English as a second language, and family literacy. Second, participating cities should link education programs with community programs to ensure supportive services, such as transportation, child care, parenting classes, drug rehabilitation, family counseling and other social services are available to adult learners. Plans to promote life-long learning would be tied to any EZ/EC plans. Community colleges in particular have been effective in a number of EZ/EC communities as conveners of coordinated services, as well as providers of a broad range of education services. The Department can build off its current effort to work with community colleges in EZ/EC cities to promote colleges' involvement in the urban initiatives.

- **OSERS would like to include provisions to focus on the following gaps:**
- * Least restrictive environment (LRE): Students with disabilities in inner cities are more likely than students in non-inner city schools to be placed in segregated, more restrictive learning environments;
- * Assessment: Urban areas are more likely to be impacted by inadequate assessments for language minority students. We have very little in the way of investments in this area;
- * Retaining qualified personnel: Shortages of qualified personnel (especially related services) are particularly severe in urban areas; the need to attract personnel from minority backgrounds is also an issue; **[Note: this is somewhat addressed in the section on human capacity building and the Title V reauthorization.]**
- * Active parent involvement: Maintaining active parent involvement is more problematic in inner city schools. Special education may be viewed by many inner city parents as a dead-end rather than as the benefit it may be viewed as in non-inner city areas.
- * Secondary school completion: Youth with disabilities in urban schools are less likely than their peers in rural and suburban schools to graduate from high school; **[Note: this could be folded into OVAE's proposal for a high school focus.]**
- * Postsecondary education: Students with disabilities from urban settings experience low levels of enrollment in postsecondary education and have greater difficulty adjusting to postsecondary situations;
- * Unemployment - Inner city youth with disabilities are less likely to be employed than non-inner city youth. Urban school districts have fewer students enrolled in vocational

education compared to rural and suburban areas. We make many investments broadly focused on school-to-work but not with an urban focus.

OTHER CURRENT ADMINISTRATION INITIATIVES:

- * (OSERS) Center on Implementing Inclusive Education for Children with Disabilities in Urban Districts, Particularly Students with Severe Disabilities, as Part of Systemic Education Reform [new grant]
- **Urban Community Service reauthorization proposal:** a small piece of the Higher Education Act reauthorization proposal

ATTACHMENT A

ANALYSIS OF SELECTED URBAN EDUCATION INITIATIVES

CROSS-CUTTING THEMES

- **The Community School Concept**--linking schools to networks of health and social services, before-and-after child care, pre-school programs, etc.
- **Early Childhood Education**--ensuring that quality child care opportunities are widely available
- **Fixing Inequitable School Finance Systems**--reducing inter-municipal disparities by increasing state and/or federal funding to urban centers
- **School Construction And Repair**--building on the President's initiative
- **Raising Standards**--ensuring that urban schools meet state and national standards
- **Increasing Parental Involvement**--mobilization of parents
- **School-business Partnerships**--leveraging private resources to aid urban public schools
- **Accountability**--systems to be put in place that makes all school personnel accountable
- **Convening And Mobilizing**--a number of potential forums for airing additional ideas and reaching consensus on the urban education agendas

ANALYSIS OF INDIVIDUAL INITIATIVES

- **COUNCIL OF THE GREAT CITY SCHOOLS (CGCS)**
Michael Casserly, Executive Director

The "Urban Schools Marshall Plan" consists of 5 components: 1) developing standards and accountability-centered strategies, 2) ensuring adequate state financing for urban schools, 3) passing the "American Cities Education Act", 4) supporting and extending the President's "Partnership to Rebuild America's Schools Act", and 5) promoting community mobilization.

- **NATIONAL EDUCATION ASSOCIATION (NEA)**
Robert Chase, President

The **NEA Emergency Commission on Urban Children** consists of educators, public officials, business leaders, clergy and community activists charged with designing a process to confront the "crises of spirit" in urban communities by creating smaller schools and class sizes, setting "higher standards for both academic achievement and student conduct", and finding "more effective ways of meeting children's social, human and health needs to ensure that all students are physically and psychologically ready to achieve in school."

*** DRAFT *** July 29, 1997 *** DRAFT ***

- **NATIONAL URBAN COALITION**

Ramona Edlin, Executive Director

“Say Yes to a Youngster’s Future” was developed to serve populations in U.S. public schools that are under served in the areas of math and science. The Coalition operates in 7 “Family Learning Centers in 4 cities. It has a “family-centered supplemental math, science and technology elementary education program serving low-income, urban children of color and their families. The program, which requires parental involvement through mandatory parent attendance, operates before and after school hours, on Saturdays, and in the summer.

- **THE NATIONAL URBAN LEAGUE**

Hugh Price, Executive Director

“African-American Crusade for Academic Achievement” discusses making quality pre-school education universally available, a “No Excuses” accountability component, in which “everyone is responsible for the holistic development of children”, enhancement of parental involvement, promotion of a positive “peer culture”, staging of national celebrations on September 20, 1997 and in June, 1998 to raise awareness and attract recognition for children (the hope is that the celebrations will become annual events), and the enlistment of African-American leaders and churches in the campaign for improved educational opportunities.

- **Rainbow PUSH Coalition**

Jesse Jackson, President

The Education: National Defense Tranquility Act: Equal Opportunity for Closing the Gap advocates for the rebuilding of school facilities, raising academic standards, improving management and accountability, implementing “mandatory training for teachers in their subject areas” and offering attractive salary/benefit packages to teachers, offering health care and early childhood education programs, providing “multi-lingual” education, increasing parental involvement by mobilizing 2 million parents and 5000 ministers and judges to reclaim our youth, a strong emphasis on character education and ethical standards, the teaching of entrepreneurial skills, and encouragement of the media to stop the stereotyping of children.

- **United States Conference of Mayors**
Norman Rice, President

“Strengthening Public Schools in America’s Cities: An Agenda for Action” wants to increase the availability of jobs for youth, re-examine school expulsion and suspension policies, make schools into neighborhood centers (community schools), sites for health clinics, human services, and police substations, aggressively enforce truancy and curfew laws, reform student promotion policies that permit movement from grade to grade without adequate advances in pupil performance, increase the investment in early childhood education, “reward, not punish, successful efforts to improve education systems” through federal and state funding, improve equity in school finance, enhance the role of mayors in education, reevaluate the role of police officers in school security, and “maintain high academic standards through a system of accountability for all school personnel.

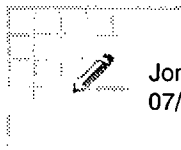
- **EDUCATION FOCUS GROUPS**

Council of the Great City Schools: Michael Casserly, Executive Director

Institute for Educational Leadership: Michael Usdan, Executive Director

U.S. Department of Education: Gerald Tirozzi, Assistant Secretary, OESE; and Ray Cortines, Assistant Secretary for Educational Research and Improvement

During the winter of 1996-1997, the Department of Education, the Council for Great City Schools, and the Institute for Educational Leadership formed a partnership and held a series of five meetings with a cross-section of representatives from urban school administration, school boards, teachers, parents, Federal and State policy-makers, businesses, educational research, higher education, community groups and foundations to discuss the improvement of urban education. Through these deliberations, the meeting participants identified several major priorities for improving urban education and a preliminary national strategy to address these problems. Several timely and important strategies emerged including: raising academic standards, increasing professional development for teachers and instructional leaders, developing positive school environments, improving school governance and accountability, increasing community involvement, and investing in urban schools.



Jonathan H. Schnur @ OVP
07/08/97 02:25:56 AM

Record Type: Record

To: William R. Kincaid/OPD/EOP

cc:

Subject: Re: funds per school 

Bill --

I do have notes at the Department, not here. I think his suggestion was in the range of \$50,000/school each year for 2-3 years. I think he said that was ideal, but it could be done for less. Sorry I can't help more -- will be in Pittsburgh tomorrow, NYC Wednesday, but I will be back in office Thursday a.m. Feel free to page through signal (they say my pager is now working if you need. I also will be carrying a phone this week so I can actually call you from wherever I am too. Hope all is well. Talk with you soon.
-- Jon

"(2) participate in general professional development and school planning activities; and

"(3) collaboratively teach with regular classroom teachers, if such collaborative teaching directly benefits participating children.

"(e) SPECIAL RULES.—

"(1) SIMULTANEOUS SERVICE.—Nothing in this section shall be construed to prohibit a school from serving students served under this section simultaneously with students with similar educational needs, in the same educational settings where appropriate.

"(2) COMPREHENSIVE SERVICES.—If health, nutrition, and other social services are not otherwise available to eligible children in a targeted assistance school and such school, if appropriate, has engaged in a comprehensive needs assessment and established a collaborative partnership with local service providers, and if funds are not reasonably available from other public or private sources to provide services under this part, then a portion of the funds provided under this part may be used as a last resort to provide such services, including—

"(A) the provision of basic medical equipment, such as eyeglasses and hearing aids;

"(B) compensation of a coordinator; and

"(C) professional development necessary to assist teachers, pupil services personnel, other staff, and parents in identifying and meeting the comprehensive needs of eligible children.

"(3) PROFESSIONAL DEVELOPMENT.—Each school receiving funds under this part for any fiscal year shall devote sufficient resources to effectively carry out the professional development activities described in subparagraph (G) of subsection (c)(1) in accordance with section 1119, for such fiscal year, except that a school may enter into a consortium with another school to carry out such activities.

"SEC. 1115A. SCHOOL CHOICE.

"(a) CHOICE PROGRAMS.—A local educational agency may use funds under this part, in combination with State, local, and private funds, to develop and implement choice programs, for children eligible for assistance under this part, which permit parents to select the public school that their children will attend.

"(b) CHOICE PLAN.—A local educational agency that chooses to implement a school choice plan shall first develop a comprehensive plan that includes assurances that—

"(1) all eligible students across grade levels will have equal access to the program;

"(2) the program does not include schools which follow a racially discriminatory policy;

"(3) describe how the school will use resources under this part and from other sources to implement the plan;

"(4) describe how the school will provide individual student assessment results, including an interpretation of such results, to the parents of a child who participates in the assessment required by section 1111(b)(3);

"(5) the plan will be developed with the involvement of the community to be served and individuals who will carry out the plan, including teachers, principals, and other staff, parents, and, if the plan relates to a secondary school, students from the school;

"(6) the plan will be made available to parents and the public;

"(7) the program will not include schools that do not receive funds under this part;

"(8) the program will not use funds under this part to pay for transportation costs;

"(9) both the sending and receiving schools agree to the student transfer; and

"(10) such local educational agency will comply with the other requirements of this part.

"SEC. 1116. ASSESSMENT AND LOCAL EDUCATIONAL AGENCY AND SCHOOL IMPROVEMENT.

"(a) LOCAL REVIEW.—Each local educational agency receiving funds under this part shall—

"(1) use the State assessments described in the State plan;

"(2) use any additional measures or indicators described in the local educational agency's plan to review annually the progress of each school served under this part to determine whether the school is meeting, or making adequate progress as defined in section 1111(b)(2)(A)(i) toward enabling its students to meet the State's student performance standards described in the State plan;

"(3) publicize and disseminate to teachers and other staff, parents, students, and the community, the results of the annual review under paragraph (2) of all schools served under this part in individual school performance profiles that include statistically sound disaggregated results as required by section 1111(b)(3)(I); and

"(4) provide the results of the local annual review to schools so that the schools can continually refine the program of instruction to help all children served under this part in those schools meet the State's student performance standards.

"(b) DESIGNATION OF DISTINGUISHED SCHOOLS.—Each State educational agency and local educational agency receiving funds under this part shall designate distinguished schools in accordance with section 1117.

"(c) SCHOOL IMPROVEMENT.—

"(1) IN GENERAL.—A local educational agency shall identify for school improvement any school served under this part that—

"(A) has been in program improvement under section 1020 of the Elementary and Secondary Education Act of 1965 (as such section was in effect on the day preceding the date of enactment of the Improving America's Schools Act of 1994), for at least two consecutive school years prior to such day;

"(B) has not made adequate progress as defined in the State's plan under section 1111(b)(2)(A)(i) for two consecutive school years, except that—

"(i) this subparagraph shall not apply to a school if almost every student in such school is meeting the State's advanced level of performance; or

"(ii) in the case of a targeted assistance school, such school may be reviewed on the progress of only those students that have been or are served under this part; or

"(C) has failed to meet the criteria established by the State through the State's transitional procedure under section 1111(b)(7)(B) for two consecutive years.

"(2) REQUIREMENT.—(A) Each school identified under paragraph (1) shall—

"(i) in consultation with parents, the local educational agency, and the school support team, develop or revise a school plan in ways that have the greatest likelihood of improving the performance of participating children in meeting the State's student performance standards, which may include reviewing the schools' plan in the context of the opportunity-to-learn standards or strategies developed by such State under the Goals 2000: Educate America Act; and

"(ii) submit the plan or revised plan to the local educational agency for approval.

"(B) Before identifying a school for school improvement under paragraph (1), the local educational agency shall provide the school with an opportunity to review the school-level data, including assessment data, on which such identification is based. If the school believes that such identification for school improvement is in error for statistical or other substantive reasons, such school may provide evidence to the local educational agency to support such belief.

"(C) During the first year immediately following such identification, the school shall implement such school's plan or revised plan.

"(3) PROFESSIONAL DEVELOPMENT.—(A) Each school identified under paragraph (1) shall, as part of the school plan under paragraph (2), improve the skills of its staff by providing effective professional development activities. A school shall demonstrate such school's compliance with this paragraph by—

"(i) devoting to such activities, over two consecutive years, an amount equivalent to at least 10 percent of the funds received by the school under this part during one fiscal year; or

"(ii) otherwise demonstrating that such school is effectively carrying out professional development activities.

"(B) A school may use funds from any source to meet the requirements of this subsection.

"(C) Decisions about how to use the funds made available under this part which the school makes available for professional development shall be made by teachers, principals, and other school staff in that school.

"(4) TECHNICAL ASSISTANCE.—(A) For each school identified under paragraph (1), the local educational agency shall provide

technical or other assistance as the school develops and implements such school's plan or revised plan, such as a joint plan between the local educational agency and school that addresses specific elements of student performance problems and that specifies school and local educational agency responsibilities under the plan, and waivers or modifications of requirements of local educational agency policy or regulation that impede the ability of the school to educate students.

"(B) Such technical assistance may be provided directly by the local educational agency, through mechanisms authorized under section 1117, or with the local educational agency's approval, by an institution of higher education, a private nonprofit organization, an educational service agency, a comprehensive regional assistance center under part A of title XIII, or other entities with experience in helping schools improve achievement.

"(5) CORRECTIVE ACTION.—(A) Except as provided in subparagraph (C), after providing technical assistance pursuant to paragraph (4) and taking other remediation measures, the local educational agency may take corrective action at any time against a school that has been identified under paragraph (1), but, during the third year following identification under paragraph (1), shall take such action against any school that still fails to make adequate progress.

"(B)(i) Corrective actions are those, consistent with State and local law, ~~determined and made public and disseminated by the local educational agency, which may include—~~

"(I) withholding funds;

"(II) interagency collaborative agreements between the school and other public agencies to provide health, counseling, and other social services needed to remove barriers to learning;

"(III) revoking authority for a school to operate a schoolwide program;

"(IV) decreasing decisionmaking authority at the school level;

"(V) making alternative governance arrangements such as the creation of a public charter school;

"(VI) reconstituting the school staff;

"(VII) authorizing students to transfer, including transportation costs, to other public schools served by the local educational agency; and

"(VIII) implementing opportunity-to-learn standards or strategies developed by such State under the Goals 2000: Educate America Act.

"(ii) Notwithstanding clause (i), corrective actions taken pursuant to this part shall not include the actions described in subclauses (I), (III), (IV), (VI), or (VII) of clause (i) until the State has developed assessments that meet the requirements of subparagraph (C) of section 1111(b)(3).

"(C) Prior to implementing any corrective action, the local educational agency may refrain from such corrective action for one additional year to the extent that the failure to make

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how
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progress can be attributed to extenuating circumstances as determined by the local educational agency. *an out*

"(D) A school that is no longer operating its schoolwide program due to a corrective action may not resume operation of such a program until the local educational agency determines that the school has adequately reformed its schoolwide program plan to enable the school to make adequate progress toward meeting the State's challenging student performance standards.

"(6) STATE EDUCATIONAL AGENCY RESPONSIBILITIES.—The State educational agency shall—

"(A) make technical assistance under section 1117 available to the schools farthest from meeting the State's challenging student performance standards, if requested by the school or local educational agency; and

"(B) if such agency determines that a local educational agency failed to carry out the local educational agency's responsibilities under paragraphs (4) and (5), take such corrective actions as the State educational agency deems appropriate and which are in compliance with State law. *an out*

"(7) SPECIAL RULE.—Schools that, for at least two of the three years following identification under paragraph (1), make adequate progress toward meeting the State's proficient and advanced levels of performance shall no longer need to be identified for school improvement.

"(d) STATE REVIEW AND LOCAL EDUCATIONAL AGENCY IMPROVEMENT.—

"(1) IN GENERAL.—A State educational agency shall—

"(A) annually review the progress of each local educational agency receiving funds under this part to determine whether schools receiving assistance under this part are making adequate progress as defined in section 1111(b)(2)(A)(ii) toward meeting the State's student performance standards; and

"(B) publicize and disseminate to local educational agencies, teachers and other staff, parents, students, and the community the results of the State review, including statistically sound disaggregated results, as required by section 1111(b)(3)(I).

"(2) REWARDS.—In the case of a local educational agency that for three consecutive years has met or exceeded the State's definition of adequate progress as defined in section 1111(b)(2)(A)(ii), the State may make institutional and individual rewards of the kinds described for individual schools in paragraph (2) of section 1117(c).

"(3) IDENTIFICATION.—(A) A State educational agency shall identify for improvement any local educational agency that—

"(i) for two consecutive years, is not making adequate progress as defined in section 1111(b)(2)(A)(ii) in schools served under this part toward meeting the State's student performance standards, except that schools served by the local educational agency that are operating targeted assistance programs may be reviewed on the basis of the progress of only those students served under this part; or

"(ii) has failed to meet the criteria established by State through such State's transitional procedure under section 1111(b)(7)(B) for two consecutive years.

"(B) Before identifying a local educational agency for improvement under paragraph (1), the State educational agency shall provide the local educational agency with an opportunity to review the school-level data, including assessment data, on which such identification is based. If the local educational agency believes that such identification for improvement is in error due to statistical or other substantive reasons, such local educational agency may provide evidence to the State educational agency to support such belief.

"(4) LOCAL EDUCATIONAL AGENCY REVISIONS.—(A) Each local educational agency identified under paragraph (3) shall, in consultation with schools, parents, and educational experts, revise its local educational agency plan under section 1112 in ways that have the greatest likelihood of improving the performance of schools served by the local educational agency under this part in meeting the State's student performance standards.

"(B) Such revision shall include determining why the local educational agency's plan failed to bring about increased achievement, and may include reviewing the local educational agency's plan in the context of the opportunity-to-learn standards or strategies developed by such State under the Goals 2000: Educate America Act.

"(5) STATE EDUCATIONAL AGENCY RESPONSIBILITY.—(A) For each local educational agency identified under paragraph (3), the State educational agency shall—

"(i) provide technical or other assistance, if requested, as authorized under section 1117, to better enable the local educational agency to—

"(I) develop and implement the local educational agency's revised plan; and

"(II) work with schools needing improvement; and

"(ii) make available to the local educational agencies farthest from meeting the State's standards, if requested, assistance under section 1117.

"(B) Technical or other assistance may be provided by the State educational agency directly, or by an institution of higher education, a private nonprofit organization, an educational service agency or other local consortium, a technical assistance center, or other entities with experience in assisting local educational agencies improve achievement, and may include—

"(i) interagency collaborative agreements between the local educational agency and other public agencies to provide health, pupil services, and other social services needed to remove barriers to learning; and

"(ii) waivers or modification of requirements of State law or regulation (in States in which such waivers are permitted) that impede the ability of a local educational agency to educate students.

"(6) CORRECTIVE ACTION.—(A) Except as provided in subparagraph (C), after providing technical assistance pursuant to paragraph (5) and taking other remediation measures, the State

educational agency may take corrective action at any time against a local educational agency that has been identified under paragraph (3), ~~but, during the fourth year following identification under paragraph (3), shall take such action against any local educational agency that still fails to make adequate progress.~~

"(B)(i) Corrective actions are those actions, consistent with State law, determined and made public and disseminated by the State educational agency, which may include—

"(I) the withholding of funds;

"(II) reconstitution of school district personnel;

"(III) removal of particular schools from the jurisdiction of the local educational agency and establishment of alternative arrangements for public governance and supervision of such schools;

"(IV) implementation of the opportunity-to-learn standards or strategies developed by such State under the Goals 2000: Educate America Act;

"(V) appointment by the State educational agency of a receiver or trustee to administer the affairs of the local educational agency in place of the superintendent and school board;

"(VI) the abolition or restructuring of the local educational agency;

"(VII) the authorizing of students to transfer from a school operated by one local educational agency to a school operated by another local educational agency; and

"(VIII) a joint plan between the State and the local educational agency that addresses specific elements of student performance problems and that specifies State and local responsibilities under the plan.

an aut "(ii) Notwithstanding clause (i), corrective actions taken pursuant to this part shall not include the actions described in subclauses (I), (II), and (III) of clause (i) until the State has developed assessments that meet the requirements of paragraph (3)(C) of section 1111(b).

"(C) Prior to implementing any corrective action, the State educational agency shall provide due process and a hearing (if State law provides for such due process and a hearing) to any local educational agency identified under paragraph (3) and may refrain from such corrective action for one year after the four-year period described in subparagraph (A) to the extent that the failure to make progress can be attributed to such extenuating circumstances as determined by the State educational agency.

"(7) SPECIAL RULE.—Local educational agencies that for at least two of the three years following identification under paragraph (3) make adequate progress toward meeting the State's standards no longer need to be identified for local educational agency improvement.

an aut "(e) CONSTRUCTION.—Nothing in this section shall be construed to alter or otherwise affect the rights, remedies, and procedures afforded school or school district employees under Federal, State, or local laws (including applicable regulations or court orders) or

under the terms of collective bargaining agreements, memoranda of understanding, or other agreements between such employees and their employers.

"SEC. 1117. STATE ASSISTANCE FOR SCHOOL SUPPORT AND IMPROVEMENT.

"(a) SYSTEM FOR SUPPORT.—

"(1) STATE SUPPORT.—Each State educational agency shall establish a statewide system of intensive and sustained support and improvement for schools receiving funds under this part, including schoolwide programs and schools in need of program improvement, in order to increase the opportunity for all students in such schools to meet the State's content standards and student performance standards.

"(2) MEETING REQUIREMENTS.—Funds reserved under section 1003(a) or appropriated under section 1002(f) shall be used to meet the requirements of this section. In addition to such funds a State educational agency may use State administrative funds reserved under section 1603(c) to meet such requirements.

"(b) REGIONAL CENTERS.—Such a statewide system shall work with and receive support and assistance from the comprehensive regional technical assistance centers under part A of title XIII and the educational regional laboratories under section 941(h) of the Educational Research, Development, Dissemination, and Improvement Act of 1994.

"(c) PROVISIONS.—The system shall include at a minimum, the following:

"(1) SCHOOL SUPPORT TEAMS.—

"(A) Each State educational agency, in consultation with local educational agencies and schools, shall establish a system of school support teams to provide information and assistance to schoolwide programs and to assist such programs in providing an opportunity to all students to meet the State's student performance standards.

"(B) If funds are sufficient, school support teams shall provide information and assistance to—

"(i) schools—

"(I) in which the number of students in poverty is equal to or greater than 75 percent of the total number of students enrolled in such school; and

"(II) identified as in need of improvement under section 1116(c)(1); and

"(ii) other schools in need of improvement.

"(C) Each such team shall be composed of persons, including teachers, pupil services personnel, representatives of organizations knowledgeable about successful schoolwide projects or comprehensive school reform (especially distinguished educators described in paragraph (3)), and other persons who are knowledgeable about research and practice on teaching and learning, particularly about strategies for improving the educational opportunities for low achieving students (including alternative and applied learning), such as representatives of institutions of higher education, regional educational laboratories or research centers, and outside consultant groups.

"(D) A school support team shall work cooperatively with each school and make recommendations as the school develops the school's schoolwide program plan or school improvement plan, review each plan, and make recommendations to the school and the local educational agency.

"(E) During the operation of the schoolwide program or during school improvement activities, a school support team shall—

"(i) periodically review the progress of the school in enabling children in the school to meet the State's student performance standards under this part;

"(ii) identify problems in the design and operation of the instructional program; and

"(iii) make recommendations for improvement to the school and the local educational agency.

"(2) DISTINGUISHED SCHOOLS.—

"(A) Each State shall designate as a distinguished school any school served under this part which, for three consecutive years, has exceeded the State's definition of adequate progress as defined in section 1111(b)(2)(A)(i), and, any school in which—

"(i) virtually all students have met the State's advanced level of student performance; and

"(ii) equity in participation and achievement of students by sex has been achieved or significantly improved.

"(B) Schools designated under this paragraph may serve as models and provide support to other schools, especially schoolwide programs and schools in school improvement, to assist such schools in meeting the State's student performance standards.

"(C) States shall use funds reserved under section 1003(a) and funds made available under section 1002(f) to allow schools identified under this paragraph to carry out the activities described in subparagraph (B) and may use such funds to provide awards to such schools to further such school's education programs under this part, provide additional incentives for continued success, and reward individuals or groups in the school for exemplary performance.

"(D) A local educational agency may also recognize the success of a distinguished school by providing additional institutional and individual rewards, such as greater decisionmaking authority at the school building level, increased access to resources or supplemental services such as summer programs that may be used to sustain or increase success, additional professional development opportunities, opportunities to participate in special projects, and individual financial bonuses.

"(3) DISTINGUISHED EDUCATORS.—

"(A) In order to provide assistance to schools and local educational agencies identified as needing improvement and schools participating in schoolwide programs, each State, in consultation with local educational agencies and

using funds reserved under section 1003(a) and funds made available under section 1002(f), shall establish a corps of distinguished educators.

"(B) When possible, distinguished educators shall be chosen from schools served under this part that have been especially successful in enabling children to meet or make outstanding progress toward meeting the State's student performance standards, such as the schools described in paragraph (2).

"(C) Distinguished educators shall provide, as part of the statewide system, intensive and sustained assistance to the schools and local educational agencies farthest from meeting the State's student performance standards and to schoolwide programs as such programs develop and implement their plans, including participation in the support teams described in paragraph (1).

"(d) IMPLEMENTATION.—In order to implement this section funds reserved under section 1003(a) and funds made available under section 1002(f) may be used by a State for release time for teachers and administrators, travel, training, and other related costs.

"(e) ALTERNATIVES.—The State may devise additional approaches to providing the assistance described in paragraphs (1) and (3) of subsection (c), such as providing assistance through institutions of higher education and educational service agencies or other local consortia, and the State may seek approval from the Secretary to use funds reserved under section 1003 and funds made available under section 1002(f) for such approaches as part of the State plan.

"SEC. 1118. PARENTAL INVOLVEMENT.

"(a) LOCAL EDUCATIONAL AGENCY POLICY.—

"(1) IN GENERAL.—A local educational agency may receive funds under this part only if such agency implements programs, activities, and procedures for the involvement of parents in programs assisted under this part consistent with the provisions of this section. Such activities shall be planned and implemented with meaningful consultation with parents of participating children.

"(2) WRITTEN POLICY.—Each local educational agency that receives funds under this part shall develop jointly with, agree upon with, and distribute to, parents of participating children a written parent involvement policy that is incorporated into the local educational agency's plan developed under section 1112, establishes the expectations for parent involvement, and describes how the local educational agency will—

"(A) involve parents in the joint development of the plan under section 1112, and the process of school review and improvement under section 1116;

"(B) provide the coordination, technical assistance, and other support necessary to assist participating schools in planning and implementing effective parent involvement;

"(C) build the schools' and parents' capacity for strong parent involvement as described in subsection (e);

"(i) this subparagraph shall not apply to a school if almost every student in such school is meeting the State's advanced level of performance; or

"(ii) in the case of a targeted assistance school, such school may be reviewed on the progress of only those students that have been or are served under this part; or

"(C) has failed to meet the criteria established by the State through the State's transitional procedure under section 1111(b)(7)(B) for two consecutive years.

"(2) REQUIREMENT.—(A) Each school identified under paragraph (1) shall—

"(i) in consultation with parents, the local educational agency, and the school support team, develop or revise a school plan in ways that have the greatest likelihood of improving the performance of participating children in meeting the State's student performance standards, which may include reviewing the schools' plan in the context of the opportunity-to-learn standards or strategies developed by such State under the Goals 2000: Educate America Act; and

"(ii) submit the plan or revised plan to the local educational agency for approval.

"(B) Before identifying a school for school improvement under paragraph (1), the local educational agency shall provide the school with an opportunity to review the school-level data, including assessment data, on which such identification is based. If the school believes that such identification for school improvement is in error for statistical or other substantive reasons, such school may provide evidence to the local educational agency to support such belief.

"(C) During the first year immediately following such identification, the school shall implement such school's plan or revised plan.

"(3) PROFESSIONAL DEVELOPMENT.—(A) Each school identified under paragraph (1) shall, as part of the school plan under paragraph (2), improve the skills of its staff by providing effective professional development activities. A school shall demonstrate such school's compliance with this paragraph by—

"(i) devoting to such activities, over two consecutive years, an amount equivalent to at least 10 percent of the funds received by the school under this part during one fiscal year; or

"(ii) otherwise demonstrating that such school is effectively carrying out professional development activities.

"(B) A school may use funds from any source to meet the requirements of this subsection.

"(C) Decisions about how to use the funds made available under this part which the school makes available for professional development shall be made by teachers, principals, and other school staff in that school.

"(4) TECHNICAL ASSISTANCE.—(A) For each school identified under paragraph (1), the local educational agency shall provide

technical or other assistance as the school determines pursuant to the school's plan or revised plan, such as a joint plan between the local educational agency and school that addresses specific elements of student performance problems and that specifies school and local educational agency responsibilities under the plan, and waivers or modifications of requirements of local educational agency policy or regulation that impede the ability of the school to educate students.

"(B) Such technical assistance may be provided directly by the local educational agency, through mechanisms authorized under section 1117, or with the local educational agency's approval, by an institution of higher education, a private nonprofit organization, an educational service agency, a comprehensive regional assistance center under part A of title XIII, or other entities with experience in helping schools improve achievement.

"(5) CORRECTIVE ACTION.—(A) Except as provided in subparagraph (C), after providing technical assistance pursuant to paragraph (4) and taking other remediation measures, the local educational agency may take corrective action at any time against a school that has been identified under paragraph (1), but, during the third year following identification under paragraph (1), shall take such action against any school that still fails to make adequate progress.

"(B)(i) Corrective actions are those, consistent with State and local law, determined and made public and disseminated by the local educational agency, which may include—

"(I) withholding funds;

"(II) interagency collaborative agreements between the school and other public agencies to provide health, counseling, and other social services needed to remove barriers to learning;

"(III) revoking authority for a school to operate a schoolwide program;

"(IV) decreasing decisionmaking authority at the school level;

"(V) making alternative governance arrangements such as the creation of a public charter school;

"(VI) reconstituting the school staff;

"(VII) authorizing students to transfer, including transportation costs, to other public schools served by the local educational agency; and

"(VIII) implementing opportunity-to-learn standards or strategies developed by such State under the Goals 2000: Educate America Act.

"(ii) Notwithstanding clause (i), corrective actions taken pursuant to this part shall not include the actions described in subclauses (I), (III), (IV), (VI), or (VII) of clause (i) until the State has developed assessments that meet the requirements of subparagraph (C) of section 1111(b)(3).

"(C) Prior to implementing any corrective action, the local educational agency may refrain from such corrective action for one additional year to the extent that the failure to make

FAX TRANSMISSION
U.S. DEPARTMENT OF EDUCATION

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WASHINGTON, DC 20202
202-401-3414
FAX: 202-401-0596

To: Bill Kincaid & Mike Cohen

Date: 7/8/97

Fax #:

Pages: 5, including this cover sheet.

From: Terry K. Peterson/Lidice Rivas

Subject: Fixing Failing Schools:

Attached find materials you may find useful
regarding "fixing failing schools".

The Secretary mentioned the subject of the '97 State
of Education in Georgia. - Gary

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97 State of Education

First Order of Business: Fix Failing Schools

My next point is that we cannot and must not tolerate failing schools. To meet the new expectations of the American people, we must confront the all-too-common problem of schools that are low-achieving and even dangerous. In America today, there are schools that should not be called schools at all. These schools have done just about everything they could to kill the sense of wonder in their students. And then we wonder why truancy increases and young people drop out.

Our willingness to abide these schools goes to the heart of my concern about low expectations. Too often, we fall into the trap of thinking that the children who are stuck in failing schools are the problem. We accept the easy way out, the false assumption that they cannot learn because they are the wrong color, from the wrong side of the tracks, or because they speak the wrong language.

Yet, we all know from first-hand experience that there are good public schools, good parochial schools and private schools in every inner city in this country that are islands of excellence. Dick Elmore, a Harvard researcher in the field of education, has often made this point to me -- in every city that he has visited, he has found three of the best schools in the country and three schools that are just about the sorriest.

I think Dick has it about right and that is what troubles me. We need to stop making excuses and get on with the business of fixing our schools. If a school is bad and can't be changed, reconstitute it or close it down. If a principal is slow to get the message, find strength in a new leader. If teachers are burned out, counsel them to improve or leave the profession. If laws need to be changed, get on with it.

This is not an impossible task. The efforts of Rick Mills and Rudy Crew in New York, Paul Vallas in Chicago, Gerry House in Memphis, Bill Rojas in San Francisco are all examples of putting aside the "business as usual" attitude.

Now, fundamental change is hard. Some of you may read the cartoon Dilbert Dilbert is sort of a befuddled technocrat of the 1990's. My wife Tunky and I were visiting the zoo one day when we saw a teenager with a Dilbert T-shirt that read: "Change is good -- you go first."

Well, those of us who believe in excellence for all children need to take the risk of going first. When people tell me that public schools can't excel, I tell them that they haven't worked hard enough to get the job done.

I also tell them not to be fooled by those who want to use public tax dollars for vouchers to help a few students get out of a troubled school. If a boat is sinking because of a hole, you fix the hole right away. You don't let it keep sinking and then throw out a lifeline so that a few can survive.

The strength of our diverse democracy is the direct result of our belief in a quality public education for all. This is why I will not yield to those who want to abandon public schools. We

need to build up public education, not tear it down.

Do we need many more models of how we can fix troubled schools? Yes, of course we do and fortunately, help is readily available. Dedicated educators like James Comer, Henry Levin, E.D. Hirsch, Deborah Maier, Ted Sizer, Marc Tucker and Gene Bottoms are doing the hard work of creating new models of excellence. The models are each unique in their own way. But they all have one common denominator -- they all set high standards.

The New American Schools Development Corporation is another powerful example of how change can take place. It has developed seven different, well-conceived models of how to fix a failing school. Local parents and school leaders choose the right model that fits their community. That's public school choice at its best. A community may want to choose its own approach to fixing a failing school -- or choose any of these models of excellence -- or start a charter school.

But make the effort, that is the point. Superintendent Ben Canada here in Atlanta is making that effort right now. He is reconstituting low-achieving schools and starting them on the road to excellence -- the A.T. Walden Middle School is one of them.

And here I want to stress an important factor. There is federal funding available through our Title I program, Goals 2000, and our new Charter School program that can be used to fix a failing school or launch a new one. There are over 100 schools now working with Robert Slavin and the New American Schools Development Corporation that are using federal funds to achieve excellence. I urge school officials to follow the example of these schools. Don't use the lack of funding as an excuse to allow failure to continue.

FIX OR CLOSE DOWN TROUBLED SCHOOLS AND REOPEN THEM AS NEW AMERICAN SCHOOLS OR CHARTER SCHOOLS

States, school districts, and communities should intervene quickly in schools that are not providing an adequate education for their students or in schools that are unsafe. In addition, a number of states and districts are providing parents with the opportunity to choose their public school. Through their own restructuring plans, local districts, communities, or states may totally revamp a school. Some states and school districts take advantage of new opportunities to overhaul a failing school by turning it into a New American School or a charter school. Using the nonprofit New American Schools, parents and teachers may choose from seven successful approaches to organize their school. New American Schools design teams bring the choice of school to the neighborhood. Charter schools are public schools that allow teachers, parents, and their principal to start over--focusing on high standards and community involvement without as many regulations binding them.

If your school needs major upgrading, what actions are needed? Use the following checklist to make an assessment.

- Yes ☐ No ☐ Explore the seven New American School designs to see if they would meet your local needs for upgrading or overhauling your school. Invite the school design teams to show you their approaches to better education or go visit their models.
- Yes ☐ No ☐ Explore other promising options for totally redesigning your schools.
- Yes ☐ No ☐ Provide parents the opportunity to choose among public schools.
- Yes ☐ No ☐ Learn about legal opportunities in your state and/or district for converting your school into a charter school.
- Yes ☐ No ☐ Invite successful charter school developers to share with you how they got organized and started.
- Yes ☐ No ☐ Consider making a more personalized education setting in your school by creating smaller units --"family units," several charter schools, schools within a school, career academies.
- Yes ☐ No ☐ Learn about options for reconstituting your school, allowing your school to start over.
- Yes ☐ No ☐ Other actions needed: _____

U.S. DEPARTMENT OF EDUCATION RESOURCES

Schools and communities can use Goals 2000 or Title I funds to redesign schools, bring in New American Schools design teams, or undertake other strategies to help move a school forward or turn around a troubled situation. The President is also proposing to dramatically increase Federal support for charter schools by nearly doubling funding for the program, from \$51 million in FY 1997 to \$100 million in FY 1998. These funds would be available to support planning and start-up costs for an estimated 1,100 charter schools in FY 1998, and the President's goal is to stimulate the creation of 3,000 charter schools by 2002. The U.S. Department of Education will also support regional meetings, guidebooks, summer institutes, and a Web site in order to help local teams of parents, teachers, and other educators develop successful charter schools. Call 1-800-USA-LEARN for more information.

SOME SOURCES OF ASSISTANCE AND INFORMATION:

Design teams for the New American Schools Include: ATLAS Communities combining the work of Ted Sizer, James Comer, Howard Gardner, and the Education Development Center; Audrey Cohen College; Co-NECT Schools using technology; Expeditionary Learning Outward Bound; Modern Red Schoolhouse designed by the Hudson Institute; the National Alliance for Restructuring Education; and Roots and Wings that extends Bob Stavins' Success For All model.

New American Schools Corporation
1000 Wilson Boulevard, Suite 2710
Arlington, VA 22209
703-908-9500

Center for School Change
Humphrey Institute, University of Minnesota
301 19th Avenue South
Minneapolis, MN 55455
612-626-1834

RPP International
2200 Powell Street, Suite 250
Emeryville, CA 94608
510-450-2550, 510-843-8574
E-mail: Rppintl@aol.com

Reading Recovery Council of North America
Ohio State University
29 West Woodruff
300 Ramseyer Hall
Columbus, OH
614-292-4260

Accelerated Schools
Henry Levin
Professor of Education and Economics
Stanford University
Menlo Park, CA
415-723-0840

WHO'S DOING IT?

New American Schools. Hansberry Elementary School in the Bronx, New York had so many problems that the school was shut down by the Board of Education. When it re-opened, this school, where virtually all students qualify for free or reduced-price lunches, adopted the Modern Red Schoolhouse model, one of the seven tested models of New American Schools. The percentage of students who have passed New York State's essential skills test has risen from 22 to 50 percent in reading, and from 47 to 82 percent in math from 1993 to 1995.

Charter schools. Created and managed by groups of parents, teachers, community groups and others, public charter schools can be tailored to meet the needs of a local community. These schools--now permitted in 23 states--are public schools freed from most laws and regulations in exchange for accountability for better performance and results. Charter schools are non-sectarian, may not charge tuition, and should be open to all students. Parents and teachers also have additional options for tailoring educational opportunities for children, including public school choice, magnet schools, schools-within-schools, and redesigning and improving individual public schools.

Reconstitution. San Francisco is an example of a district with authority to take over individual schools. Under the district's Comprehensive School Improvement Plan, the district places low-performing schools on a one-year probationary period. If the school doesn't improve, the school is reconstituted. All staff at the school are relocated to other schools but may reapply for jobs at their school. The board hires a new principal, who then hires new teaching, janitorial, and cafeteria staff. Five states have policies that permit takeover of failing schools, based on low performance. These states include: Michigan, Mississippi, New Jersey, Oklahoma, and Texas. Ohio--based on a court ruling--has also permitted state takeover of districts and schools.

OPTIONS FOR AN URBAN INITIATIVE ON FIXING FAILING SCHOOLS

ROUGH DRAFT July 6, 1997

Background:

While many urban districts are undertaking significant standards based reform efforts, many individual schools remain stubbornly unresponsive to change, with chronically low test scores, poor attendance, and unsafe conditions. These schools shortchange their students, anger parents, demoralize staff, and contribute to debilitating public skepticism on the potential to reform urban public schools. Several districts across the U.S, including Chicago and San Francisco, as well as some states, such as Maryland, have moved aggressively to intervene in persistently failing schools, beginning first with a period of probationary status, and, if the school does not show improvement, then reconstituting the school with new principal leadership, new teachers, or both, as well as a strong instructional program. In schools that have not responded to more conventional strategies for turning schools around, reconstitution provides a promising avenue for helping students, parents, and schools wipe the slate clean and make a fresh start with new leadership and energized teachers and a clear mission for improving teaching and learning.

Both Federal and non-Federal programs and resources should provide support for districts to use decisive forms of intervention, such as reconstitution, when other approaches have failed. The reauthorized Title I, the largest federal K-12 program, already contemplates reconstitution of school staff as a remedy for persistently failing schools. However, Title I places tough restrictions on the conditions under which such intervention may be used for purposes of Title I accountability. Perhaps most significantly, under ESEA § 1116(c)(5)(B)(ii), reconstitution and certain other remedies may only be used to satisfy Title I once a state has developed final assessments under the program -- which is presently not required to occur until school year 2001-2002. Such provisions encourage districts to delay potentially controversial, but necessary interventions.

Aside from long-term changes that should be considered for Title I, other, more focused Federal resources should be used to encourage and support districts that are willing to take on failing schools in an aggressive manner, such as through reconstitution. A new competitive grant program should be considered to provide assistance to districts that have decided to close down and reopen failing schools, with funds helping jump start school-level efforts to prepare compelling school improvement plans, to stay open later, and to give new teams of principals and teachers the extra training they need to carry out and sustain a vision for reform. Additional assistance can come from federal programs such as the Public Charter Schools program, for schools that close and reopen as schools with greater flexibility combined with a strict focus on accountability for results.

Purpose:

A new initiative on fixing failing schools would provide incentives, technical assistance, and resources to encourage districts to dramatically accelerate and intensify their efforts to intervene with failing public schools, particularly in low-income urban areas. Such an effort would

provide support for many more districts to reconstitute or take similar dramatic actions for schools that have failed their students educationally and that don't respond to more conventional school improvement strategies.

Potential elements:

Establish a New Grant Program or Priority Within Existing Program That Provides Incentives and Support for Districts to Intervene Aggressively in Failing Schools

- Discretionary grant program open to urban and rural districts with high concentrations of poverty.
- Districts could seek up to [\$50,000 per school], for a maximum of [5% of its schools per year], to close down and reopen with new leadership and faculty those schools that persistently fail to meet acceptable standards for student achievement, attendance and safety. Schools could be reopened as public charter schools.
- 95% of the funds must be spent at the school level; the remainder can be retained at the district level for technical assistance activities.
- Districts receiving funds must commit, for each school assisted, to:
 - Develop a clear school improvement plan that shows how all available resources, including other federal funds, will be used to help students reach high standards. The plan may provide for commingling of funds, if necessary.
 - Upgrade the physical appearance of the school.
 - Extend learning time and provide safe environments for students by keeping the school open after-school, on weekends, or during the summer.
 - Work with partners using recognized, research-based, effective whole school improvement models.
 - Provide intensive professional development for all members of the new instructional team prior to the schools' reopening and continuing for the first two years following reconstitution.
- Priority for funding would be given to those schools that are being reopened as schools within schools or public charter schools, to encourage more personalized learning environments and accountability for student achievement.
- Could potentially create such a program under existing authority in ESEA § 1502(a),

Demonstrations of Innovative Practices.

Legislative Changes to Existing Federal Programs to Encourage Aggressive Intervention

- *Title I School Improvement Provisions*
 - Compress intervention time-frame to require more rapid intervention in the most dysfunctional schools.
 - Substantially reduce restrictions on reconstitution, charter schools, and student transfer remedies.
 - Narrow list or otherwise make set of acceptable interventions more directive/more focused on reconstitution and related remedies.
- *Title I Funding Provisions*
 - Allow brief relaxation of per-pupil allocation provisions to give an extra boost to schools in early stages of reconstitution for intensive summer and after school professional development.
 - Authorize SEA to retain additional funds to use in working with failing schools where local district has failed to aggressively intervene.
- *Charter Schools Program*
 - Create priority or bonus pool within Public Charter Schools program for states that pledge to devote [35%] of their charter schools grants to low-performing, high-poverty urban or rural schools that have been closed and are reopening as public charter schools.
- *Community Schools Program*
 - Create priority within Community Schools program to promote creation of community schools from high-poverty, low-performing schools that are being reconstituted.
- *Technical Assistance Programs*
 - Place a statutory priority for ED's technical assistance providers to aid districts and schools engaged in reconstitution efforts.

Guide on School Reconstitution

Working alone, or together with CPRE or other outside partners, the Department of Education could assemble a practical guide for school districts on promising strategies for fixing failing schools, including school reconstitution. The guide could potentially include:

- *Summary of research and key principles for intervention* , including a focus on high standards, clear and fair accountability, a strong vision of school improvement, adequate resources for teacher and administrator professional development, collaborating with experienced and effective reform partners, effective communication with teachers and administrators, building parental and community support, and appropriate timing.
- *Strategies for reconstitution* and similar interventions in persistently failing schools, including reassigning individual teachers who refuse to actively participate in a school's research- and standards-based schoolwide reform effort; dismissing and then rebuilding leadership and teacher teams from the ground up; and closing schools and reopening them as public charter schools or schools-within-schools.
- *Examples or case studies* of recent intervention efforts, along with analysis of lessons learned.
- *A description of federal financial and technical resources* available to assist intervention efforts, including Title I, Eisenhower, Goals 2000, Charter Schools, and other funds, as well as regional education laboratories and comprehensive centers, including contact information.
- *A description of non-federal school reform networks and resources* concerned with improving failing schools, including contact information.

Establish a Partnership on Fixing Failing Schools

Establish a new partnership including New American Schools Development Corporation, reform networks like the Coalition for Essential Schools, and other partners willing to make themselves available to help districts fix failing schools. The new partnership could also include teacher unions. Each partner will commit to using their reform model and working with a minimum number of schools across the U.S. Schools could use resources made available through the possible new grant program in order to modify and implement appropriate reform models.

Establish a Network on Fixing Failing Schools

Establish a network of school districts and state agencies (including Chicago, San Francisco, Maryland and others) having experience with reconstitution and similar interventions to help each

other and consult with other districts.

Long-Term Study or Studies

Contract for a long-term study comparing failing schools that did participate in reconstitution with those that didn't, and further identifying effective practices among those that did.

Race and Urban Education Issues

1. Using existing resources and programs (Title 1, Safe and Drug Free Schools, Technology Literacy Challenge, e-rate, Goals 2000, School-to-Work, Voc. Ed.) to more effectively support the improvement of urban education, by:

greater targeting of resources to urban areas through appropriations requests, formula changes, or regulatory changes.

increased flexibility in the use of formula funds to support local improvement strategies.

better information on effective practices for addressing urban issues with federal program funds.

targeted technical assistance to help small number of districts use program funds and R&D to strengthen reforms, with a special emphasis on reading and math standards.

2. Raising Standards

Urban Testing Initiative which is identifying approximately 12 urban school systems that would sign up for national tests and form network with ED and NSF to share information about promising practices and resources to prepare students to meet the standards.

Urban systemic reform building on ED's 1996 proposed urban initiative (ACE) which focused on accountability, choice and excellence through an urban grants program.

Reconstitution of failing schools focused effort that would stimulate and support efforts to turn around failing schools

3. Improving Teaching

Teacher Recruitment and Preparation initiative proposed under Title V of HEA

Incentives for National Board Certification to provide support to urban (and rural) teachers preparing for board certification and/or incentives for board-certified teachers to teach in high poverty urban (and rural) schools

Increasing Diversity in Teaching Force including any steps needed in addition to current Title V proposal

4. Providing Safe Places Before and After School

Community Schools Program in ED's FY 1998 budget

After School Programs in proposed amendment to Juvenile Justice bill

5. School Construction

Action needed depends upon outcome of budget reconciliation

6. Expanding Access to Higher Education

Addressed in decision memo in response to Chaka Fattah proposal

7. Hispanic Education Initiative

8. Racial Isolation Among Schools

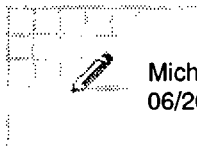
9. Civil Rights Enforcement and Education Reform: Appearance of Conflict

School Takeovers and Voting Rights Act

High Stakes Testing and Title VI

Teacher Testing and Title VII

10. School Finance Equity



Michael Cohen
06/26/97 12:18:18 PM

Record Type: Record

To: Bruce N. Reed/OPD/EOP, Elena Kagan/OPD/EOP

cc: William R. Kincaid/OPD/EOP

Subject: urban education initiative

I need some help in better understanding the parameters of the urban education working group I was asked to set up, as part of the race initiative. Specifically:

1. What does it mean to be "part of the race initiative"? what other groups are there/will there be? Do we have any idea what process this will feed into?
2. I'm assuming that the primary task here is to develop and present to the President some policy options for dealing with urban education. Further, I assume that somewhere along the way we will need to think about events to underscore and highlight the issues and initiatives, but that the primary focus and driver should be the policy options. Am I right?
3. Elena and I talked about having at least an outline of policy options by the end of next week. This seems feasible (see below for my first cut). I don't have a sense of a timeline beyond that.
4. Related point: some options are likely to cost money. (e.g., it will be hard to make a big deal out of an urban education initiative unless it contains something for school construction. How does this fit into the budget process, and what are the timeline implications. How do we get a handle on the level of new resources, if any, that might be appropriate?
5. In addition to key people at the Education Department, some NEC representation (Bob Shireman, most likely), and OMB, I think this working group should include Mickey Iberra and Maria Echeveste. Any problems with this? Any additions?
6. Here is my initial cut at an outline of possible initiatives:

1. What can be done with resources/programs already in place to more effectively support improvement of urban education?

- greater targeting of resources to urban areas either through regulation or amendments to existing legislation (e.g., focusing discretionary resources for charter schools and community schools on urban schools).
- increased flexibility in use of formula funds to support local improvement strategies.
- targeted technical assistance, to help small number of districts use program funds and R&D to strengthen reforms. This should be focused on reading and math standards, and could be part of ongoing effort to recruit cities for national testing, and help them by providing technical assistance, networking, etc..

2. Possible New Initiatives:

- Systemwide reform: starting with ED's proposed Urban Initiative from last year (which

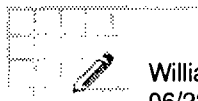
focused on standards, accountability and public school choice). This could be focused more specifically on use of national standards in reading and math

-- School Construction: either our original proposal or some revised, possibly scaled down initiative

-- Access to higher education: If anything new, whatever we come up with in response to Chakkah Fattah proposal

-- Teacher Preparation and Recruitment: HEA Title V Teacher Preparation/Incentives for teaching in urban/underserved areas

-- Failing Schools: Special focus on turning around failing schools in urban areas.



William R. Kincaid
06/22/97 04:44:01 PM

Record Type: Record

To: Michael Cohen/OPD/EOP

cc:

Subject: Reconstitution

Following up on conversations you and I have had over the past few days, I am putting on your chair an Oregonian article on school reconstitution from the ED clips. The more I think about this, the more convinced I am that it should be very doable for ED -- over a span of a month or two, if given a certain due date -- to put together a respectable report on the trend of states and districts trying reconstitution, examples of places where it has worked, and emerging principles/effective strategies, some of which are suggested by the article. This could be issued combined with proposed legislation to tighten up Title I to remove some of the restrictions on reconstitution and perhaps to force earlier intervention. I think the total package would be stronger than simply doing one or the other.

In the Mayor's speech next week, the President should simply use strong language, and then make the real push on this at a later event when it could occupy center stage. While this kind of thing will draw a lot of flack from teachers, we could draw the sting somewhat by emphasizing that this is a last resort after other focused intervention efforts, the importance of involving teachers early and of using this as a technique to free up the teachers who are committed to doing a good job and willing to try new things.

This seems like it could be big enough to be a central part of the back-to-school push, but this tough, somewhat negative message seems like more of a year-end/summer message, when everyone is mulling over test results, than a back-to-school message, which probably should be more characterized by optimism. So maybe this is something that could be done in the accountability-focused environment of NGA or another late-summer event (NCSL?).

The one thing that this timeframe wouldn't allow for is a more scholarly, detached study of reconstitution that could be commissioned through OERI. It would have to be done on a fast track--more like school uniforms.

Let's talk next week.

URBAN INITIATIVE OPTION: FIXING FAILING SCHOOLS
DRAFT June 29, 1997

New elements

- Presidential directive to ED to gather and disseminate guide on principles/effective practices, including reconstitution
 - Alternative: if guide ready, then release
- Presidential directive for ED to study and report back within 60 days on necessary changes in Title I, charter schools or other federal programs to facilitate reconstitution
- Presidential directive to provide appropriate waivers to support
- Announce partnership with New American Schools, reform networks and other partners available to help districts fix failing schools
- Announce formation of network of districts (Chicago and others) having experience with reconstitution and similar interventions to help each other and consult with other districts.

URBAN INITIATIVE OPTION: DISTRICT-WIDE REFORM
(Modified Version of Last Fall's Urban Initiative)
Draft June 29, 1997

New Elements

- Presidential directive on gathering and disseminating best practices on urban systemwide reform
- Propose new preliminary grants to conduct reviews of their management and instructional performance and assemble comprehensive reform strategies.
- Propose new implementation grants for accountability, choice, teacher and principal excellence, with special emphasis on reconstitution, no social promotion and similar strategies
- New legislative proposal to modify Title I to facilitate reconstitution
- Pledge express consideration of waivers to facilitate reconstitution
- Issue new guide on public school choice principles:
- Propose allowing high school students to use Pell Grants/other SFA for postsecondary courses that can double count as high school and college credits (current policy?)

URBAN INITIATIVE OPTION: DISTRICT-WIDE REFORM

(Modified Urban Initiative)

Draft June 29, 1997

Purpose:

To help ensure that urban school districts can use resources to effectuate promising educational reforms based on high standards, strong accountability and wider public school choice.

Elements

- I. **Presidential directive** on gathering and disseminating best practices on urban systemwide reform
- II. Propose new **preliminary grants** to conduct reviews of their management and instructional performance and assemble comprehensive reform strategies.
- III. Propose new **implementation grants** for:
Rigorous Accountability Systems (link to national test?)
 - Student Promotion Gates and Summer School
 - School Report Cards
 - Intervention in Failing Schools
 - Rewarding Successful Schools
 - More Charter Schools that Only Stay Open as Long as they Meet High Standards
New/Upgraded Public School Choice Systems
 - Within-district open or zone enrollment
 - Cross-district enrollment
 - Charter schools
 - Magnet schools
 - Alternative schools
 - Schools-within-schools
 - Postsecondary courses that double count as high school and college credits
Teacher and Principal Excellence (could do portions via Title V proposal)
 - Recruit paraprofessionals for teacher certification
 - Improve urban teacher preparation and alternative routes to certification.
 - Promote peer mentoring, release time, and National Board certification.
 - Recruiting and support of good principals
 - Develop systems of rewards and consequences linked to effective teaching and school leadership
- IV. **New legislative proposal to modify Title I** to facilitate reconstitution
 - Interim: express consideration of waivers
- V. **New guide on public school choice principles:**
 - Provide more family choice of schools within broader efforts to raise academic standards and improve a district's entire public educational system.

- Let all parents choose what public school their child attends.
- Provide parents with the information and assistance needed to make informed choices about what school and after-school program their child will attend.
- Ensure adequate transportation for students.
- Provide opportunities for teachers and others to start new public schools, such as charter schools or schools-within-schools with accountability for results.
- Maintain open and fair admissions policies, and full compliance with civil rights requirements and other guarantees of equal educational opportunity.

VI. **Propose HEA modification to allow high school students to use Pell Grants/other SFA for postsecondary courses** that can double count as core high school and college credits

- Stress high standards, competition and potential cost savings to parents

URBAN INITIATIVE OPTION: DROPOUT PREVENTION
DRAFT June 29, 1997

New elements

- Presidential directive to ED to gather and disseminate effective anti-dropout practices and available federal funds to support.
- Presidential directive for ED to send letter or video to every [8th grade] student on college access and job opportunities.
- New grant program to support effective local dropout prevention practices.
- New grant program to support in-school child care services for young mothers who remain full-time high school students (TANF tie).
- New priority for charter schools grants focusing on middle school students at-risk of dropping out.
- Presidential directive for for DOL to work with ED to strengthen connection between federally funded summer employment and stay-in-school activities.

Existing or anticipated elements that could be folded in

- Reading initiative, strongly emphasizing adult contact via volunteer reading tutors and family literacy.
- Community schools proposal.
- National Math partnership (coaching/mentoring aspect).

URBAN INITIATIVE OPTION: DROPOUT PREVENTION

DRAFT June 29, 1997

Purpose of Federal Initiative .

- Use existing and limited new resources to cut dropout rate, especially among urban districts and Hispanic students, through targeted initiatives at the elementary, middle school and high school levels.

Background

- Hispanic, foreign-born, poor, disabled children, substance abusers and children residing in central cities are especially at risk of dropping out.
- Over half of dropouts do so between 8th and tenth grades. At secondary schools requiring some form of district intervention, such as those recently selected for reconstitution in Chicago, dropout rates tend to be extraordinarily high.
- Counseling services or adult mentoring to provide students with steady individual attention and personal support are vital, as are effective teaching of an interesting and challenging curriculum that can engage students and a strong stress on the future opportunities available to those who stay in school.
- Other strategies must vary according to the needs and interests of youth as they get older. At the elementary level, a strong foundation in the basics of reading, writing, and math is important, while at the middle school level, the key can be a small, supportive environment. At the high school level, a career focus that incorporates increasing expectations for postsecondary education and training is a promising approach.

Possible Elements of Federal Initiative .

NATIONAL LEADERSHIP

- **Information on effective practices .** A Presidential directive to the Secretary to gather and widely disseminate to states, districts, schools, community, business and religious groups high-quality information on effective anti-dropout strategies at all levels of schooling, including strategies for aiding high-risk groups such as Hispanic youth. Would also address how federal program funds can be used to support.
- **Challenge on high standards.** A presidential challenge to engage at-risk students by doing away with ■dummy math■ and similar courses, and holding all kids to high standards and high expectations all the way through school, including the 4th grade reading test and 8th grade math test.

ELEMENTARY LEVEL

- **President's reading initiative** . The President's reading initiative, strongly emphasizing adult contact via volunteer reading tutors and family literacy, with the objective of helping every child to read on grade level by 4th grade.

MIDDLE SCHOOL

- **Public charter schools** . Establish a priority for new ESEA Public Charter Schools grants encouraging the establishment of new charter schools that have a special focus on meeting the needs of middle school-aged students at-risk of dropping out.
- **Community schools** . Fund President's proposal to create 1,000 new community schools, keeping school open, providing a safe, structured environment for kids and an avenue for continued parental involvement beyond the elementary years.
- **Math partnership** . In conjunction with math action strategy, establish national partnership on improving math education, especially middle school math, helping community groups set up after-school, weekend and summer math coaching initiatives.

MIDDLE AND HIGH SCHOOL

- **Raising student expectations for post-graduation opportunities** . A Presidential directive to the Secretary, and perhaps other federal agencies, to send a letter or video to every [8th grade] student and their parents regarding access to college and potential job opportunities available to high school graduates.
- **Federal grant support for effective practices in secondary schools** . Either use existing authority or propose a new, small authority that combine elements of effective dropout prevention strategies such as small settings, intensive mentoring, work-based learning, and challenging academic work. Proposals would be expected to place a strong emphasis on counseling/mentoring activities to strengthen connections between students and their schools, build support networks, and raise future expectations.

HIGH SCHOOL

- **Summer employment and academic support** . Establish a stronger connection between JTPA-funded summer work activities and support for remaining in school.
- **Child care services for young mothers** . Establish a grant program (perhaps combined with effective practices grant) to provide full-day child care services for teen mothers who stay fully enrolled in school and make adequate progress. [TANF implications?]



UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

THE ASSISTANT SECRETARY

MAY 20 1997

TO: The Secretary
Through: DS _____
ES _____

FROM: Gerald N. Tirozzi, Assistant Secretary *gnt*
Office of Elementary and Secondary Education (OESE)
Ramon C. Cortines, Acting Assistant Secretary *RC*
Office of Educational Research and Improvement (OERI)

SUBJECT: Proposed Secretary's Urban Education Partnership Meeting

This memorandum proposes that the Secretary convene key urban leaders to build support for developing an urban agenda for school improvement.

BACKGROUND

During the winter of 1996-97, the Department of Education, the Council of Great City Schools, and the Institute for Education Leadership held a series of five meetings with a cross-section of urban school administrators, school board members, teachers, parents, federal and state policy makers, business, educational researchers, higher education, community groups, and foundations to discuss the improvement of urban education. Through their deliberations, the meeting participants identified several major obstacles to improving urban education and a preliminary national strategy to attack these problems. (Tab A contains a draft summary of the winter meetings' findings entitled, *Urban school reform: Making it happen* and a list of the participants.) Suggested next steps are that a series of outreach meetings starting with a kickoff and ending with a "Summit" will be held to generate interest and to reach consensus around a national agenda.

Although, momentum to improve urban schools has been building, it needs to be broadened and brought together around concerted actions. The National Education Association, American Federation of Teachers, US Conference of Mayors, Rainbow PUSH Organization, Council of Great City schools, The National Urban League, and The National Urban Coalition have issued similar urban agendas that delineate needed urban education reform. (We are in the process of identifying an Hispanic group that has an urban education focus that also could participate in this meeting.) In reading these plans, the commonality among the identified needs and strategies are striking. This is a prime opportunity for you to convene the leaders of these organizations to discuss their common

aims and formulate a workable plan of action. Such a meeting would underscore this Administration's commitment to urban education at a time when the urban community is greatly disappointed about the failure to fund the School Construction bill in the budget agreement.

ACTION REQUESTED

What we seek, Mr Secretary, is a meeting, hosted by you and held in your conference room, with the leaders of prominent community-based organizations and others critical to the success of an Urban Agenda. (Tab B contains the names and affiliations of the urban agenda leaders and a synopsis of their agendas). The focus of the meeting will be to build consensus among the groups to participate as full partners and support the development of a National Urban Agenda. We recommend that the meeting take place in early June. The meeting should be the catalyst for action and reaffirm our commitment to a national urban agenda by becoming a full partner in what must be done to ensure excellence and equity in American education.

Approve _____ Signature _____ Date _____

Disapprove _____ Signature _____ Date _____

Other/Comments:

Contact: Jackie Jackson, 202-260-2422

Tab A - Urban School Reform: Making It Happen

Tab B - Names and affiliations of urban initiative leaders and Synopsis

Full draft-5/15/07

URBAN SCHOOL REFORM: MAKING IT HAPPEN*

One of the most critical issues facing this country is how to improve and strengthen the quality of education for children attending schools in urban neighborhoods and communities. Over the past three decades, research has demonstrated that regardless of student background and family circumstances schools can play a vital role in helping students to learn and achieve. Urban schools, especially those serving children from poor and minority families, confront daunting challenges that require immediate action. Many urban schools face problems far greater than any encountered by most suburban and rural schools. Ignoring these problems is to ignore the crippling effects they have on children and the ultimate impact they will have on this nation's future.

In a recent report by the Education Trust, entitled "Education Watch: The 1996 Education Trust State and National Data Book," a disturbing picture is presented of student achievement from kindergarten to college in this country. The report also presented arguments about the current efforts to set uniform high standards for all students that are not enough to close the growing education gap and the inequities of our educational system. There seems to be an increasing gap between those students with knowledge and skills and those without. As this gap increases, schools will need to do a better job in establishing and maintaining conditions conducive for learning and achievement in order to close the education gap.

In this country, students from minority and low-income families are more likely to attend schools with low to moderate expectations for student performance and with meager cash resources, under prepared teachers and a watered down curriculum. As reported in a recent study by the Educational Testing Service, poor and minority students have significantly less access to computers in their classrooms than do more affluent children. This also suggests that fewer teachers have training in how to use computers as a learning tool for students. It is imperative that a strategy for a national agenda for urban education be devised to provide substantive directions for improving the educational opportunities for all children.

This report reflects the content of a series of discussions -- with a education and other urban leaders, who are described later in this report -- about some of the critical issues and concerns facing urban education in this country. The people who attended these meetings gave us their views and opinions. This summary attempts to highlight key points of the conversation during the series of meetings. Therefore, all of the points of views for addressing urban education issues were not captured.

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A Profile of America's Urban Schools

A disproportionate share of poor and minority children live in one of the fifty largest cities. Kids living in large cities are more likely to be at a disadvantage than kids in the nation as a whole. Poverty among our young children has been increasing all over the United States, but more consequentially in large cities. Of the approximately 44 million students who attend public and private elementary and secondary schools, 23 percent attend schools in the nation's 100 largest school districts, 17 percent of our schools. These are city schools with student populations that dwarf the typical suburban or rural school enrollment. The majority of the children in these schools are poor, minority and are more likely to come from single-parent homes than their suburban and rural age-mates. Approximately thirty percent of the children in these schools have limited English proficiency, creating additional challenges for urban teachers. Furthermore, as a swelling immigrant population in our nation's cities brings new vitality and diversity to schools, it also adds language and cultural challenges as students assimilate, and their families struggle to adapt and survive in a new country.

These schools are located in communities with high rates of violent crime and theft. Moreover, urban schools are often financially strapped, have unacceptably high student absenteeism and pregnancy rates and report that some of their students come to school with weapons. These urban schools also have difficulty attracting and hiring qualified teachers and providing necessary resources for staff. Too often, schools are isolated from support services for students and families, including after school programs. For too many urban schools, these conditions have been poorly addressed within the instructional context, resulting in student achievement levels significantly below those reported for suburban or rural student populations.

Despite the dire conditions of urban schools, however, some urban schools shine with success. Every city can point to schools where a committed and resourceful faculty and staff manage to inspire and equip students with the knowledge and skills they need to succeed. Some schools serve as community safe havens where students are nurtured and their talents blossom. Research in these schools has proven beyond a doubt that, given proper support and structure, all children can learn despite the extra hardships they may carry with them to school. How, then, can we spread these successes?

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Goals and Priorities for Urban Schools

The momentum to improve urban schools has been building as leaders across the nation crusade to improve education. This year President Clinton, in his State of the Union address, made education his number one priority and his mandate echoes the urban education agendas of such community-based organizations as the National Urban League, the National Urban Coalition, the Rainbow PUSH Coalition as well as organizations like the Council of Great City Schools, the U.S. Council of Mayors and both the National Education Association and the American Federation of Teachers. These leaders recognize that if America's schools are to again become the best in the world, the nation's urban schools must be reformed for the better.

To help this vision for American education, the U.S. Department of Education, the Council of the Great City Schools and the Institute for Educational Leadership formed a partnership to develop, through a consensus building model, a national agenda.

Emerging Consensus Among Urban Leaders

During the winter of 1997, the Department of Education, the Council of Great City Schools, and the Institute for Education Leadership brought together five focus groups of urban education leaders -- representing urban school administrators, school board members, teachers, parents, federal and state policy makers, business, educational researchers, higher education, community groups, foundations and the media. The purpose of these small forums was to offer an opportunity for key leaders to engage in a lively, candid discussion about ideas for improving urban schools.

Over the course of five meetings, participants in these forums addressed two overarching questions: (1) What priorities should be the focus for consideration and action by urban schools and districts to improve academic achievement and regain public confidence; and (2) What are the components of national (though not necessarily federal) strategies to improve academic achievement and regain public confidence in urban schools and school districts?

While discussion participants varied in each group, the groups came to remarkably similar conclusions regarding strategies for improving urban schools. Permeating all of the discussions was a solid commitment to the belief that all children can learn challenging academics, and schools need to focus on each child's strengths so that every student achieves at higher levels. Strategies for ensuring that all students learn to higher levels centered around: setting challenging standards for student achievement and reforming the entire system to support those standards; improving the preparation and ongoing development of teachers; refining school governance and accountability systems; involving parents and communities in schools; increasing community support for urban schools; investing in urban school reform; and building on what is already working in urban districts.

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Strategies for Improving Urban Schools

Set clear goals for education, focused on challenging academic standards.

Urban schools are often guilty of setting too many priorities. This spreads energies too thinly, resulting in ineffectual, piecemeal reforms and further erosion of public confidence. Urban schools should outline clear, challenging standards for student achievement and focus their efforts on improving student learning.

Standards should be concrete learning targets in the core academic subjects. They should be developed jointly with parents and the community, and should be written in a form that parents can understand. They should be connected to real skills and knowledge that will be demanded in the workplace as well as postsecondary education, while also supporting the broader purposes of schooling such as preparing students for citizenship. To have a real impact on teaching and learning, standards must be translated into a concrete curriculum for each grade and accompanied by a vision of what good instruction looks like in standards-based classrooms.

If high standards serve as the anchor for urban education reform, then other aspects of education, such as assessment, curriculum, and teaching must be reconfigured to support the achievement of high standards.

Develop strong supports for teachers and instructional leaders.

Urban systems can design the finest standards, but they will be useless unless the standards influence interactions between teachers and students. Nor will standards make a difference if inadequately prepared administrators make decisions that hinder good teaching. Cities must invest in the preparation and ongoing development of teachers and administrators, including new kinds of preparation programs, ongoing professional development, and resources to help teachers, principals, and administrators do a good job.

Urban schools should partner with colleges and universities to strengthen teacher induction efforts and ongoing professional development opportunities. Over the next ten years, the nation will need about two million new teachers to replace retiring teachers and cope with rising enrollments. Filling these positions will be a major challenge, but it also presents an exceptional opportunity to retool the whole teaching force toward higher standards. Teacher preparation programs must be focused on attracting the best students, providing prospective teachers with strong subject-matter knowledge, and training them in strategies to address the special needs of urban children. New teachers should also receive mentoring experiences and professional development to help them cope with the challenges of an urban setting.

At the same time, current teachers will need high quality opportunities to improve their knowledge and skills so that they can teach to new, high standards. Improving urban education

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will require better curriculum and instructional practices to help diverse groups of students, including growing populations of limited English proficient students, to meet challenging standards.

Similarly, urban school systems should strive to create a culture that rewards good teaching practices. Administrative policies should support, encourage, and reward outstanding teachers and instructional leaders. Administrators should receive the training and support that they need to effectively maintain a focus on academic achievement, despite numerous competing demands, and provide leadership for school improvement.

Develop a school climate conducive to learning.

Urban education occurs in environments beset by many social problems that affect students' learning, including poverty, drugs, crime, and family disorder. While schools alone cannot fix all of society's ills, they can focus on creating an effective learning climate regardless of the surrounding environment by working with social service providers and structuring a school to build student-adult relationships and increase support for learning.

One priority for urban schools should be to rethink issues such as school size, time, and use of facilities. Urban schools can create smaller teaching and learning communities within their large buildings by restructuring how the school is organized and creating smaller schools within the school. These smaller, more personalized environments could strengthen relationships between children and adults and give students more curricular and instructional options. Similarly, greater time may be given to teachers for professional development and planning by restructuring school schedules. School building can also be used after the regular school day to provide necessary health, social, and extended learning supports for students and the community.

Improve school governance and accountability.

A number of external factors such as poverty, housing, unemployment and crime complicate and change the nature of how urban educators must do their jobs. Urban systems must acknowledge these factors, without letting schools off the hook for improving student learning. Urban education must be the shared responsibility of families, schools, and communities. Teachers, superintendents, school board members, parents, and the community must understand how they are going to create desired changes, who is responsible for each aspect of learning, and how they will be evaluated. The accountability system must include consequences for all adults in the system. Teachers, principals, administrators, school board members, and parents should all know their roles and responsibilities; and consequences should apply to each layer of the school system, from teachers to school boards. Such characteristics as a focus on the school, an emphasis on student performance in basic academic subjects, attention to additional indicators such as graduation and attendance rates, public reporting, and rewards and consequences should be considered.

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At the same time, thorny urban governance issues such as district size, school board jurisdictions, and management policies must be openly discussed and addressed. Urban systems must find ways to forge partnerships for school reform among key stakeholders even while addressing controversial issues.

Increase community involvement in and support for schools.

Urban education is suffering from a crisis of public confidence, as evidenced by low voter turnout in school board elections and large numbers of urban parents -- including school employees -- who send their children to private schools. Urban districts may want to start by building a stronger advocacy for public education among parents, teachers, the media, and the 75 percent of the taxpayers who do not have school-age children. Publicizing local successes and mobilizing national, state, and local leaders will also increase public awareness of urban education issues. Public confidence will grow if the public can see a clear focus on student achievement, a clear strategy for improving achievement, and the capability to carry it out. The public will need to see demonstrations of school success, improved school safety and well-managed budgets.

Linking schools and parents is especially critical. Urban schools must offer a welcoming climate for parents. Many urban parents do not have the necessary skills or resources to help their children learn at high levels. They may require training and other support services.

By placing a high priority on community collaboration, urban districts can work with other groups to establish a new culture of school improvement. Schools can involve the community through family-school-community partnerships. Additionally, campaigns to involve the community through partnerships, mentoring, and school-to-work experiences are essential.

Increase investments in urban education.

pushing & clearing Urban districts simply have higher costs. Size, complexity, high diversity, and concentrations of poverty make education more costly in large cities. Urban systems also have higher expenses for infrastructure, technology, and deferred maintenance and renovation of aging physical facilities. Reform will likely entail additional costs for professional development, assessment development, school restructuring, community outreach, and many other priorities. The current investment in urban education is insufficient for the job of improving urban schools. Urban districts need adequate and equitable funding, including a larger share from the state and the federal government. *--- Community?*

Build on what works.

We already know much about what works in urban education. Urban school systems have numerous schools that are succeeding and teachers who inspire children to achieve to excellence, but their successes are not being implemented on a wide scale. Urban schools need better

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- information about what works in various types of schools, as well as assistance in implementing and sustaining these models in the face of obstacles. Teachers and administrators must have greater access to research-based curricular and instructional strategies so that they can become knowledgeable choosers.

Districts and schools need assistance in spreading successful efforts. They need to design coherent, systemwide strategies for building high performance learning organizations that are grounded in high standards, offer flexibility for school innovations, and involve parents and the community.

National Strategies to Improve Urban Education

The focus groups did not reach consensus on a detailed national strategy to improve urban schools. In fact, they emphasized that all school change is local. National strategies that are too prescriptive can have a negative impact. Instead, we should develop a national strategy for local action; in other words, strategies that will rally public support for education and inspire states and localities to undertake necessary reforms. Discussion participants reached consensus around such national strategies as building public support, providing research and technical assistance, and designing incentives for success.

One way to encourage momentum for urban school reform is for the President, other federal officials, and national organizations to use the "bully pulpit" to build public support and encourage local action. State education officials should also make improving urban education a high priority.

National organizations can play a key role in urban education reform by building public support for reform, disseminating information on effective models and providing training for teachers and administrators to implement those models. They can also play an active role in bringing local people together to make reform happen.

National groups and government institutions can further stimulate and sustain school improvement by supporting research and technical assistance. The Federal government, national organizations and research entities could help urban schools by providing better information about what works in urban schools, as well as assistance in implementing these models. Urban schools also need information on bringing successful school reform efforts to scale -- spreading them throughout the schools in the district. A couple of groups suggested that the federal government or national organizations could support or promote reform in a few targeted cities with the aim of studying the reform process and sharing lessons with other districts.

National leadership could also be provided through incentives for successful efforts. Federal, state and local governments might offer waivers from rules and regulations in cases where

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innovative reforms are underway. The private sector might sponsor bonuses for teachers in schools that are improving. All levels of government could assist schools by suggesting how program funds might be used more effectively to support reform efforts.

Conclusion

An undeniable conclusion from focus group discussions is that a conversation about how to improve urban education is, in essence, a discussion about how to improve American education. Much of what works in urban America will work in other districts.

Furthermore, educational quality in this nation will not improve without major improvements in the places where one third of our students are educated, urban schools.

List of Attendees for the Urban Education Meetings

December 9, 1996, January 13 and 27 and February 10 and 24, 1997

NAME	TITLE	ORGANIZATION
Dr. John Anderson	President	New American Schools
Mr. Buzz Bartlett	Director of Corporate Affairs	Lockheed Martin Corporation
Mr. Robert Bates	Director	D.C. Education Partnership
Dr. David Bergholz	Executive Director	George Gund Foundation
Mr. A. Wade Boykin	Co-Director	CRESPAR-Howard University
Ms. Judy Buchana	Teacher	Philadelphia Public Schools
Dr. Gene Carter	Executive Director	ASCD
Ms. Marie Casillas	Director	Los Angeles Annenberg Metro. Project
Dr. Michael Casserly	Executive Director	Council of the Great City Schools
Dr. James Comer	Director	Yale University Child Study Center
Dr. Gwendolyn Cooke	Director of Urban Services	NASSP
Dr. Chris Cross	Executive Director	Council for Basic Education
Dr. Ramona Edelin	President	National Urban Coalition
Ms. Joyce Epstein	Director	Johns Hopkins University
Mr. Robert Fecho	Teacher	Philadelphia Public Schools
Mr. Ernest Fleishman	Senior Vice President	Scholastic, Inc.
Ms. Carolyn Gettridge	Superintendent	Oakland Unified Public Schools
Dr. I. Ira Goldenberg	Dean	Florida International University
Dr. Manuel Gomez	Vice Chancellor, Student Services	University of California - Irvine
Dr. Yvonne Gonzalez	Superintendent	Dallas Public Schools
Dr. Paul Goren	Executive Director	Minneapolis Public Schools
Ms. June Harris	Professional Staff Member	U.S. House of Representatives
Dr. David Haselkorn	President	Recruiting New Teachers, Inc.
Mr. Asa Hilliard	Professor	Georgia State University
Dr. David Hornbeck	Superintendent	Philadelphia Public Schools
Dr. Dol Horwitz	President	Committee for Economic Development
Dr. Paul Houston	Executive Director	American Association of School Admin.
Mr. Jeffrey Howard	President	Efficacy Institute
Dr. Jack Jennings	Director	Center on National Education Policy
Mr. Mark Kenny	Director	Kauffman Foundation
Dr. Jack MacDonald	Director State Leadership Center	Council of Chief State School Officers
Ms. Barbara McCloud	Director, Superintends Program	Institute of Educational Leadership
Dr. Hunter Moorman	Consultant	Hunter N. Moorman & Associates
Ms. Patricia Morris	Dean	Morgan State University
Ms. Deborah Reeve	Associate Exec. Director	NAESP
Mr. Luis Reyes	Board of Education	New York City Public Schools
Ms. Thebian Rice-Thurston	Executive Director	Parents United
Ms. Sharon Robinson	Assistant Secretary	US Department of Education
Ms. Belle Rosenberg	Assistant to the President	American Federation of Teachers
Ms. Katherine Sid	Principal	Seward High School
Dr. Warren Simmons	Executive Director	Philadelphia Education Fund
Dr. David Snead	Superintendent	Detroit Public Schools
Mr. Maurice Sykes	Deputy Superintendent	D.C. Public Schools
Dr. Gerry Tirozzi	Assistant Secretary	U.S. Department of Education
Mr. Michael Usdan	President	Institute for Educational Leadership

NAME**TITLE****ORGANIZATION**

Dr. Deborah Wadsworth
Dr. Brenda Welburn
Dr. Lois White
Dr. Terry Whitney
Mr. Scott Widmeyer
Ms. Belinda Williams
Dr. Luther Williams
Ms. Robin Wilner
Mr. Ron Wolk
Dr. Ron Woo

President
Executive Director
Director
Senior Policy Specialist
President
Director
Director of Human Resources
Director of Social Policy
Editor
Superintendent, Monitoring

Public Agenda Foundation
NASBE
National PTA
Education Commission of the States
Widmeyer Group
Brown University
National Science Foundation
IBM Corporation
Education Week
New York Public Schools

ANALYSIS OF SELECTED URBAN EDUCATION INITIATIVES/PROGRAMS

CROSS-CUTTING THEMES

- **The Community School Concept** -- linking schools to networks of health and social services, before-and-after child care, pre-school programs, etc.
- **Early Childhood Education** -- ensuring that quality child care opportunities are widely available
- **Fixing Inequitable School Finance Systems** -- reducing inter-municipal disparities by increasing state and/or federal funding to urban centers
- **School Construction and Repair** -- building on the Partnership to Build America's Schools Act
- **Raising Standards** -- ensuring that urban schools meet state and national standards
- **Increasing Parental Involvement** -- mobilization of parents
- **School-business Partnerships** -- leveraging private resources to aid urban public schools
- **Accountability** -- systems to be put in place that make all school personnel accountable
- **Convening and Mobilizing** -- a number of potential forums for airing additional ideas and reaching consensus on the urban education agenda

ANALYSIS OF INDIVIDUAL INITIATIVES

- **Council of the Great City Schools (CGCS)**
Michael Casserly

The *Urban Schools Marshall Plan* consists of: developing standards and accountability-centered strategies; ensuring adequate state financing for urban schools; passing the American Cities Education Act; supporting and extending the President's Partnership to Rebuild America's Act; a call for congressional hearings and a joint summit with mayors; and, promoting community mobilization.

- **National Education Association (NEA)**
Robert Chase, President

The *NEA Emergency Commission on Urban Children* consists of: educators, public officials, business leaders, clergy and community activists charged with designing a process to confront the "crisis of spirit" in urban communities by creating smaller schools and class sizes; setting higher standards for both academic achievement and student conduct; and, finding more effective ways of meeting children's social, human and health needs to ensure that all students are physically and psychologically ready to achieve in school.

- **National Urban Coalition**
Ramona Edlin, Executive Director

Say Yes to a Youngster's Future was developed to serve populations in U.S. public schools that are under served in the areas of math and science. It operates in seven Family Learning Centers in four cities. The program consists of: having a family-centered

supplemental math, science and technology elementary education program serving low-income, urban children of color and their families; and, requiring parental involvement through mandatory parent attendance to operate before and after school hours, on Saturdays, and in the summer.

- **The National Urban League**
Hugh Price, Executive Director

African-American Crusade for Academic Achievement consists of: making quality pre-school education universally available, a "No Excuses" accountability component in which everyone is responsible for the holistic development of children; enhancement of parental involvement; promotion of a positive peer culture; staging of national celebrations on September 20, 1997 and in June, 1998 to raise awareness and attract recognition for children (the hope is that the celebrations will become annual events); and, the enlistment of African-American leaders and churches in the campaign for improved educational opportunities.

- **Rainbow PUSH Coalition**
Jesse, Jackson, President

The Education: National Defense Tranquillity Act: Equal Opportunity for Closing the Gap consists of: rebuilding school facilities; raising academic standards; improving management and accountability; implementing mandatory training for teachers in their subject areas; offering attractive salary/benefit packages to teachers; offering health care and early childhood education programs; providing multi-lingual education; increasing parental involvement by mobilizing 2 million parents and 5 thousand ministers and judges to reclaim our youth; a strong emphasis on character education and ethical standards; teaching entrepreneurial skills; a call for Congressional hearings; and, encouraging the media to stop the stereotyping of children.

- **United States Conference of Mayors**
Norman Rice, President

Strengthening Public Schools in America's Cities: An Agenda for Action consists of: increasing the availability of jobs for youth; re-examining school expulsion and suspension policies; making schools into neighborhood centers (community schools), sites for health clinics, human services, and police substations; aggressively enforcing truancy and curfew laws; reforming student promotion policies that permit movement from grade to grade without adequate advances in pupil performance; increasing the investment in early childhood education; rewarding, not punishing, successful efforts to improve education systems through federal and state funding; improving equity in school finance; enhancing the role of mayors in education; reevaluating the role of police officers in school security; and, maintaining high academic standards through a system of accountability for all school personnel.

OPTIONS FOR AN URBAN INITIATIVE ON FIXING FAILING SCHOOLS

ROUGH DRAFT July 2, 1997

Background:

While many urban districts are undertaking significant standards based reform efforts, many individual schools remain stubbornly unresponsive to change, with chronically low test scores, poor attendance, and unsafe conditions. These schools shortchange their students, demoralize staff, and contribute to debilitating public skepticism on the potential to reform urban public schools. Several districts across the U.S, including Chicago and San Francisco, as well as some states, such as Maryland, have moved aggressively to intervene in persistently failing schools, beginning first with a period of probationary status, and, if the school does not show improvement, then reconstituting the school with new principal leadership, new teachers, or both, as well as a strong instructional program. While the reauthorized Title I contemplates district intervention in failing schools, it also places significant restrictions on the conditions under which intervention can occur, as well as the types of remedial action allowable, under the auspices of Title I. Moreover, federal, as well as non-federal resources should be made more readily available to encourage and support districts that are willing to take on failing schools in an aggressive manner.

Purpose:

A new initiative on fixing failing schools would provide incentives, technical assistance, and resources to encourage districts to dramatically accelerate and intensify their efforts to intervene with failing public schools, particularly in low-income urban areas. Such an effort would provide support for many more districts to reconstitute or take similar dramatic actions for schools that have failed their students educationally and that don't respond to more conventional school improvement strategies.

Potential elements:

③

Guide on School Reconstitution

Working alone, or together with CPRE or other outside partners, the Department of Education could assemble a practical guide for school districts on strategies for fixing failing schools, including school reconstitution. The guide could potentially include:

- *Summary of research and key principles for intervention*, including a focus on high standards, clear and fair accountability, a strong vision of school improvement, adequate resources for teacher and administrator professional development, collaborating with experienced and effective reform partners, effective communication with teachers and administrators, building parental and community support, and appropriate timing.
- *Strategies for reconstitution* and similar interventions in persistently failing schools,

including reassigning individual teachers who refuse to actively participate in a school's research- and standards-based schoolwide reform effort; dismissing and then rebuilding leadership and teacher teams from the ground up; and closing schools and reopening them as public charter schools or schools-within-schools.

- *Examples or case studies* of recent intervention efforts, along with analysis of lessons learned.
- *A description of federal financial and technical resources* available to assist intervention efforts, including Title I, Eisenhower, Goals 2000, Charter Schools, and other funds, as well as regional education laboratories and comprehensive centers, including contact information.
- *A description of non-federal school reform networks and resources* concerned with improving failing schools, including contact information.

2 Legislative Changes to Existing Federal Programs to Encourage Aggressive Intervention

- *Title I School Improvement Provisions*
 - Compress intervention time-frame to require more rapid intervention in the most dysfunctional schools.
 - Substantially reduce restrictions on reconstitution, charter schools, and student transfer remedies. *(what are there?)*
 - Narrow list or otherwise make set of acceptable interventions more directive/more focused on reconstitution and related remedies.
- *Title I Funding Provisions*
 - Allow brief relaxation of per-pupil allocation provisions to give an extra boost to schools in early stages of reconstitution for intensive summer and after school professional development.
 - Authorize SEA to retain additional funds to use in working with failing schools where local district has failed to aggressively intervene.
- *Charter Schools Program*
 - Create priority within Public Charter Schools *(urban)* program for states that pledge to devote 35% of their charter schools grants to schools that have been closed and are reopening as public charter schools.

good idea, but hard to specify fixed % across states?

- *Community Schools Program*

- Create priority within Community Schools program to promote creation of community schools from schools that are being reconstituted.

- *Technical Assistance Programs*

- Place a statutory priority for ED's technical assistance providers to aid districts and schools engaged in reconstitution efforts.

① **Establish a New Grant Program or Priority Within Existing Program That Provides Incentives and Support for Districts to Intervene Aggressively in Failing Schools**

Could this be done under Sec. 1502? 1 Title 1.

- Discretionary grant program open to urban and rural districts with high concentrations of poverty.

- Districts can seek up to \$50,000 per school, for a maximum of 5% of its schools per year, to close down and reopen with new leadership and faculty those schools that persistently fail to meet acceptable standards for student achievement, attendance and safety. School could be reopened as charter school

- 7 • 90% of the funds must be spent at the school level; the remainder can be retained at the district level for technical assistance activities.

- Each school receiving funds must commit to:
 - Developing a clear school improvement plan for using all available resources to help students reach high standards. - Show how fed fund will be used - allow coming in if necessary
 - Upgrading the physical appearance of the school.
 - Extending learning time and providing safe environments for students by keeping the school open after-school, on weekends, or during the summer.
 - Working with recognized partners using recognized, research-based, effective schoolwide improvement models.
 - Providing intensive professional development for all members of the new instructional team prior to the schools' reopening and continuing for the first two years following reconstitution.

- Priority for funding would be given to those schools that are being reopened as schools

Need to figure out - @ cost per school
@ realistic % of schools per district

within schools or public charter schools, to encourage more personalized learning environments and accountability for student achievement.

Establish a Partnership on Fixing Failing Schools

Establish a new partnership including New American Schools Development Corporation, reform networks and other partners willing to make themselves available to help districts fix failing schools. Could also include teacher unions. Each partner will commit to using their reform model and working with a minimum number of schools across the U.S.. Schools could use resources made available through the possible new grant program in order to modify and implement appropriate reform models.

Establish a Network on Fixing Failing Schools

Establish a network of school districts and state agencies (including Chicago, San Francisco, Maryland and others) having experience with reconstitution and similar interventions to help each other and consult with other districts.

Long-Term Study or Studies

Contract for a long-term study comparing failing schools that did participate in reconstitution with those that didn't, and further identifying effective practices among those that did.

SCHOOL IMPROVEMENT PROGRAMS

Urban initiative
(Proposed legislation)

1999 Authorization (\$000s): To be determined.

Budget authority (\$000s):

<u>1997</u>	1998 President's <u>Budget</u>	1999 <u>Request</u>
---	---	\$320,000

PROGRAM DESCRIPTION

For fiscal year 1999, the Department proposes a new initiative to improve education in hard-pressed urban communities. Under this program, local educational agencies in the ____ largest cities would apply to the Department for competitive grants to address their most urgent needs in the following areas:

- Strengthening management and accountability, and fixing failing schools -- Urban districts must hold their schools accountable for sound management and for educating all students to challenging standards. In order to achieve this accountability, districts and schools must have in place sound management systems covering such areas as enrollments and student records, personnel, procurements, and facilities planning. Yet many urban districts do not yet have those systems in place and do not have available the discretionary resources to make the needed improvements. With targeted Federal assistance, they would be able to obtain assistance, potentially working through partnerships with the private sector, to implement the management systems needed to ensure the public that school systems are in control of their resources and that those resources are being expended efficiently and appropriately.

Well-managed urban LEAs must also have rigorous and fair systems for holding schools accountable for performance. These systems must produce current, reliable data on students' academic outcomes and in such areas as attendance, discipline, and drop-out rates. Those data must become the basis for LEA policies and actions on individual schools. Some of the LEAs have begun to implement those systems; many need extra help in design and implementation, including assistance in ensuring that all schools of the LEA are generating the intended information.

An effective LEA accountability system must include measures for rewarding successful schools and for turning around failing schools. Districts would be able to use their Federal grants to design and implement those measures. They would develop fair and attractive incentives that acknowledge and reward schools that are making significant progress in educating students to high standards. Such incentives could include greater school autonomy, financial rewards, provision of release time for professional development, or public recognition. With regard to schools consistently failing to make progress, the LEAs could provide intensive technical assistance and professional development, and also implement procedures for comprehensive school overhaul, reassignment of staff, reconstitution, or school closure.

- Building human capacity to improve instruction -- In order for urban schools to meet the challenge of educating all students to challenging standards, they will need to invest in sustained, intensive professional development for teachers and instructional leaders. Although Eisenhower Professional Development and other existing Federal programs provide some support for those efforts, the challenges in urban communities often require a more targeted and intensive approach. In particular, much of the burden of raising school performance rests with the school principal, and existing programs do not fund activities to enhance the leadership skills of principals and other school administrators. Urban Initiative grants could support partnerships between LEAs and institutions of higher education that provide principals, other administrators, and other members of the school community with the skills and knowledge they need to bring about needed changes in the school climate, provide strong instructional leadership, and hold all staff accountable for achieving results.
- Implementing whole-school, standards-based reform -- While many schools now are eligible to implement schoolwide programs under Title I, many ... [Like Catherine, I'm lost on this one -- what would schools do in with our grant money? -- maybe something that builds on OVAE's New American High Schools?]
- Expanding public school choice -- LEAs could use their grant funds to design and implement system-wide, or partial-system, programs that give students and parents a wide range of public school options. These programs could greatly expanded choices beyond what is currently available through magnet and charter schools, and could include such innovations as total open enrollment across the system, availability of choices across school systems, or postsecondary options for high school students. The availability of these choices would have to be consistent with LEA desegregation plans, and could, in fact, enhance progress in achieving desegregation. Providing funding for development of expanded choice programs could thus be a component of the Administration's race initiative.

Under this new program, the Department would make ____ - year grants to eligible LEAs. The Department would also reserve a small portion of the money for national activities, including

evaluation, peer review of applications, dissemination and sharing of best practices, and other activities to assist the grantees.

1999 BUDGET REQUEST

For fiscal 1999, the Department requests \$320 million for the first year of the Urban Initiative. This amount would fund approximately ____ grants, with individual grants ranging from \$ ____ to \$ _____. In addition, the Department would reserve \$ ____ for national activities.

Urban schools today face a major challenge. They must educate an increasingly diverse and needy student population. Many also have rapidly growing enrollments, with the increase in students far outstripping increases in revenues. At the same time, urban schools have lost some of the confidence of parents and the general public. Families leaving cities frequently cite poor school quality as a reason for their exodus, and corporations complain that they cannot recruit well educated workers from urban communities. Critics claim that urban school systems lack a clear mission, including the mission of quality education for students.

Yet the Nation cannot write off its urban schools. Within the next ____ years, school districts in the largest ____ districts will enroll over ____ percent of American schoolchildren. These children are the key to our future; they must be prepared for responsible citizenship and to enter jobs in an increasingly technological workplace.

Recent Administration education initiatives recognize the distinct needs of our urban communities. For example, in response to GAO data showing that urban districts have the most urgent infrastructure needs, one-half of the assistance under the the President's school construction initiative would flow to the 100 districts serving the largest numbers of children from low-income families. The recently announced HEA Title V educator training initiative would target all of its support on colleges and school systems that serve concentrations of poor children -- that is, primarily on urban communities. Our proposals for better targeting of Title I and Vocational Education funds would channel more revenues to urban school districts. But these initiatives cannot do the job alone. A new initiative focusing on management reforms, accountability, school-level improvements, school leadership development, and expanded educational choice will complement and build on the previous initiatives and fit securely within the Administration's broader urban policies and within policies to improve racial relations in America.

PROGRAM OUTPUT MEASURES

Possible Urban Education Initiatives

1. What can be done with resources/programs already in place to more effectively support improvement of urban education?

Programs include: Title 1, Safe and Drug Free Schools, Technology Literacy Challenge, e-rate, Goals 2000, School-to-Work

- greater targeting of resources to urban areas either through appropriations requests, regulation or amendments to existing legislation (e.g., focusing discretionary resources for charter schools and community schools on urban schools).
- increased flexibility in use of formula funds to support local improvement strategies.
- targeted technical assistance, to help small number of districts use program funds and R&D to strengthen reforms. This should be focused on reading and math standards.

2. Possible New Initiatives:

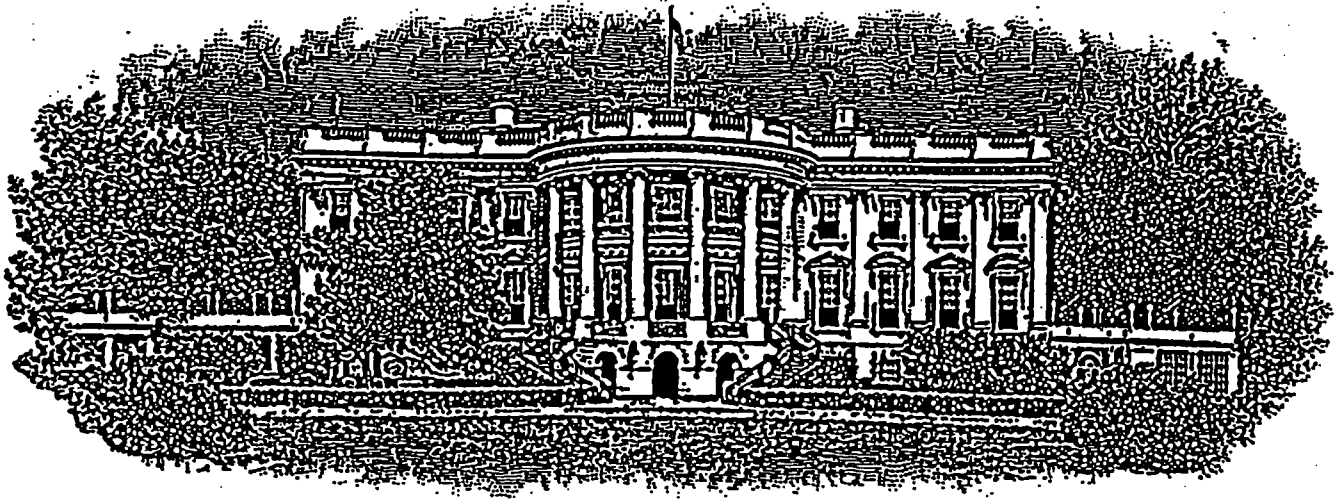
- Urban testing initiative: identifying approximately 12 urban school systems that would sign up for the tests, as part of a broader community-wide effort to prepare students to meet national standards. Not conceived of as a new spending initiative, but could be combined with other initiatives.
- Systemwide reform: starting with ED's proposed Urban Initiative from last year (which focused on standards, accountability and public school choice)
- School Construction: either our original proposal or some revised, possibly scaled down initiative
- Access to higher education: If anything new, whatever we come up with in response to Chakkah Fattah proposal
- Teacher Preparation and Recruitment: HEA Title V Teacher Preparation/Incentives for teaching in underserved areas
- Failing Schools: Special focus on turning around failing schools in urban areas.

Dropouts

Public School Choice

→ - Direct ED to prepare guide on
- Report back to me on what changes we
can make to assist

The White House



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FAX COVER SHEET

TO: Barry White
FAX: 395-7752

FROM: BILL KINCAID

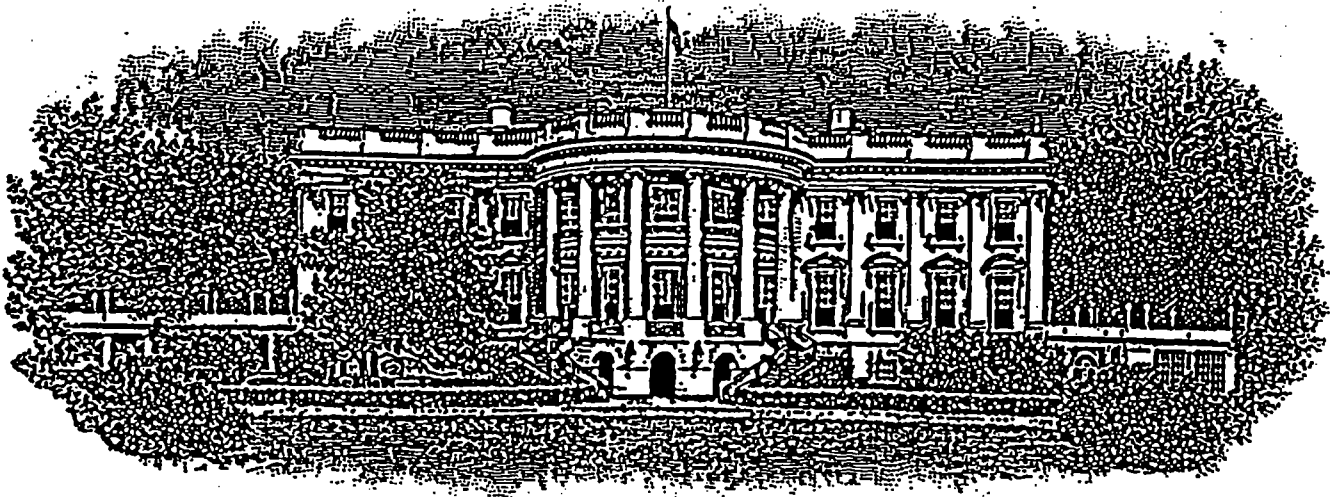
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MESSAGE:

Here's where we are now on the vision/
rural challenge grants. Please let
Mike or me know if you have any comments.
I thought you made some great points at
our meeting last week. Thanks
PS - we are also sorting through some possibilities
for putting a greater focus on public school choice in this.

The White House



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FAX COVER SHEET

TO: Val Plisko
FAX: 401-3036

FROM: **BILL KINCAID**

THIS FAX INCLUDES THE COVER SHEET PLUS 6 PAGES.

IF YOU DID NOT RECEIVE THE COMPLETE FAX, PLEASE CALL (202) 456-2857.

MESSAGE:

Per my voice mail message
Please call me.
Thanks