

Appendices

Contents

A	Additional Information about the Competition	2
A.1	A Description of the Competition	3
A.2	Race to the Top Applicants, Winners, and Losers	7
A.3	Race to the Top Executive Summary Document	9
B	Data Collection	25
B.1	State Application Coding Values	26
B.2	Legislative History Coding Values	26
B.3	Application Breakdown	26
B.4	Codebook Key	28
B.5	Variable-Specific Coding Guidance	28
B.6	Sources for Legislative History Coding	52
C	Additional Tables and Figures	56

A Additional Information about the Competition

Contents

A.1	A Description of the Competition	3
A.2	Race to the Top Applicants, Winners, and Losers	7
A.3	Race to the Top Executive Summary Document	9

A.1 A Description of the Competition

Congress funded RttT through the American Recovery and Reinvestment Act (ARRA). Signed into law on February 17, 2009, the ARRA contained \$787 billion in tax cuts and economic stimulus spending. Roughly \$100 billion of the ARRA was allocated for education, of which \$53.6 billion went into the State Fiscal Stabilization Fund (SFSF). Within SFSF, however, \$5 billion was set aside for a competitive grant system, \$4.35 billion of which established RttT.

RttT operated over multiple competitive phases. In each phase, states were asked to describe their past policy achievements and outline their future goals in meeting policy priorities that spanned six major categories: teacher effectiveness, state involvement in education reform, standards and assessments, support for charter schools and other non-traditional public schools, school intervention procedures, and data systems. Within each category, the DOE established further point breakdowns for policy subcategories. Through direct communications and public announcement, the DOE provided extensive information about the kinds of policies that satisfied the demands of these categories.

Participating in the various phases of the competition was entirely voluntary. Applications for Phase 1 were due January 19, 2010. As shown in Appendix A.2, 40 states and the District of Columbia submitted applications. Finalists were announced on March 4, 2010, and the two official winners were declared on March 29, 2010. Phase 1 winners Tennessee and Delaware were each awarded roughly \$500 million and \$100 million, which that year amounted to 10.0 and 5.7 percent of the respective states' budgets for K-12 education.¹ Phase 2 applications then were due June 1, 2010. The application criteria were the same for Phase 2, though Phase 1 winners could not apply and other states could resubmit amended applications. A total of 35 states and the District of Columbia participated in Phase 2. Finalists were announced on July 27, 2010, and winners on August 24, 2010. Phase 2 had a total of 10 winners, each awarded prizes of between \$75 million and \$700 million.²

Having exhausted the ARRA funds, the president in 2011 sought additional support for RttT.

¹Prize packages was based primarily on the share of its population of children ages 5 through 17. Further details available at: <http://www.ed.gov/news/press-releases/delaware-and-tennessee-win-first-race-top-grants>.

²For empirical investigations into who applied and who won the RttT competitions, see Manna and Ryan 2011 and McGuinn 2010. For a General Accounting Office report on the subject, see: <http://www.gao.gov/new.items/d11658.pdf>.

That spring, Congress allotted funds to support a third phase. Phase 3 differed from previous rounds in three important ways. First, only losing finalists from Phase 2 of the competition were allowed to participate. Second, the policy scope of Phase 3 was significantly smaller, as each competing state needed only to reconfirm their commitments to a subset of reforms they had made in their Phase 2 applications. States, however, had some latitude to choose the activities and projects from their Phase 2 application that they planned to focus on pursuing. Finally, a significantly higher percentage of participating states won in Phase 3 of the competition, though the amounts of these grants were considerably smaller than those from Phases 1 and 2. On December 23, 2011, the DOE announced Phase 3 winners, which received prizes ranging from \$17.1 million to \$42.8 million. Over all three rounds, 18 states and the District of Columbia were awarded grants totaling \$4.1 billion. These awardees in aggregate serve approximately 2 million students, which account for approximately 45% of all K-12 students in the United States.

As a deliberate part of its marketing campaign for RttT, the DOE solicited widespread public attention. The competition was plainly orchestrated to increase the salience of education reforms that, since the federal government's enactment of No Child Left Behind in 2001, had lain fallow in Congress and state legislatures. To announce RttT, the president headlined a major press conference in July 2009. The rhetoric employed by all attendees was nothing short of breathless. Secretary Duncan called the initiative "a once-in-a-lifetime opportunity for the federal government to create incentives for far-reaching improvement in our nation's schools," "the equivalent of education reform's moon shot," and "a new federal partnership in education reform with states, districts, and unions to accelerate reform."³ In the months that followed, the president, Secretary of Education, and their staffs toured the country to promote RttT. Duncan, in particular, traveled the nation touting the competition to governors, state legislators, teacher's unions, and other interest groups. He also wrote op-eds to increase RttT's public visibility.⁴ To heighten the drama, the administration announced the winners of each phase of the competition at major press conferences at the National Press Club. Throughout the process, the DOE worked closely with a number of prominent foundations and education reform groups — notably New Leaders for New Schools, Teach for America, the New Teacher Project, KIPP, the Mott Foundation, and the Gates Foundation — to

³Retrieved from: <https://www2.ed.gov/news/speeches/2009/07/07242009.html>.

⁴See, for example, this one: <http://www.washingtonpost.com/wp-dyn/content/article/2009/07/23/AR2009072302634.html>.

raise awareness about RttT and provide supportive services to states interested in applying.

The media took notice. Every major newspaper in the country devoted coverage to the competition, with many commentators lauding RttT's specific policy objectives: the *Christian Science Monitor* called the announcement of RttT a "massive incentive for school reform,"⁵ and the *New York Times* claimed that the process "would favor bold reform plans from states with proven records of improving student performance."⁶ Looking back on these developments, *The Washington Post* declared that RttT, though flawed in important respects, helped transform the national discussion on education,⁷ while Michelle McNeil from *Education Week* said that the competitions stimulated an unprecedented national conversation on school reform.⁸ National conversations about RttT trickled down to the state and local level, particularly in the context of the economic crisis and debates over budget cuts, tax increases, and teacher layoffs that brought education spending and collective bargaining policies into stark relief. Numerous governors pushed state legislatures to change laws to improve their RttT prospects, most prominently in California, where Governor Arnold Schwarzenegger called the legislature into special session to debate a package of education reforms.⁹

The DOE's efforts, however, did not only enhance the general salience of RttT policies. They also united a batch of diverse proposals under a single banner that now was closely associated with the sitting president. As a consequence, RttT injected into state deliberations about these education reforms new political considerations, as revealed by the changing Republican attitudes about the Common Core Consortium, a group charged with developing national education standards. On its merits, the Common Core combined features that were both favorable and unfavorable to conservatives: according to some, it was the logical extension of the Bush Administration's testing regime established under No Child Left Behind; and to others, nationwide standards represented an overreach of federal authority into a domain with a long tradition of local control. Before RttT, prominent Republicans such as Louisiana governor Bobby Jindal, Wisconsin governor Scott

⁵Gail Chaddock, "Obama's \$4 Billion Is Massive Incentive for School Reform." *Christian Science Monitor*. July 24, 2009.

⁶Editorial. "Continue the Race." *New York Times*. August 28, 2010.

⁷"Race to the Top itself needs some reform," *The Washington Post*. 27 August 2010. <http://www.washingtonpost.com/wp-dyn/content/article/2010/08/26/AR2010082605681.html>.

⁸Retrieved from: <http://www.edweek.org/ew/articles/2009/09/02/03stim-race.h29.html>

⁹Patrick McGuinn, "Presidential policy making: Race to the Top, Executive Power, and the Obama Education Agenda," p. 67.

Walker, and Arkansas governor Mike Huckabee spoke out in favor of Common Core. Subsequently, though, every one of them verbally revoked their support, spearheaded legislation to return to state standards, and then filed suits against the DOE for tying federal money to Common Core adoption.¹⁰ Tea Party activists — a coalition of generally diverse and decentralized political interests — similarly rallied around the Common Core as an example of excessive federal authority after it became affiliated with President Obama.¹¹ By associating Common Core with Obama, RttT may have been a contributing factor to this about-face.

¹⁰See: Ian Tuttle, “Does Scott Walker have a Common Core Problem?” accessed at <http://www.nationalreview.com/article/414399/does-scott-walker-have-common-core-problem-ian-tuttle>; Allie Gross, “How the GOP Candidates are Flailing on the Common Core,” accessed at <http://www.motherjones.com/politics/2015/06/common-core-gop-election-2016-confused#contortionartists>.

¹¹Retrieved from: https://www.washingtonpost.com/politics/tea-party-groups-rallying-against-common-core-education-overhaul/2013/05/30/64faab62-c917-11e2-9245-773c0123c027_story.html

A.2 Race to the Top Applicants, Winners, and Losers

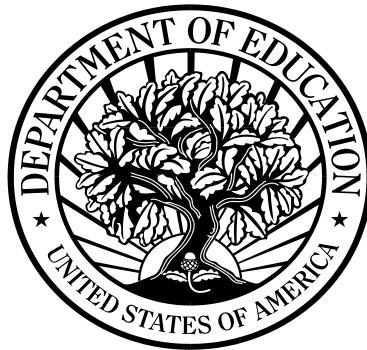
States	Phase 1 Deadline: January 19, 2010	Phase 2 Deadline: June 1, 2010	Phase 3 Deadline Part I: November 22, 2011 Deadline Part II: December 16, 2011
Alabama	Participant	Participant	Not Invited
Alaska	Non-participant	Non-participant	Not Invited
Arizona	Participant	Participant*	Invited** Award: \$25 million
Arkansas	Participant	Participant	Not Invited
California	Participant	Participant*	Invited
Colorado	Participant*	Participant*	Invited** Award: \$18 million
Connecticut	Participant	Participant	Not Invited
Delaware	Participant** Award: \$100 million	N/A	N/A
D.C.	Participant*	Participant** Award: \$75 million	N/A
Florida	Participant*	Participant** Award: \$700 million	N/A
Georgia	Participant*	Participant** Award: \$400 million	N/A
Hawaii	Participant	Participant** Award: \$75 million	N/A
Idaho	Participant	Non-participant	Not Invited
Illinois	Participant*	Participant*	Invited** Award: \$43 million
Indiana	Participant	Participant	Not Invited
Iowa	Participant	Participant	Not Invited
Kansas	Participant	Non-participant	Not Invited
Kentucky	Participant*	Participant*	Invited** Award: \$17 million
Louisiana	Participant*	Participant*	Invited** Award: \$17 million
Maine	Non-participant	Participant	Not Invited
Maryland	Non-participant	Participant** Award: \$250 million	N/A
Massachusetts	Participant*	Participant** Award: \$250 million	N/A
Michigan	Participant	Participant	Not Invited
Minnesota	Participant	Non-participant	Not Invited
Mississippi	Non-participant	Participant	Not Invited

States	Phase 1 Deadline: January 19, 2010	Phase 2 Deadline: June 1, 2010	Phase 3 Deadline Part I: November 22, 2011 Deadline Part II: December 16, 2011
Missouri	Participant	Participant	Not Invited
Montana	Non-participant	Participant	Not Invited
Nebraska	Participant	Participant	Not Invited
Nevada	Non-participant	Participant	Not Invited
New Hampshire	Participant	Participant	Not Invited
New Jersey	Participant	Participant*	Invited** Award: \$38 million
New Mexico	Participant	Participant	Not Invited
New York	Participant*	Participant** Award: \$700 million	N/A
North Carolina	Participant*	Participant** Award: \$400 million	N/A
North Dakota	Non-participant	Non-participant	Not Invited
Ohio	Participant*	Participant** Award: \$400 million	N/A
Oklahoma	Participant	Participant	Not Invited
Oregon	Participant	Non-participant	Not Invited
Pennsylvania	Participant*	Participant*	Invited** Award: \$41 million
Rhode Island	Participant*	Participant** Award: \$75 million	N/A
South Carolina	Participant*	Participant*	Invited
South Dakota	Participant	Non-participant	Not Invited
Tennessee	Participant** Award: \$500 million	N/A	N/A
Texas	Non-participant	Non-participant	Not Invited
Utah	Participant	Participant	Not Invited
Vermont	Non-participant	Non-participant	Not Invited
Virginia	Participant	Non-participant	Not Invited
Washington	Non-participant	Participant	Not Invited
West Virginia	Participant	Non-participant	Not Invited
Wisconsin	Participant	Participant	Not Invited
Wyoming	Participant	Non-participant	Not Invited

A.3 Race to the Top Executive Summary Document

Guidelines for the competition released by the DOE in November 2009.

Race to the Top Program Executive Summary



**U.S. Department of Education
Washington, D.C. 20202**

November 2009

“It's time to stop just talking about education reform and start actually doing it.
It's time to make education America's national mission.”
– President Barack Obama, November 4, 2009

BACKGROUND

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009 (ARRA), historic legislation designed to stimulate the economy, support job creation, and invest in critical sectors, including education. The ARRA lays the foundation for education reform by supporting investments in innovative strategies that are most likely to lead to improved results for students, long-term gains in school and school system capacity, and increased productivity and effectiveness.

The ARRA provides \$4.35 billion for the Race to the Top Fund, a competitive grant program designed to encourage and reward States that are creating the conditions for education innovation and reform; achieving significant improvement in student outcomes, including making substantial gains in student achievement, closing achievement gaps, improving high school graduation rates, and ensuring student preparation for success in college and careers; and implementing ambitious plans in four core education reform areas:

- Adopting standards and assessments that prepare students to succeed in college and the workplace and to compete in the global economy;
- Building data systems that measure student growth and success, and inform teachers and principals about how they can improve instruction;
- Recruiting, developing, rewarding, and retaining effective teachers and principals, especially where they are needed most; and
- Turning around our lowest-achieving schools.

Race to the Top will reward States that have demonstrated success in raising student achievement and have the best plans to accelerate their reforms in the future. These States will offer models for others to follow and will spread the best reform ideas across their States, and across the country.

KEY TIMING

The Department plans to make Race to the Top grants in two phases. States that are ready to apply now may do so in Phase 1; States that need more time may apply in Phase 2. States that apply in Phase 1 but are not awarded grants may reapply for funding in Phase 2, together with States that are applying for the first time in Phase 2. Phase 1 grantees may not apply for additional funding in Phase 2.

Notices Published:	November 2009
Technical Assistance:	
Informational Conference Calls:	November and December 2009
Technical Assistance Workshops:	December 3 in Denver, CO; December 10 in Washington, D.C.
Other Events	TBD
Applications:	
Phase 1 Applications Due:	January 19, 2010
Phase 1 Awards Announced:	April 2010
Phase 2 Applications Due:	June 1, 2010
Phase 2 Awards Announced:	September 2010

OVERVIEW OF PROGRAM AND POINTS

Selection Criteria

A. State Success Factors (125 points)

- (A)(1) Articulating State's education reform agenda and LEAs' participation in it (65 points)
- (A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans (30 points)
- (A)(3) Demonstrating significant progress in raising achievement and closing gaps (30 points)

B. Standards and Assessments (70 points)

- (B)(1) Developing and adopting common standards (40 points)
- (B)(2) Developing and implementing common, high-quality assessments (10 points)
- (B)(3) Supporting the transition to enhanced standards and high-quality assessments (20 points)

C. Data Systems to Support Instruction (47 points)

- (C)(1) Fully implementing a statewide longitudinal data system (24 points)
- (C)(2) Accessing and using State data (5 points)
- (C)(3) Using data to improve instruction (18 points)

D. Great Teachers and Leaders (138 points)

- (D)(1) Providing high-quality pathways for aspiring teachers and principals (21 points)
- (D)(2) Improving teacher and principal effectiveness based on performance (58 points)
- (D)(3) Ensuring equitable distribution of effective teachers and principals (25 points)
- (D)(4) Improving the effectiveness of teacher and principal preparation programs (14 points)
- (D)(5) Providing effective support to teachers and principals (20 points)

E. Turning Around the Lowest-Achieving Schools (50 points)

- (E)(1) Intervening in the lowest-achieving schools and LEAs (10 points)
- (E)(2) Turning around the lowest-achieving schools (40 points)

F. General Selection Criteria (55 points)

- (F)(1) Making education funding a priority (10 points)
- (F)(2) Ensuring successful conditions for high-performing charters and other innovative schools (40 points)
- (F)(3) Demonstrating other significant reform conditions (5 points)

Priorities

Priority 1: Absolute Priority – Comprehensive Approach to Education Reform

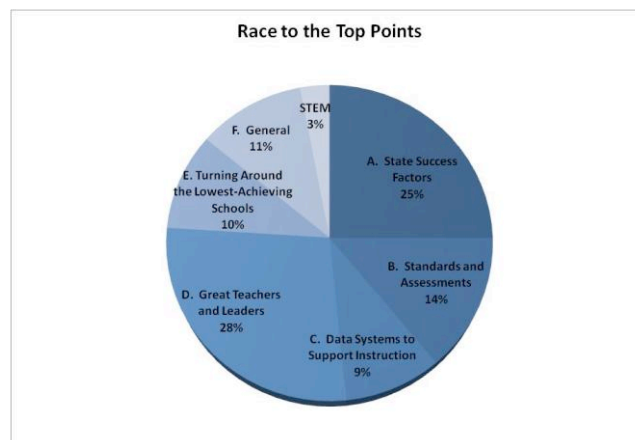
Priority 2: Competitive Preference Priority – Emphasis on Science, Technology, Engineering, and Mathematics (STEM) (15 points, all or nothing)

Priority 3: Invitational Priority – Innovations for Improving Early Learning Outcomes

Priority 4: Invitational Priority – Expansion and Adaptation of Statewide Longitudinal Data Systems

Priority 5: Invitational Priority – P-20 Coordination, Vertical and Horizontal Alignment

Priority 6: Invitational Priority – School-Level Conditions for Reform, Innovation, and Learning



ELIGIBILITY REQUIREMENTS

A State must meet the following requirements in order to be eligible to receive funds under this program.

(a) The State's applications for funding under Phase 1 and Phase 2 of the State Fiscal Stabilization Fund program must be approved by the Department prior to the State being awarded a Race to the Top grant.

(b) At the time the State submits its application, there must not be any legal, statutory, or regulatory barriers at the State level to linking data on student achievement (as defined in this notice) or student growth (as defined in this notice) to teachers and principals for the purpose of teacher and principal evaluation.

PRIORITIES

Priority 1: Absolute Priority -- Comprehensive Approach to Education Reform

To meet this priority, the State's application must comprehensively and coherently address all of the four education reform areas specified in the ARRA as well as the State Success Factors Criteria in order to demonstrate that the State and its participating LEAs are taking a systemic approach to education reform. The State must demonstrate in its application sufficient LEA participation and commitment to successfully implement and achieve the goals in its plans; and it must describe how the State, in collaboration with its participating LEAs, will use Race to the Top and other funds to increase student achievement, decrease the achievement gaps across student subgroups, and increase the rates at which students graduate from high school prepared for college and careers.

Priority 2: Competitive Preference Priority -- Emphasis on Science, Technology, Engineering, and Mathematics (STEM). (15 points, all or nothing)

To meet this priority, the State's application must have a high-quality plan to address the need to (i) offer a rigorous course of study in mathematics, the sciences, technology, and engineering; (ii) cooperate with industry experts, museums, universities, research centers, or other STEM-capable community partners to prepare and assist teachers in integrating STEM content across grades and disciplines, in promoting effective and relevant instruction, and in offering applied learning opportunities for students; and (iii) prepare more students for advanced study and careers in the sciences, technology, engineering, and mathematics, including by addressing the needs of underrepresented groups and of women and girls in the areas of science, technology, engineering, and mathematics.

Priority 3: Invitational Priority – Innovations for Improving Early Learning Outcomes.

The Secretary is particularly interested in applications that include practices, strategies, or programs to improve educational outcomes for high-need students who are young children (pre-kindergarten through third grade) by enhancing the quality of preschool programs. Of particular interest are proposals that support practices that (i) improve school readiness (including social, emotional, and cognitive); and (ii) improve the transition between preschool and kindergarten.

Priority 4: Invitational Priority – Expansion and Adaptation of Statewide Longitudinal Data Systems.

The Secretary is particularly interested in applications in which the State plans to expand statewide longitudinal data systems to include or integrate data from special education programs, English language learner programs,¹ early childhood programs, at-risk and dropout prevention programs, and school climate and culture programs, as well as information on student mobility, human resources (*i.e.*, information on teachers, principals, and other staff), school finance, student health, postsecondary education, and other

¹ The term English language learner, as used in this notice, is synonymous with the term limited English proficient, as defined in section 9101 of the ESEA.

relevant areas, with the purpose of connecting and coordinating all parts of the system to allow important questions related to policy, practice, or overall effectiveness to be asked, answered, and incorporated into effective continuous improvement practices.

The Secretary is also particularly interested in applications in which States propose working together to adapt one State's statewide longitudinal data system so that it may be used, in whole or in part, by one or more other States, rather than having each State build or continue building such systems independently.

Priority 5: Invitational Priority -- P-20 Coordination, Vertical and Horizontal Alignment.

The Secretary is particularly interested in applications in which the State plans to address how early childhood programs, K-12 schools, postsecondary institutions, workforce development organizations, and other State agencies and community partners (*e.g.*, child welfare, juvenile justice, and criminal justice agencies) will coordinate to improve all parts of the education system and create a more seamless preschool-through-graduate school (P-20) route for students. Vertical alignment across P-20 is particularly critical at each point where a transition occurs (*e.g.*, between early childhood and K-12, or between K-12 and postsecondary/careers) to ensure that students exiting one level are prepared for success, without remediation, in the next. Horizontal alignment, that is, coordination of services across schools, State agencies, and community partners, is also important in ensuring that high-need students (as defined in this notice) have access to the broad array of opportunities and services they need and that are beyond the capacity of a school itself to provide.

Priority 6: Invitational Priority -- School-Level Conditions for Reform, Innovation, and Learning.

The Secretary is particularly interested in applications in which the State's participating LEAs (as defined in this notice) seek to create the conditions for reform and innovation as well as the conditions for learning by providing schools with flexibility and autonomy in such areas as--

- (i) Selecting staff;
- (ii) Implementing new structures and formats for the school day or year that result in increased learning time (as defined in this notice);
- (iii) Controlling the school's budget;
- (iv) Awarding credit to students based on student performance instead of instructional time;
- (v) Providing comprehensive services to high-need students (as defined in this notice) (*e.g.*, by mentors and other caring adults; through local partnerships with community-based organizations, nonprofit organizations, and other providers);
- (vi) Creating school climates and cultures that remove obstacles to, and actively support, student engagement and achievement; and
- (vii) Implementing strategies to effectively engage families and communities in supporting the academic success of their students.

SELECTION CRITERIA

A. State Success Factors (125 points)

(A)(1) Articulating State's education reform agenda and LEAs' participation in it (65 points)

The extent to which—

(i) The State has set forth a comprehensive and coherent reform agenda that clearly articulates its goals for implementing reforms in the four education areas described in the ARRA and improving student outcomes statewide, establishes a clear and credible path to achieving these goals, and is consistent with the specific reform plans that the State has proposed throughout its application; (5 points)

(ii) The participating LEAs (as defined in this notice) are strongly committed to the State's plans and to effective implementation of reform in the four education areas, as evidenced by Memoranda of Understanding (MOUs) (as set forth in Appendix D)² or other binding agreements between the State and its participating LEAs (as defined in this notice) that include— (45 points)

(a) Terms and conditions that reflect strong commitment by the participating LEAs (as defined in this notice) to the State's plans;

(b) Scope-of-work descriptions that require participating LEAs (as defined in this notice) to implement all or significant portions of the State's Race to the Top plans; and

(c) Signatures from as many as possible of the LEA superintendent (or equivalent), the president of the local school board (or equivalent, if applicable), and the local teachers' union leader (if applicable) (one signature of which must be from an authorized LEA representative) demonstrating the extent of leadership support within participating LEAs (as defined in this notice); and

(iii) The LEAs that are participating in the State's Race to the Top plans (including considerations of the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty) will translate into broad statewide impact, allowing the State to reach its ambitious yet achievable goals, overall and by student subgroup, for— (15 points)

(a) Increasing student achievement in (at a minimum) reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;

(b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;

(c) Increasing high school graduation rates (as defined in this notice); and

(d) Increasing college enrollment (as defined in this notice) and increasing the number of students who complete at least a year's worth of college credit that is applicable to a degree within two years of enrollment in an institution of higher education.

(A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans (30 points)

The extent to which the State has a high-quality overall plan to—

(i) Ensure that it has the capacity required to implement its proposed plans by— (20 points)

(a) Providing strong leadership and dedicated teams to implement the statewide education reform plans the State has proposed;

(b) Supporting participating LEAs (as defined in this notice) in successfully implementing the education reform plans the State has proposed, through such activities as identifying promising practices, evaluating these practices' effectiveness, ceasing ineffective practices, widely disseminating and replicating the effective practices statewide, holding participating LEAs (as defined in this notice) accountable for progress and performance, and intervening where necessary;

(c) Providing effective and efficient operations and processes for implementing its Race to the Top grant in such areas as grant administration and oversight, budget reporting and monitoring, performance measure tracking and reporting, and fund disbursement;

² See Appendix D for more on participating LEA MOUs and for a model MOU.

(d) Using the funds for this grant, as described in the State's budget and accompanying budget narrative, to accomplish the State's plans and meet its targets, including, where feasible, by coordinating, reallocating, or repurposing education funds from other Federal, State, and local sources so that they align with the State's Race to the Top goals; and

(e) Using the fiscal, political, and human capital resources of the State to continue, after the period of funding has ended, those reforms funded under the grant for which there is evidence of success; and

(ii) Use support from a broad group of stakeholders to better implement its plans, as evidenced by the strength of statements or actions of support from— (10 points)

(a) The State's teachers and principals, which include the State's teachers' unions or statewide teacher associations; and

(b) Other critical stakeholders, such as the State's legislative leadership; charter school authorizers and State charter school membership associations (if applicable); other State and local leaders (e.g., business, community, civil rights, and education association leaders); Tribal schools; parent, student, and community organizations (e.g., parent-teacher associations, nonprofit organizations, local education foundations, and community-based organizations); and institutions of higher education.

(A)(3) Demonstrating significant progress in raising achievement and closing gaps (30 points)

The extent to which the State has demonstrated its ability to—

(i) Make progress over the past several years in each of the four education reform areas, and used its ARRA and other Federal and State funding to pursue such reforms; (5 points)

(ii) Improve student outcomes overall and by student subgroup since at least 2003, and explain the connections between the data and the actions that have contributed to— (25 points)

(a) Increasing student achievement in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA;

(b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA; and

(c) Increasing high school graduation rates.

B. Standards and Assessments (70 points)

State Reform Conditions Criteria

(B)(1) Developing and adopting common standards (40 points)

The extent to which the State has demonstrated its commitment to adopting a common set of high-quality standards, evidenced by (as set forth in Appendix B)—

(i) The State's participation in a consortium of States that— (20 points)

(a) Is working toward jointly developing and adopting a common set of K-12 standards (as defined in this notice) that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation; and

(b) Includes a significant number of States; and

(ii) (20 points)

(a) For Phase 1 applications, the State's high-quality plan demonstrating its commitment to and progress toward adopting a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State, and to implementing the standards thereafter in a well-planned way; or

(b) For Phase 2 applications, the State's adoption of a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State in a high-quality plan toward which the State has made significant progress, and its commitment to implementing the standards thereafter in a well-planned way.³

³ Phase 2 applicants addressing selection criterion (B)(1)(ii) may amend their June 1, 2010 application submission through August 2, 2010 by submitting evidence of adopting common standards after June 1, 2010.

(B)(2) Developing and implementing common, high-quality assessments (10 points)

The extent to which the State has demonstrated its commitment to improving the quality of its assessments, evidenced by (as set forth in Appendix B) the State’s participation in a consortium of States that—

- (i) Is working toward jointly developing and implementing common, high-quality assessments (as defined in this notice) aligned with the consortium’s common set of K-12 standards (as defined in this notice); and
- (ii) Includes a significant number of States.

Reform Plan Criteria

(B)(3) Supporting the transition to enhanced standards and high-quality assessments (20 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for supporting a statewide transition to and implementation of internationally benchmarked K-12 standards that build toward college and career readiness by the time of high school graduation, and high-quality assessments (as defined in this notice) tied to these standards. State or LEA activities might, for example, include: developing a rollout plan for the standards together with all of their supporting components; in cooperation with the State’s institutions of higher education, aligning high school exit criteria and college entrance requirements with the new standards and assessments; developing or acquiring, disseminating, and implementing high-quality instructional materials and assessments (including, for example, formative and interim assessments (both as defined in this notice)); developing or acquiring and delivering high-quality professional development to support the transition to new standards and assessments; and engaging in other strategies that translate the standards and information from assessments into classroom practice for all students, including high-need students (as defined in this notice).

C. Data Systems to Support Instruction (47 points)

State Reform Conditions Criteria

(C)(1) Fully implementing a statewide longitudinal data system (24 points)

The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).

Reform Plan Criteria

(C)(2) Accessing and using State data (5 points)

The extent to which the State has a high-quality plan to ensure that data from the State’s statewide longitudinal data system are accessible to, and used to inform and engage, as appropriate, key stakeholders (e.g., parents, students, teachers, principals, LEA leaders, community members, unions, researchers, and policymakers); and that the data support decision-makers in the continuous improvement of efforts in such areas as policy, instruction, operations, management, resource allocation, and overall effectiveness.⁴

(C)(3) Using data to improve instruction (18 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan to—

- (i) Increase the acquisition, adoption, and use of local instructional improvement systems (as defined in this notice) that provide teachers, principals, and administrators with the information and resources they need to inform and improve their instructional practices, decision-making, and overall effectiveness;
- (ii) Support participating LEAs (as defined in this notice) and schools that are using instructional improvement systems (as defined in this notice) in providing effective professional development to teachers,

⁴ Successful applicants that receive Race to the Top grant awards will need to comply with the Family Educational Rights and Privacy Act (FERPA), including 34 CFR Part 99, as well as State and local requirements regarding privacy.

principals, and administrators on how to use these systems and the resulting data to support continuous instructional improvement; and

(iii) Make the data from instructional improvement systems (as defined in this notice), together with statewide longitudinal data system data, available and accessible to researchers so that they have detailed information with which to evaluate the effectiveness of instructional materials, strategies, and approaches for educating different types of students (*e.g.*, students with disabilities, English language learners, students whose achievement is well below or above grade level).

D. Great Teachers and Leaders (138 points)

State Reform Conditions Criteria

(D)(1) Providing high-quality pathways for aspiring teachers and principals (21 points)

The extent to which the State has—

(i) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education;

(ii) Alternative routes to certification (as defined in this notice) that are in use; and

(iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

Reform Plan Criteria

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice)—

(i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)

(ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)

(iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)

(iv) Use these evaluations, at a minimum, to inform decisions regarding— (28 points)

(a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;

(b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;

(c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and

(d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

(D)(3) Ensuring equitable distribution of effective teachers and principals (25 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to—

(i) Ensure the equitable distribution of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that students in high-poverty and/or high-minority schools (both as defined in this notice) have equitable access to highly effective teachers and principals (both as defined in

this notice) and are not served by ineffective teachers and principals at higher rates than other students; and (15 points)

(ii) Increase the number and percentage of effective teachers (as defined in this notice) teaching hard-to-staff subjects and specialty areas including mathematics, science, and special education; teaching in language instruction educational programs (as defined under Title III of the ESEA); and teaching in other areas as identified by the State or LEA. (10 points)

Plans for (i) and (ii) may include, but are not limited to, the implementation of incentives and strategies in such areas as recruitment, compensation, teaching and learning environments, professional development, and human resources practices and processes.

(D)(4) Improving the effectiveness of teacher and principal preparation programs (14 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

(i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and

(ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

(D)(5) Providing effective support to teachers and principals (20 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for its participating LEAs (as defined in this notice) to—

(i) Provide effective, data-informed professional development, coaching, induction, and common planning and collaboration time to teachers and principals that are, where appropriate, ongoing and job-embedded. Such support might focus on, for example, gathering, analyzing, and using data; designing instructional strategies for improvement; differentiating instruction; creating school environments supportive of data-informed decisions; designing instruction to meet the specific needs of high-need students (as defined in this notice); and aligning systems and removing barriers to effective implementation of practices designed to improve student learning outcomes; and

(ii) Measure, evaluate, and continuously improve the effectiveness of those supports in order to improve student achievement (as defined in this notice).

E. Turning Around the Lowest-Achieving Schools (50 points)

State Reform Conditions Criteria

(E)(1) Intervening in the lowest-achieving schools and LEAs (10 points)

The extent to which the State has the legal, statutory, or regulatory authority to intervene directly in the State's persistently lowest-achieving schools (as defined in this notice) and in LEAs that are in improvement or corrective action status.

Reform Plan Criteria

(E)(2) Turning around the lowest-achieving schools (40 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

(i) Identify the persistently lowest-achieving schools (as defined in this notice) and, at its discretion, any non-Title I eligible secondary schools that would be considered persistently lowest-achieving schools (as defined in this notice) if they were eligible to receive Title I funds; and (5 points)

(ii) Support its LEAs in turning around these schools by implementing one of the four school intervention models (as described in Appendix C): turnaround model, restart model, school closure, or transformation model (provided that an LEA with more than nine persistently lowest-achieving schools may not use the transformation model for more than 50 percent of its schools). (35 points)

F. General (55 points)

State Reform Conditions Criteria

(F)(1) Making education funding a priority (10 points)

The extent to which—

- (i) The percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2009 was greater than or equal to the percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2008; and
- (ii) The State's policies lead to equitable funding (a) between high-need LEAs (as defined in this notice) and other LEAs, and (b) within LEAs, between high-poverty schools (as defined in this notice) and other schools.

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools (40 points)

The extent to which—

- (i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;
- (ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;
- (iii) The State's charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;
- (iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and
- (v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

(F)(3) Demonstrating other significant reform conditions (5 points)

The extent to which the State, in addition to information provided under other State Reform Conditions Criteria, has created, through law, regulation, or policy, other conditions favorable to education reform or innovation that have increased student achievement or graduation rates, narrowed achievement gaps, or resulted in other important outcomes.

DEFINITIONS

Alternative routes to certification means pathways to certification that are authorized under the State's laws or regulations, that allow the establishment and operation of teacher and administrator preparation programs in the State, and that have the following characteristics (in addition to standard features such as demonstration of subject-matter mastery, and high-quality instruction in pedagogy and in addressing the needs of all students in the classroom including English language learners and student with disabilities):

- (a) can be provided by various types of qualified providers, including both institutions of higher education and other providers operating independently from institutions of higher education;
- (b) are selective in accepting candidates;
- (c) provide supervised, school-based experiences and ongoing support such as effective

mentoring and coaching; (d) significantly limit the amount of coursework required or have options to test out of courses; and (e) upon completion, award the same level of certification that traditional preparation programs award upon completion.

College enrollment refers to the enrollment of students who graduate from high school consistent with 34 CFR 200.19(b)(1) and who enroll in an institution of higher education (as defined in section 101 of the Higher Education Act, P.L. 105-244, 20 U.S.C. 1001) within 16 months of graduation.

Common set of K-12 standards means a set of content standards that define what students must know and be able to do and that are substantially identical across all States in a consortium. A State may supplement the common standards with additional standards, provided that the additional standards do not exceed 15 percent of the State's total standards for that content area.

Effective principal means a principal whose students, overall and for each subgroup, achieve acceptable rates (*e.g.*, at least one grade level in an academic year) of student growth (as defined in this notice). States, LEAs, or schools must include multiple measures, provided that principal effectiveness is evaluated, in significant part, by student growth (as defined in this notice). Supplemental measures may include, for example, high school graduation rates and college enrollment rates, as well as evidence of providing supportive teaching and learning conditions, strong instructional leadership, and positive family and community engagement.

Effective teacher means a teacher whose students achieve acceptable rates (*e.g.*, at least one grade level in an academic year) of student growth (as defined in this notice). States, LEAs, or schools must include multiple measures, provided that teacher effectiveness is evaluated, in significant part, by student growth (as defined in this notice). Supplemental measures may include, for example, multiple observation-based assessments of teacher performance.

Formative assessment means assessment questions, tools, and processes that are embedded in instruction and are used by teachers and students to provide timely feedback for purposes of adjusting instruction to improve learning.

Graduation rate means the four-year or extended-year adjusted cohort graduation rate as defined by 34 CFR 200.19(b)(1).

Highly effective principal means a principal whose students, overall and for each subgroup, achieve high rates (*e.g.*, one and one-half grade levels in an academic year) of student growth (as defined in this notice). States, LEAs, or schools must include multiple measures, provided that principal effectiveness is evaluated, in significant part, by student growth (as defined in this notice). Supplemental measures may include, for example, high school graduation rates; college enrollment rates; evidence of providing supportive teaching and learning conditions, strong instructional leadership, and positive family and community engagement; or evidence of attracting, developing, and retaining high numbers of effective teachers.

Highly effective teacher means a teacher whose students achieve high rates (*e.g.*, one and one-half grade levels in an academic year) of student growth (as defined in this notice). States, LEAs, or schools must include multiple measures, provided that teacher effectiveness is evaluated, in significant part, by student growth (as defined in this notice). Supplemental measures may include, for example, multiple observation-based assessments of teacher performance or evidence of leadership roles (which may include mentoring or leading professional learning communities) that increase the effectiveness of other teachers in the school or LEA.

High-minority school is defined by the State in a manner consistent with its Teacher Equity Plan. The State should provide, in its Race to the Top application, the definition used.

High-need LEA means an LEA (a) that serves not fewer than 10,000 children from families with incomes below the poverty line; or (b) for which not less than 20 percent of the children served by the LEA are from families with incomes below the poverty line.

High-need students means students at risk of educational failure or otherwise in need of special assistance and support, such as students who are living in poverty, who attend high-minority schools (as defined in this notice), who are far below grade level, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a diploma on time, who are homeless, who are in foster care, who have been incarcerated, who have disabilities, or who are English language learners.

High-performing charter school means a charter school that has been in operation for at least three consecutive years and has demonstrated overall success, including (a) substantial progress in improving student achievement (as defined in this notice); and (b) the management and leadership necessary to overcome initial start-up problems and establish a thriving, financially viable charter school.

High-poverty school means, consistent with section 1111(h)(1)(C)(viii) of the ESEA, a school in the highest quartile of schools in the State with respect to poverty level, using a measure of poverty determined by the State.

High-quality assessment means an assessment designed to measure a student's knowledge, understanding of, and ability to apply, critical concepts through the use of a variety of item types and formats (*e.g.*, open-ended responses, performance-based tasks). Such assessments should enable measurement of student achievement (as defined in this notice) and student growth (as defined in this notice); be of high technical quality (*e.g.*, be valid, reliable, fair, and aligned to standards); incorporate technology where appropriate; include the assessment of students with disabilities and English language learners; and to the extent feasible, use universal design principles (as defined in section 3 of the Assistive Technology Act of 1998, as amended, 29 U.S.C. 3002) in development and administration.

Increased learning time means using a longer school day, week, or year schedule to significantly increase the total number of school hours to include additional time for (a) instruction in core academic subjects, including English; reading or language arts; mathematics; science; foreign languages; civics and government; economics; arts; history; and geography; (b) instruction in other subjects and enrichment activities that contribute to a well-rounded education, including, for example, physical education, service learning, and experiential and work-based learning opportunities that are provided by partnering, as appropriate, with other organizations; and (c) teachers to collaborate, plan, and engage in professional development within and across grades and subjects.⁵

Innovative, autonomous public schools means open enrollment public schools that, in return for increased accountability for student achievement (as defined in this notice), have the flexibility and authority to define their instructional models and associated curriculum; select and replace staff; implement new structures and formats for the school day or year; and control their budgets.

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

Interim assessment means an assessment that is given at regular and specified intervals throughout the school year, is designed to evaluate students' knowledge and skills relative to a specific set of academic

⁵ Research supports the effectiveness of well-designed programs that expand learning time by a minimum of 300 hours per school year. (See Frazier, Julie A.; Morrison, Frederick J. "The Influence of Extended-year Schooling on Growth of Achievement and Perceived Competence in Early Elementary School." *Child Development*. Vol. 69 (2), April 1998, pp.495-497 and research done by Mass2020.) Extending learning into before- and after-school hours can be difficult to implement effectively, but is permissible under this definition with encouragement to closely integrate and coordinate academic work between in-school and out-of school. (See James-Burdumy, Susanne; Dynarski, Mark; Deke, John. "When Elementary Schools Stay Open Late: Results from The National Evaluation of the 21st Century Community Learning Centers Program." <http://www.mathematica-mpr.com/publications/redirect_PubsDB.asp?strSite=http://epa.sagepub.com/cgi/content/abstract/29/4/296> Educational Evaluation and Policy Analysis, Vol. 29 (4), December 2007, Document No. PP07-121.)

standards, and produces results that can be aggregated (*e.g.*, by course, grade level, school, or LEA) in order to inform teachers and administrators at the student, classroom, school, and LEA levels.

Involvement LEAs means LEAs that choose to work with the State to implement those specific portions of the State's plan that necessitate full or nearly-full statewide implementation, such as transitioning to a common set of K-12 standards (as defined in this notice). Involved LEAs do not receive a share of the 50 percent of a State's grant award that it must subgrant to LEAs in accordance with section 14006(c) of the ARRA, but States may provide other funding to involved LEAs under the State's Race to the Top grant in a manner that is consistent with the State's application.

Low-minority school is defined by the State in a manner consistent with its Teacher Equity Plan. The State should provide, in its Race to the Top application, the definition used.

Low-poverty school means, consistent with section 1111(h)(1)(C)(viii) of the ESEA, a school in the lowest quartile of schools in the State with respect to poverty level, using a measure of poverty determined by the State.

Participating LEAs means LEAs that choose to work with the State to implement all or significant portions of the State's Race to the Top plan, as specified in each LEA's agreement with the State. Each participating LEA that receives funding under Title I, Part A will receive a share of the 50 percent of a State's grant award that the State must subgrant to LEAs, based on the LEA's relative share of Title I, Part A allocations in the most recent year, in accordance with section 14006(c) of the ARRA. Any participating LEA that does not receive funding under Title I, Part A (as well as one that does) may receive funding from the State's other 50 percent of the grant award, in accordance with the State's plan.

Persistently lowest-achieving schools means, as determined by the State: (i) Any Title I school in improvement, corrective action, or restructuring that (a) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or (b) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and (ii) Any secondary school that is eligible for, but does not receive, Title I funds that (a) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or (b) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

To identify the lowest-achieving schools, a State must take into account both (i) The academic achievement of the "all students" group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and (ii) The school's lack of progress on those assessments over a number of years in the "all students" group.

Rapid-time, in reference to reporting and availability of locally-collected school- and LEA-level data, means that data are available quickly enough to inform current lessons, instruction, and related supports.

Student achievement means—

(a) For tested grades and subjects: (1) a student's score on the State's assessments under the ESEA; and, as appropriate, (2) other measures of student learning, such as those described in paragraph (b) of this definition, provided they are rigorous and comparable across classrooms.

(b) For non-tested grades and subjects: alternative measures of student learning and performance such as student scores on pre-tests and end-of-course tests; student performance on English language proficiency assessments; and other measures of student achievement that are rigorous and comparable across classrooms.

Student growth means the change in student achievement (as defined in this notice) for an individual student between two or more points in time. A State may also include other measures that are rigorous and comparable across classrooms.

Total revenues available to the State means either (a) projected or actual total State revenues for education and other purposes for the relevant year; or (b) projected or actual total State appropriations for education and other purposes for the relevant year.

America COMPETES Act elements means (as specified in section 6401(e)(2)(D) of that Act): (1) a unique statewide student identifier that does not permit a student to be individually identified by users of the

system; (2) student-level enrollment, demographic, and program participation information; (3) student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P-16 education programs; (4) the capacity to communicate with higher education data systems; (5) a State data audit system assessing data quality, validity, and reliability; (6) yearly test records of individual students with respect to assessments under section 1111(b) of the ESEA (20 U.S.C. 6311(b)); (7) information on students not tested by grade and subject; (8) a teacher identifier system with the ability to match teachers to students; (9) student-level transcript information, including information on courses completed and grades earned; (10) student-level college readiness test scores; (11) information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework; and (12) other information determined necessary to address alignment and adequate preparation for success in postsecondary education.

B Data Collection

Contents

B.1 State Application Coding Values	26
B.2 Legislative History Coding Values	26
B.3 Application Breakdown	26
B.4 Codebook Key	28
B.5 Variable-Specific Coding Guidance	28
B.6 Sources for Legislative History Coding	52

To code the state applications, copies of each state’s RttT application in each year for which it applied were downloaded from the DOE website in October 2013. Only the information contained in each state’s application and associated appendices was used to complete coding (media reports, inter/intra state or state-federal communication, reviewer comments, or other documents available on the DOE website were not consulted). We coded only application requirements that were clearly defined and could be tracked objectively. For example, sections awarding points for the overall comprehensiveness of states’ applications or the merits of states’ specific application promises were not coded.

To code the state legislative histories, we started by using two general sources: the state’s application (for many variables, states explicitly cited the state legislation that satisfied the variable requirements), or a secondary source such as a report written by an organization tracking states’ progress on a specific policy over time (e.g., reports from the National Alliance for Public Charter Schools, Center for Education Reform, Education Counts, etc.). Where necessary, media reports on state legislation were used to fill in gaps. Finally, we used the online state databases and/or the LexisNexis Academic database to confirm that the text of the legislation met the requirements for the variable definition and when the legislation was passed.

B.1 State Application Coding Values

For each state application, each variable was assigned a value of 1 if the application met the requirement(s) as stated and 0 otherwise. Each variable was coded for the past, meaning the policy described by the variable was already in place, as clearly stated in the application, as well as future, meaning the application makes a commitment to put the policy in place if the state has not yet done so. If a state already had a policy in place and made no mention of discontinuing it, it was automatically assigned a value of 1 for the future.

Plans were not judged on their quality or detail, other than whether they met the requirement as stated. For example, some plans sounded dubious, but if it was noted in the application that the plan or policy met the stated criteria, it was awarded a 1. The coders could not objectively judge whether the policies were likely to succeed in their intended missions. In addition, if states did not provide many details about a policy but the application stated that it met the criteria, we assumed the application to be honest and the variable was given a 1. However, if a state’s application did provide details and the policy clearly did not meet the criteria, they were given a 0. We did not seek out and verify specific state statutes until the legislative history coding phase.

B.2 Legislative History Coding Values

Each variable was assigned a value of 1 if the policy was in place in the state by December 31st in a given year, and 0 if it was not in place in the state, was only in place in a limited form (such as a pilot program), or was in place in some areas (such as individual schools or districts) but not statewide.

For each variable, it was noted when the statute enacting the policy was passed (“statute date”) and the date the policy went into effect (“effective date”). The latter was only applicable when the statute explicitly stated that the policy would go into effect in a year other than the year in which the statute was passed.

B.3 Application Breakdown

The application was broken down into the smallest component parts for which the application awarded points. Some subparts were assigned their own points, and sometimes points were specified

for sections as a whole. For example, for requirement A3, subpart (i) and subpart (ii) were broken down into two different variables:

(A)(3) Demonstrating significant progress in raising achievement and closing gaps (30 points)

The extent to which the State has demonstrated its ability to –

- (i) Make progress over the past several years in each of the four education reform areas, and used its ARRA and other Federal and State funding to pursue such reforms (5 points)
- (ii) Improve student outcomes overall and by student subgroup since at least 2003, and explain the connections between the data and the actions that have contributed to – (25 points)
 - (a) Increasing student achievement in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA
 - (b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA and
 - (c) Increasing high school graduation rates.

However, the entirety of requirement B2 was coded as only one variable:

(B)(2) Developing and implementing common, high-quality assessments (10 points)

The extent to which the State has demonstrated its commitment to improving the quality of its assessments, evidenced by (as set forth in Appendix B) the State’s participation in a consortium of States that –

- (i) Is working toward jointly developing and implementing common, high-quality assessments (as defined in this notice) aligned with the consortium’s common set of K-12 standards (as defined in this notice) and
- (ii) Includes a significant number of States.

In some cases, a requirement was broken down further than its point components, to better facilitate coding. For example, requirement D1 was broken into two variables – one to track parts (i) and (ii), because both have to do with routes to certification, and one to track part (iii), which is a separate policy issue. Yet it is important to note that RttT graders considered all parts together when awarding points, as indicated in the guidance:

(D)(1) Providing high-quality pathways for aspiring teachers and principals (21 points)

The extent to which the State has –

- (i) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education
- (ii) Alternative routes to certification (as defined in this notice) that are in use and
- (iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

B.4 Codebook Key

The codebook that follows contains the following information:

Variable Name

Name of variable we used to track this application section for coding.

Application Section

The portion of the official RttT application that corresponds to this variable, in its original language.

Italicized text represents the portion of the section relevant for this variable's coding, if different from entire section (some sections were broken down into more than one variable; portions of some sections were not coded because they were too subjective or difficult to track).

Working Definition for Coding

Our translation of the official RttT language into more easily trackable parcels.

Notes

Any interpretations or changes made by researcher when completing the coding. Also, any aspects of the variable definition or coding rules that differ between state application coding and state legislative history coding.

Sources for Legislative Coding

The sources used to verify state policies for coding states' legislative histories.

B.5 Variable-Specific Coding Guidance

Application Category B: Standards and Assessments

1. **Variable Name:** standards_consortium

Application Section

(B)(1) Developing and adopting common standards (40 points)

The extent to which the State has demonstrated its commitment to adopting a common set of high- quality standards, evidenced by (as set forth in Appendix B) –

- (i) *The State's participation in a consortium of States that – (20 points)*
 - (a) *Is working toward jointly developing and adopting a common set of K-12 standards (as defined in this notice) that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation; and*
 - (b) *Includes a significant number of States;*
- (ii) (20 points)
 - (a) For Phase 1 applications, the State's high-quality plan demonstrating its commitment to and progress toward adopting a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State, and to implementing the standards thereafter in a well-planned way; or

- (b) For Phase 2 applications, the State’s adoption of a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State in a high-quality plan toward which the State has made significant progress, and its commitment to implementing the standards thereafter in a well-planned way.

Working Definition for Coding

Is the state a member of a consortium of states (that is) working to develop common; college- and career-ready; internationally-benchmarked K-12 standards (three separate subparts)?

Notes

Due to difficulties in defining this objectively, group decided that the only acceptable consortium for a state to earn a 1 is the Common Core.

2. **Variable Name:** standards_adopt

Application Section

(B)(1) Developing and adopting common standards (40 points)

The extent to which the State has demonstrated its commitment to adopting a common set of high- quality standards, evidenced by (as set forth in Appendix B) –

- (i) The State’s participation in a consortium of States that – (20 points)
 - (a) Is working toward jointly developing and adopting a common set of K-12 standards (as defined in this notice) that are supported by evidence that they are internationally benchmarked and build toward college and career readiness by the time of high school graduation; and
 - (b) Includes a significant number of States;
- (ii) (20 points)
 - (a) *For Phase 1 applications, the State’s high-quality plan demonstrating its commitment to and progress toward adopting a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State, and to implementing the standards thereafter in a well-planned way; or*
 - (b) *For Phase 2 applications, the State’s adoption of a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State in a high-quality plan toward which the State has made significant progress, and its commitment to implementing the standards thereafter in a well-planned way.*

Phase 2 applicants addressing selection criterion (B)(1)(ii) may amend their June 1, 2010 application submission through August 2, 2010 by submitting evidence of adopting common standards after June 1, 2010.

Working Definition for Coding

Will the state have adopted common K-12 standards by 2010?

Notes

We define “consortium” to mean the Common Core, as that is the only active consortium to meet the standards put forth in the application at the time.

3. **Variable Name:** common_assessments

Application Section

(B)(2) Developing and implementing common, high-quality assessments (10 points)

The extent to which the State has demonstrated its commitment to improving the quality of its assessments, evidenced by (as set forth in Appendix B) the State's participation in a consortium of States that –

- (ii) Is working toward jointly developing and implementing common, high-quality assessments (as defined in this notice) aligned with the consortium's common set of K-12 standards (as defined in this notice); and
- (iii) Includes a significant number of States.

Working Definition for Coding

Is the state a member of a consortium working to develop assessments aligned with a common set of K-12 standards?

Notes

Until 2010, we only count membership in ADP. From 2010 on, we only count membership in SMARTER and PARCC.

Application Category C: Data Systems to Support Instruction

4. Variable Name: long_data

Application Section

(C)(1) Fully implementing a statewide longitudinal data system (24 points)

The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).

Working Definition for Coding

Does the state have a longitudinal data system that meets the following requirements (from the America COMPETES Act):

1. A unique identifier for every student that does not permit a student to be individually identified (except as permitted by federal and state law);
2. The school enrollment history, demographic characteristics, and program participation record of every student;
3. Information on when a student enrolls, transfers, drops out, or graduates from a school;
4. Students scores on tests required by the Elementary and Secondary Education Act;
5. Information on students who are not tested, by grade and subject;
6. Students scores on tests measuring whether they're ready for college;
7. A way to identify teachers and to match teachers to their students;
8. Information from students' transcripts, specifically courses taken and grades earned;
9. Data on students' success in college, including whether they enrolled in remedial courses;
10. Data on whether K-12 students are prepared to succeed in college;
11. A system of auditing data for quality, validity, and reliability; and
12. The ability to share data from preschool through postsecondary education data systems.

Notes

Variable not coded for legislative histories. For Race to the Top application coding, variable received a 1 if state had all twelve elements of America COMPETES Act and received a 0 otherwise. However, variables related to particular subsets of the America COMPETES Act were coded. Please see variables data1 and data8 below for further description.

5. Variable Name: data1**Application Section**

(C)(1) Fully implementing a statewide longitudinal data system (24 points)

The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).

Working Definition for Coding

Does the state have a longitudinal data system that includes a unique identifier for every student (except as permitted by federal and state law)?

Notes

This variable corresponds to the first element of the America COMPETES Act in state applications for Race to the Top. States were given a 1 if they had a unique identifier for every student K-12, omitting higher education or workforce due to ambiguity in the application definition. In addition, those states that had only voluntary systems were coded as 0 in application coding. Finally, those states that did not yet have unique student identifiers but instead had unique teacher identifiers were coded as a 0 in application coding.

6. Variable Name: data8**Application Section**

(C)(1) Fully implementing a statewide longitudinal data system (24 points)

The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).

Working Definition for Coding

Does the state have a longitudinal data system that meets the following requirements (from the America COMPETES Act): A way to identify teachers and to match teachers to their students?

Notes

This variable corresponds to the eighth element of the America COMPETES Act in state applications for Race to the Top. To dispel any confusion, this is identical to element 7 as outlined under the Race to the Top variable guidance for the America COMPETES Act. For the sake of consistency we chose to use the numbering as used by states in their applications. This variable was coded for only K-12, omitting higher education and workforce.

7. Variable Name: data_instruction**Application Section**

(C)(3) Using data to improve instruction (18 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan to –

- (i) Increase the acquisition, adoption, and use of local instructional improvement systems (as defined in this notice) that provide teachers, principals, and administrators with the

- information and resources they need to inform and improve their instructional practices, decision-making, and overall effectiveness;
- (ii) Support participating LEAs (as defined in this notice) and schools that are using instructional improvement systems (as defined in this notice) in providing effective professional development to teachers, principals, and administrators on how to use these systems and the resulting data to support continuous instructional improvement; and
 - (iii) Make the data from instructional improvement systems (as defined in this notice), together with statewide longitudinal data system data, available and accessible to researchers so that they have detailed information with which to evaluate the effectiveness of instructional materials, strategies, and approaches for educating different types of students (e.g., students with disabilities, English language learners, students whose achievement is well below or above grade level).

Working Definition for Coding Will the state make data from instructional improvement systems AND statewide longitudinal data systems available to researchers? (see GLOSSARY for specific definition of “instructional improvement system”)

Notes

Variable not coded for legislative histories.

Application Category D: Great Teachers and Leaders

8. **Variable Name:** pathways_routes

Application Section

(D)(1) Providing high-quality pathways for aspiring teachers and principals (21 points)

The extent to which the State has –

- (i) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education;
- (ii) Alternative routes to certification (as defined in this notice) that are in use; and
- (iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

Working Definition for Coding Does the state legally allows and currently use alternative routes to teacher certification?

Notes

In the Race to the Top guidance, alternative routes to certification are defined as having five criteria:

- a. Can be provided by various types of qualified providers, including both institutions of higher education and other providers operating independently from institutions of higher education;
- b. Are selective in accepting candidates;
- c. Provide supervised, school-based experiences and ongoing support such as effective mentoring and coaching;
- d. Significantly limit the amount of coursework required or have options to test out of courses; and

- e. Upon completion, award the same level of certification that traditional preparation programs award upon completion.

States were inconsistent in whether they addressed the above criteria in the applications. If they addressed them, we assessed whether they met the criteria (some states said that they did not meet the criteria). If the state said they had alternative routes and did not address the criteria, then they were assumed to meet them and received a 1.

For the purposes of state legislative history coding, this variable has been split into three of the five criteria for alternative pathways under RttT. The other two were too hard to interpret objectively.

pathways_1.1 – Diversity of Providers: Whether the state allows programs that are not part of an institution of higher education.

pathways_1.2 – Selective: Received a 1 if the state has a GPA threshold for ALL alternative pathways.

pathways_1.3 – Mentoring and Coaching: Whether the state requires mentoring for ALL alternative pathways.

9. **Variable Name:** pathways_monitor

Application Section

(D)(1) Providing high-quality pathways for aspiring teachers and principals (21 points)

The extent to which the State has –

- (i) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education;
- (ii) Alternative routes to certification (as defined in this notice) that are in use; and
- (iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

Working Definition for Coding

Does the state have a process for identifying areas of teacher and principal shortage and preparing teachers and principals to fill those areas?

Notes

Variable not coded for legislative histories.

10. **Variable Name:** measure_growth

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) *Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)*
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant

- factor, and (b) are designed and developed with teacher and principal involvement; (15 points)
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
 - (iv) Use these evaluations, at a minimum, to inform decisions regarding – (28 points)
 - (a) Developing teachers and principals, including by providing relevant coaching, instruction support, and/or professional development;
 - (b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
 - (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and
 - (d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

Working Definition for Coding

Does the state have a system to measure student growth (defined as changes in student achievement between two or more points in time) for each individual student?

Notes

Rather than looking for a commitment by a state to use a specific type of system to measure student growth (i.e. value-added, vertical scale model, student percentile model), assessed whether a state had a clear and defined system or plan in place to measure student growth as defined in the RttT Glossary.

11. Variable Name: eval_system1

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) *Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)*
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
- (iv) Use these evaluations, at a minimum, to inform decisions regarding – (28 points)

- (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
- (b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
- (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and
- (d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

Working Definition for Coding

Does the application outline an educator evaluation system to use multiple (three or more) rating categories to differentiate effectiveness for teachers AND principals?

Notes

Defined “multiple rating categories” as 3 or more for the coding of this variable. Rating systems with only dichotomous scales of educator effectiveness such as “effective” and “ineffective” were coded as a 0.

In RttT applications, nearly zero states mentioned whether they had a previous rating system unless the system already had multiple (3+) measures of effectiveness. In addition, from RttT literature and NCTQ reports there appears to be a significant push to have rating systems that are informative about teacher effectiveness, which requires more than a simple binary effectiveness scale.

Note that part b was not included in this variable.

12. Variable Name: eval_system2

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) *Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)*
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
- (iv) Use these evaluations, at a minimum, to inform decisions regarding – (28 points)
 - (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;

- (b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
- (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and
- (d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

Working Definition for Coding

Does the application outline an educator evaluation system that takes into account student growth data for teachers AND principals?

Notes

As long as a state explicitly required teacher and principal evaluations to include student growth data, this variable was coded as a 1. A commitment by states to use student growth data to inform teacher or principal evaluations did not factor into the coding of this variable.

13. **Variable Name:** annual_evals1

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)
- (iii) *Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)*
- (iv) Use these evaluations, at a minimum, to inform decisions regarding – (28 points)
 - (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
 - (b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
 - (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and

- (d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

Working Definition for Coding

Does the state conduct annual evaluations of teachers AND principals?

Notes

The application must specifically state that evaluations will occur annually for both groups of teachers and principals. States that allowed exceptions for high performing teachers and principals (i.e. evaluated only every other year if rated “highly effective”) or states that only evaluated non-veteran teachers annually were coded as 0 for this variable.

14. **Variable Name:** use_evals1

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
- (iv) *Use these evaluations, at a minimum, to inform decisions regarding – (28 points)*
 - (a) *Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;*
 - (b) *Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;*
 - (c) *Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and*
 - (d) *Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.*

Working Definition for Coding

Are annual evaluations used to make decisions on professional development/support for teachers and principals?

Notes

Evaluations must be explicitly used to inform professional development or support of teachers and principals.

15. Variable Name: use_evals2

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
- (iv) *Use these evaluations, at a minimum, to inform decisions regarding – (28 points)*
 - (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
 - (b) *Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;*
 - (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and
 - (d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

Working Definition for Coding

Are annual evaluations used to make decisions on compensation for teacher and principals?

Notes

This variable originally read: “Are annual evaluations used to make decisions on compensation, promotion and retention of teacher and principals?” For legislative tracking, promotion and retention were eliminated due difficulty finding reliable resources. Instead, states were evaluated on whether they had pay-for-performance programs or other compensation systems that were informed by teacher and principal evaluation systems.

16. Variable Name: use_evals3

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
- (iv) *Use these evaluations, at a minimum, to inform decisions regarding – (28 points)*
 - (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
 - (b) *Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;*
 - (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and
 - (d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

Working Definition for Coding

Are annual evaluations used to make decisions on providing opportunities for highly effective teachers to gain additional responsibilities?

Notes

“Additional responsibilities” was defined narrowly: whether highly effective teachers were given roles as mentor teachers, master teachers or consulting teachers.

17. Variable Name: use_evals4

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant

- factor, and (b) are designed and developed with teacher and principal involvement; (15 points)
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
 - (iv) *Use these evaluations, at a minimum, to inform decisions regarding – (28 points)*
 - (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
 - (b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
 - (c) *Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and*
 - (d) Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

Working Definition for Coding

Are annual evaluations used to make tenure decisions for teachers?

Notes

If a state removed tenure or did not previously allow tenure for teachers, the variable was assigned a value of 1. Infrequently, states used different terminology for tenure (i.e. probationary or non-probationary teachers); such cases were evaluated individually. Principal tenure was ignored, as most states did not have existing or proposed tenure systems for principals.

18. **Variable Name:** use_evals5

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
- (iv) *Use these evaluations, at a minimum, to inform decisions regarding – (28 points)*

- (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
- (b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
- (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and
- (d) *Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.*

Working Definition for Coding

Are annual evaluations used to make decisions on removal of ineffective teachers and principals?

Notes

States were evaluated based on whether evaluations were used to remove ineffective educators, not on having a policy in place that allowed teachers or principals to be terminated.

19. **Variable Name:** use_evals6

Application Section

(D)(2) Improving teacher and principal effectiveness based on performance (58 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice) –

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; (5 points)
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; (15 points)
- (iii) Conduct annual evaluations of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; and (10 points)
- (iv) *Use these evaluations, at a minimum, to inform decisions regarding – (28 points)*
 - (a) Developing teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
 - (b) Compensating, promoting, and retaining teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
 - (c) Whether to grant tenure and/or full certification (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and

- (d) *Removing ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.*

Working Definition for Coding

Are annual evaluations used to make decisions on removal only after ample opportunity to improve?

Notes

This variable was coded for legislative histories only. States were assessed on whether they provided instructional improvement plans informed by evaluations for teachers and principals that are rated as consistently low performing or ineffective before removal is considered.

20. **Variable Name:** equitable_dist

Application Section

(D)(3) Ensuring equitable distribution of effective teachers and principals (25 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to—

- (i) *Ensure the equitable distribution of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that students in high-poverty and/or high-minority schools (both as defined in this notice) have equitable access to highly effective teachers and principals (both as defined in this notice) and are not served by ineffective teachers and principals at higher rates than other students; (15 points)*
- (ii) Increase the number and percentage of effective teachers (as defined in this notice) teaching hard-to-staff subjects and specialty areas including mathematics, science, and special education; teaching in language instruction educational programs (as defined under Title III of the ESEA); and teaching in other areas as identified by the State or LEA. (10 points)

Plans for (i) and (ii) may include, but are not limited to, the implementation of incentives and strategies in such areas as recruitment, compensation, teaching and learning environments, professional development, and human resources practices and processes.

Working Definition for Coding

Does the state have a plan to ensure that students in high-poverty schools have equitable access to highly-effective teachers AND principals? And does the state have a plan to ensure students in high-minority schools have equitable access to highly-effective teachers AND principals?

Notes

Application must mention that teachers are effective. Plan can be targeted to high-minority OR high-poverty schools. Simply recruiting new teachers with high credentials was not sufficient. Simply tracking teachers effectiveness was not sufficient; states needed a concrete plan to address distribution. Variable not coded for legislative histories.

21. **Variable Name:** target_placement

Application Section

(D)(3) Ensuring equitable distribution of effective teachers and principals (25 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to —

- (i) Ensure the equitable distribution of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that students in high-poverty and/or high-minority schools (both as defined in this notice) have equitable access to highly effective teachers and principals (both as defined in this notice) and are not served by ineffective teachers and principals at higher rates than other students; (15 points)
- (ii) *Increase the number and percentage of effective teachers (as defined in this notice) teaching hard-to-staff subjects and specialty areas including mathematics, science, and special education; teaching in language instruction educational programs (as defined under Title III of the ESEA); and teaching in other areas as identified by the State or LEA. (10 points)*

Plans for (i) and (ii) may include, but are not limited to, the implementation of incentives and strategies in such areas as recruitment, compensation, teaching and learning environments, professional development, and human resources practices and processes.

Working Definition for Coding

Does the state have a plan to increase both the number of effective teachers in STEM areas, special education, language instruction, and other areas as defined by the state?

Notes

Applications were not required to satisfy the percentage component, as it became difficult for coders to determine how a plan that only mentioned numbers would affect the percentage of effective teachers when it was not explicitly discussed. See Glossary for definition of “effective teachers.” Variable not coded for legislative histories.

22. **Variable Name:** prep_program

Application Section

(D)(4) Improving the effectiveness of teacher and principal preparation programs (14 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to –

- (i) Link student achievement and student growth (both as defined in this notice) data to the students’ teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- (ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

Working Definition for Coding

Does the state have a plan to link student achievement data AND student growth data to individual teachers? ... and to link that information to the teachers’ credentialing program?... and to publicly report that data for each credentialing program in the state? And does the state have a plan to expand the most effective credentialing programs?

Notes

State must not only show linkages between these programs, but demonstrate that it is using those data linkages to make decisions about which programs to expand.

This variable was split into four parts for the purposes of legislative coding: prep_1 – Does the state link student achievement data and student growth data to individual teachers?

prep_2 – Does the state link student achievement and growth data to the teachers’ credentialing program?

prep_3 – Does the state publicly report that data for each credentialing program in the state?

prep_4 – Does the state have a plan to expand the most effective credentialing programs?

These variables are not independent – that is, if a state does not link achievement data and student growth data to individual teachers and principals, then it cannot satisfy the other three. Or, if a state does not link the information to credentialing programs, it cannot satisfy the other two.

23. **Variable Name:** prof_dev

Application Section

(D)(5) Providing effective support to teachers and principals (20 points)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for its participating LEAs (as defined in this notice) to –

- (i) *Provide effective, data-informed professional development, coaching, induction, and common planning and collaboration time to teachers and principals that are, where appropriate, ongoing and job-embedded.* Such support might focus on, for example, gathering, analyzing, and using data; designing instructional strategies for improvement; differentiating instruction; creating school environments supportive of data-informed decisions; designing instruction to meet the specific needs of high-need students (as defined in this notice); and aligning systems and removing barriers to effective implementation of practices designed to improve student learning outcomes; and
- (ii) *Measure, evaluate, and continuously improve the effectiveness of those supports in order to improve student achievement (as defined in this notice).*

Working Definition for Coding

Does the state have a policy to provide professional development AND coaching AND induction AND collaboration/planning time for teachers AND principals that is data-informed? Does the state have a plan to provide data-informed collaboration time for teachers and principals? And does the state have a strategy to measure and improve the above plans?

Notes

State must meet all four criteria for teachers, but must mention providing only professional development and coaching for principals. Variable not coded for legislative histories.

Application Category E: Turning Around Lowest-Achieving Schools

24. **Variable Name:** lowachieve_intervene

Application Section

(E)(1) Intervening in the lowest-achieving schools and LEAs (10 points)

The extent to which the State has the legal, statutory, or regulatory authority to intervene directly in the State’s persistently lowest-achieving schools (as defined in this notice) and in LEAs that are in improvement or corrective action status.

Working Definition for Coding

Does the state have the authority to intervene directly in the lowest-achieving schools? And does the state have the authority to intervene in LEAs that are in either “improvement” or “corrective action” status?

Notes

The definition of “persistently low achieving” includes “improvement or corrective action status”, so if a state’s application only mentioned the authority to intervene in LEAs and schools that are persistently low achieving, then the state was assigned a 1. It was not necessary to say explicitly that the state can intervene in LEAs that are in “improvement and corrective action status.”

The application had to mention the ability to intervene in both LEAs and schools, specifically “persistently low achieving” schools and in LEAs that are in improvement or corrective action status.

States discussing “persistently lowest-achieving schools” had to note that their definition was either the same as or inclusive of the RttT definition, or say nothing but use the precise term. If they had their own definition and did not mention that it was more expansive than the RttT definition, it was not counted, as it was too time-consuming for coders to read through states’ unique definitions to assess whether they matched RttT’s.

“Intervene” was understood to mean compelling schools to enact changes in the spirit of a turnaround model. For legislative history coding, the definition of “persistently lowest-achieving schools” was simplified to mean either being among the lowest 5% schools in improvement or corrective status as defined by AYP or having a high school graduation rate lower than 60%. The ability to intervene in schools that are in need of improvement satisfied the definition, as persistently lowest-achieving schools are a subset of those schools. Similarly, the ability to intervene after two years of failing to meet AYP met the criteria.

25. Variable Name: turnaround

Application Section

(E)(2) Turning around the lowest-achieving schools (40 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to –

- (i) Identify the persistently lowest-achieving schools (as defined in this notice) and, at its discretion, any non-Title I eligible secondary schools that would be considered persistently lowest-achieving schools (as defined in this notice) if they were eligible to receive Title I funds; (5 points)
- (ii) *Support its LEAs in turning around these schools by implementing one of the four school intervention models (as described in Appendix C): turnaround model, restart model, school closure, or transformation model (provided that an LEA with more than nine persistently lowest-achieving schools may not use the transformation model for more than 50 percent of its schools). (35 points)*

Working Definition for Coding

Does the state have a plan to turn around its lowest-achieving schools using one of the four sanctioned intervention models?

Notes

The described turnaround plan must meet the substantive criteria of one of the four Obama models, even if it is not explicitly named (Turnaround, Transformation, Restart, Closure). And to receive credit, application needed to use the words turnaround, transformation, closure, and restart. Variable not coded for legislative histories.

Application Category F: General (55 points)

26. **Variable Name:** edfundingpriority_rev

Application Section

(F)(1) Making education funding a priority (10 points)

The extent to which –

- (i) *The percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2009 was greater than or equal to the percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2008; and*
- (ii) The State's policies lead to equitable funding (a) between high-need LEAs (as defined in this notice) and other LEAs, and (b) within LEAs, between high-poverty schools (as defined in this notice) and other schools.

Working Definition for Coding

Did the state reduce the percentage of state revenue that was used to fund public education from FY 2008 to FY 2009? (If so, variable was coded as 0.)

Notes

Variable not coded for legislative histories.

27. **Variable Name:** edfundingpriority_equit

Application Section

(F)(1) Making education funding a priority (10 points)

The extent to which –

- (i) The percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2009 was greater than or equal to the percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2008; and
- (ii) *The State's policies lead to equitable funding (a) between high-need LEAs (as defined in this notice) and other LEAs, and (b) within LEAs, between high-poverty schools (as defined in this notice) and other schools.*

Working Definition for Coding

For application coding: Does the application give proof that the state funding formula takes into account high-need LEAs AND high-need schools within LEAs in its funding distribution?

For legislative history coding: Does the state funding formula take into account high-need LEAs AND high-need schools within LEAs in its funding distribution?

Notes

Applications had to explicitly mention school and LEA-level funding distributions to receive credit; equal per-pupil funding was not sufficient, as it does not necessarily imply equal funding across LEAs and within them as the prompt demands.

For legislative history coding, we used a measure of school finance inequity as a percentage of total spending for the years 2008 to 2012 from a database from the New America Foundation.

This variable was defined as follows: “School finance inequity reflects the average percentage difference in per-pupil spending among school districts across a given state according to a definition contained in Title I of the No Child Left Behind Act. The per-pupil expenditure for every school district is compared to the average per-pupil expenditure for the state and weighted according to size and poverty level.”

28. **Variable Name:** innovativeschools_number

Application Section

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools (40 points)

The extent to which –

- (i) *The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;*
- (ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;
- (iii) The State’s charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;
- (iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and
- (v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

Working Definition for Coding

Does the state have a charter school law that does not prohibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools?

Notes

A strict interpretation of a charter cap was applied: states with a cap of any kind, even one that was unlikely to be reached, received a value of 0. Wisconsin, for instance, caps the number of charters authorized by UW-Parkside, and this was coded as 0. States that had any limit on charter school enrollment were also coded as 0. If a state did not have a cap in place, but a small number of its school districts did (e.g. Nevada (3), Pennsylvania(1)), this was coded as 1. If the state had no charter law, it was coded as 0.

29. **Variable Name:** innovativeschools_auth

Application Section

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools (40 points)

The extent to which –

- (i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;
- (ii) *The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;*
- (iii) The State’s charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;
- (iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and
- (v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

Working Definition for Coding

Does the state have laws, statutes, regulations, or guidelines requiring that student achievement (as defined in this notice) be one significant factor, among others, in renewal?

30. **Variable Name:** innovativeschools_equit

Application Section

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools (40 points)

The extent to which –

- (i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;
- (ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this

- notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;
- (iii) *The State's charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;*
 - (iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and
 - (v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

Working Definition for Coding

Do charter schools receive a funding amount equitable to that of public schools, and equitable shares of local/state/federal revenue streams?

Notes

States needed to explicitly state that funding was fully equitable (100% equal). If they did not specify this, variable was coded as 0. Variable not coded for legislative histories.

31. **Variable Name:** innovativeschools_build

Application Section

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools (40 points)

The extent to which –

- (i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;
- (ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;
- (iii) The State's charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;
- (iv) *The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports;*

- and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and
- (v) The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.

Working Definition for Coding

Does the state provide charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports?

Notes

The following actions did not qualify under this definition: giving charter schools authority to issue bonds (tax-exempt or otherwise); giving schools the right of first refusal (if they must still rent or otherwise pay to use the facilities); publishing a list of vacant buildings each year that charters could use; requiring districts to lease available public buildings to charter schools at fair market value; and providing funding for facilities maintenance but not acquisition or building. If the state had no charter law, the variable was coded as 0. If a state's charter school law satisfied the definition but was subject to annual appropriations, the variable was still coded as 1; thus, in two states (Alaska and Maine), the law satisfied the definition but was not followed in practice.

The final part of the application prompt – “and does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools” – was ignored, as few states addressed this issue and data was hard to find.

32. Variable Name: innovative_schools

Application Section

(F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools (40 points)

The extent to which –

- (i) The State has a charter school law that does not prohibit or effectively inhibit increasing the number of high-performing charter schools (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;
- (ii) The State has laws, statutes, regulations, or guidelines regarding how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;
- (iii) The State's charter schools receive (as set forth in Appendix B) equitable funding compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;
- (iv) The State provides charter schools with funding for facilities (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports;

- and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and
- (v) *The State enables LEAs to operate innovative, autonomous public schools (as defined in this notice) other than charter schools.*

Working Definition for Coding

Are LEAs allowed to operate autonomous public schools other than charter schools?

Notes

Variable not coded for legislative histories.

Competitive Preference Priority

33. **Variable Name:** stem

Application Section

Priority 2: Competitive Preference Priority – Emphasis on Science, Technology, Engineering, and Mathematics (STEM). (15 points, all or nothing)

To meet this priority, the State’s application must have a high-quality plan to address the need to (i) offer a rigorous course of study in mathematics, the sciences, technology, and engineering; (ii) cooperate with industry experts, museums, universities, research centers, or other STEM-capable community partners to prepare and assist teachers in integrating STEM content across grades and disciplines, in promoting effective and relevant instruction, and in offering applied learning opportunities for students; and (iii) prepare more students for advanced study and careers in the sciences, technology, engineering, and mathematics, including by addressing the needs of underrepresented groups and of women and girls in the areas of science, technology, engineering, and mathematics.

Working Definition for Coding Are STEM courses being offered? Is there a policy in place to coordinate between schools and industry experts? And is there a policy to reach out to underrepresented groups in STEM?

Notes

Variable not coded for legislative histories.

Variables Coded Only In Legislative Histories

34. **Control Policy 1**

Variable Name: testing_exitexam

Working Definition for Coding

Is there an exam in place that students must pass in order to graduate from high school?

Notes

States received a 1 if they have if they had a high school exit exam in place or end of course exams which students were required to pass to graduate. The exam had to have consequences for graduation; being required to take the test was not enough, though exemptions for students with disabilities were allowed.

35. **Control Policy 2**

Variable Name: testing_3rdgrade

Working Definition for Coding

Is there an exam in place that students must pass in order to leave third grade?

36. Control Policy 3

Variable Name: taxcredit2

Working Definition for Coding

Does the state allow tax credits for companies and/or individuals who donate to nonprofit organizations that provide private school scholarships?

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C Additional Tables and Figures

Table C.1: Effect of Per Pupil Education Revenues on Probability of RttT Policy Implementation, 2010-14

	(1a)	(1b)	(2a)	(2b)	(3a)	(3b)
Change in logged per pupil education revenue, 2007-09	4.449** (1.427)	4.515** (1.476)	4.026* (1.640)	4.221* (1.662)	5.814* (2.473)	6.190* (2.501)
Logged per pupil state education revenue		-0.043 (0.384)		-0.124 (0.371)		-0.237 (0.515)
Won RttT	2.199*** (0.184)	2.192*** (0.191)	2.068*** (0.206)	2.047*** (0.216)	3.004*** (0.332)	2.965*** (0.356)
Applied to RttT and lost	1.121*** (0.153)	1.111*** (0.177)	1.157*** (0.166)	1.129*** (0.194)	1.676*** (0.256)	1.623*** (0.304)
Democratic governor	-0.008 (0.212)	-0.007 (0.211)	0.004 (0.203)	0.007 (0.202)	0.003 (0.283)	0.008 (0.282)
Proportion of state House, Democrats	-0.835 (0.683)	-0.827 (0.699)	0.213 (0.762)	0.238 (0.780)	0.513 (1.079)	0.562 (1.102)
Democratic vote share, 2008 presidential election	1.560 (1.260)	1.598 (1.269)	0.497 (1.376)	0.603 (1.377)	0.378 (1.939)	0.583 (1.956)
Policy was in place in 2008	4.397*** (0.519)	4.397*** (0.519)	4.534*** (0.522)	4.535*** (0.521)	4.906*** (0.629)	4.913*** (0.626)
Constant	-2.271*** (0.549)	-1.884 (3.537)	-1.616** (0.573)	-0.498 (3.456)	-2.998*** (0.868)	-0.863 (4.856)
Policy fixed effects	No	No	No	No	Yes	Yes
Year fixed effects	No	No	Yes	Yes	Yes	Yes
N	4762	4762	4762	4762	4512	4512

* p<0.05, ** p<0.01, *** p<0.001. Standard errors clustered by state in parentheses. Significance tests are two-tailed. Dependent variable is a binary indicator for whether a given policy was in place in a state and year. Democratic vote share and proportion of state House variables are scaled from 0 to 1. Unit of analysis is policy by state by year.

Table C.2: Effect of State Revenues on RttT Policy Implementation, 2010-14
Alternative Revenue Measures (Expensive Policy Subsets)

	(1a)	(1b)	(2a)	(2b)	(3a)	(3b)
Change in logged per pupil education revenue (state and local), 2007-09	0.810* (0.304)	0.894* (0.352)				
Logged per pupil education revenue (state and local)		-0.039 (0.060)				
Change in logged per pupil education revenue (state), 2007-09			0.127 (0.183)	0.124 (0.201)		
Logged per pupil education revenue (state)				0.004 (0.055)		
Change in logged per capita revenue (total), 2007-09					0.151 (0.378)	-0.007 (0.468)
Logged per capita revenue (total)						0.078 (0.084)
Won RttT	0.246*** (0.066)	0.242*** (0.065)	0.208** (0.069)	0.209** (0.063)	0.202** (0.073)	0.224*** (0.060)
Applied to RttT and lost	0.093 (0.057)	0.087 (0.056)	0.069 (0.058)	0.071 (0.054)	0.064 (0.066)	0.088 (0.055)
Democratic governor	0.008 (0.031)	0.008 (0.031)	0.013 (0.031)	0.013 (0.033)	0.012 (0.032)	0.014 (0.032)
Proportion of state House, Democrats	-0.243* (0.120)	-0.238 (0.121)	-0.199 (0.123)	-0.201 (0.118)	-0.189 (0.127)	-0.218 (0.118)
Democratic vote share, 2008 presidential election	0.254 (0.239)	0.305 (0.258)	0.200 (0.245)	0.198 (0.250)	0.167 (0.253)	0.170 (0.239)
Policy was in place in 2008	0.558*** (0.041)	0.559*** (0.040)	0.548*** (0.044)	0.548*** (0.044)	0.549*** (0.044)	0.546*** (0.044)
Constant	0.159 (0.117)	0.491 (0.504)	0.243* (0.113)	0.213 (0.456)	0.262* (0.126)	-0.444 (0.746)
Policy fixed effects	Yes	Yes	Yes	Yes	Yes	Yes
Year fixed effects	Yes	Yes	Yes	Yes	Yes	Yes
R^2	0.588	0.588	0.583	0.583	0.582	0.583
N	1362	1362	1362	1362	1362	1362

* $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$. Standard errors clustered by state in parentheses. Significance tests are two-tailed. Dependent variable is a binary indicator for whether a given policy was in place in a state and year. Democratic vote share and proportion of state House variables are scaled from 0 to 1. Unit of analysis is policy by state by year.

Table C.3: Effect of State Revenues on RttT Policy Implementation, 2010-14
Alternative Revenue Measures (Cheap Policy Subsets)

	(1a)	(1b)	(2a)	(2b)	(3a)	(3b)
Change in logged per pupil education revenue (state and local), 2007-09	0.168 (0.410)	0.064 (0.430)				
Logged per pupil education revenue (state and local)		0.049 (0.088)				
Change in logged per pupil education revenue (state), 2007-09			-0.122 (0.257)	-0.091 (0.286)		
Logged per pupil education revenue (state)				-0.041 (0.077)		
Change in logged per capita revenue (total), 2007-09					0.161 (0.448)	0.193 (0.513)
Logged per capita revenue (total)						-0.016 (0.094)
Won RttT	0.410*** (0.056)	0.415*** (0.055)	0.384*** (0.059)	0.365*** (0.068)	0.410*** (0.050)	0.406*** (0.056)
Applied to RttT and lost	0.243*** (0.047)	0.251*** (0.049)	0.224*** (0.055)	0.206** (0.059)	0.243*** (0.041)	0.239*** (0.052)
Democratic governor	-0.002 (0.049)	-0.003 (0.049)	0.001 (0.050)	0.004 (0.049)	-0.004 (0.049)	-0.005 (0.049)
Proportion of state House, Democrats	0.178 (0.192)	0.171 (0.193)	0.198 (0.189)	0.221 (0.196)	0.189 (0.186)	0.195 (0.194)
Democratic vote share, 2008 presidential election	0.040 (0.321)	-0.023 (0.321)	-0.015 (0.326)	0.011 (0.326)	0.027 (0.316)	0.026 (0.317)
Policy was in place in 2008	0.431*** (0.045)	0.430*** (0.046)	0.430*** (0.045)	0.432*** (0.044)	0.431*** (0.045)	0.431*** (0.045)
Constant	-0.147 (0.144)	-0.563 (0.798)	-0.091 (0.152)	0.248 (0.665)	-0.139 (0.143)	0.006 (0.881)
Policy fixed effects	Yes	Yes	Yes	Yes	Yes	Yes
Year fixed effects	Yes	Yes	Yes	Yes	Yes	Yes
R^2	0.371	0.372	0.372	0.372	0.371	0.371
N	3400	3400	3400	3400	3400	3400

* $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$. Standard errors clustered by state in parentheses. Significance tests are two-tailed. Dependent variable is a binary indicator for whether a given policy was in place in a state and year. Democratic vote share and proportion of state House variables are scaled from 0 to 1. Unit of analysis is policy by state by year.

Table C.4: Effect of Per Pupil Education Revenues on Decision to Apply to RttT

Change in logged per pupil education revenue, 2007-09	-1.613 (1.004)	-1.085 (1.094)
Logged per pupil education revenue		-0.282 (0.238)
Democratic governor	0.103 (0.090)	0.104 (0.090)
Proportion of state House, Democrats	0.374 (0.415)	0.409 (0.414)
Democratic vote share, 2008 presidential election	-0.119 (0.643)	0.167 (0.684)
RttT policies in place, 2008	0.039 (0.028)	0.044 (0.028)
Constant	0.547* (0.271)	2.992 (2.084)
R^2	0.182	0.208
N	50	50

* $p < 0.1$, ** $p < 0.05$, *** $p < 0.01$. Standard errors in parentheses. Significance tests are two-tailed. Dependent variable is number of applications in Phases 1 and 2 as a proportion of possible applications. Democratic vote share and proportion of state House variables are scaled from 0 to 1. Unit of analysis is state.

Table C.5: Effect of Per Pupil Education Revenues on RttT Policy Promises

	(1a)	(1b)
Change in logged per pupil education revenue, 2007-09	-0.233 (0.511)	-0.175 (0.527)
Logged per pupil education revenue		-0.056 (0.092)
Democratic governor	-0.037 (0.045)	-0.034 (0.045)
Proportion of state House, Democrats	0.121 (0.175)	0.132 (0.177)
Democratic vote share, 2008 presidential election	0.345 (0.310)	0.401 (0.312)
Policy was in place in 2008	0.377*** (0.037)	0.379*** (0.037)
Constant	0.272* (0.129)	0.758 (0.824)
Policy fixed effects	Yes	Yes
R^2	0.322	0.323
N	920	920

* $p < 0.1$, ** $p < 0.05$, *** $p < 0.01$. Standard errors in parentheses. Significance tests are two-tailed. Dependent variable is a binary indicator for whether the state committed to implementing a policy in the last application (of Rounds 1, 2, and 3) it submitted to RttT. Democratic vote share and proportion of state House variables are scaled from 0 to 1. Unit of analysis is state by policy.

Table C.6: Effect of Per Pupil Education Revenues on Probability of RttT Policy Implementation, 2010-14
Disaggregating Winning by Round

	(1a)	(1b)	(2a)	(2b)
Change in logged per pupil education revenue, 2007-09	0.789*	0.827*	0.967**	0.963*
	(0.327)	(0.330)	(0.356)	(0.365)
Logged per pupil state education revenue		-0.022		0.003
		(0.070)		(0.067)
Won RttT in Round 1	0.467***	0.462***	0.163	0.163
	(0.082)	(0.082)	(0.090)	(0.089)
Won RttT in Round 2	0.380***	0.377***	0.417***	0.418***
	(0.041)	(0.044)	(0.072)	(0.074)
Won RttT in Round 3	0.378***	0.376***	0.466***	0.467***
	(0.047)	(0.047)	(0.058)	(0.058)
Won RttT in Round 1 * change in logged ed revenue, 2007-09			6.679***	6.700***
			(1.336)	(1.363)
Won RttT in Round 2 * change in logged ed revenue, 2007-09			-0.662	-0.666
			(0.767)	(0.759)
Won RttT in Round 3 * change in logged ed revenue, 2007-09			-1.366	-1.369
			(0.734)	(0.730)
Applied to RttT and lost	0.215***	0.211***	0.218***	0.219***
	(0.031)	(0.034)	(0.034)	(0.037)
Democratic governor	-0.006	-0.005	0.003	0.002
	(0.040)	(0.040)	(0.040)	(0.040)
Proportion of state House, Democrats	0.069	0.074	0.111	0.111
	(0.146)	(0.149)	(0.147)	(0.149)
Democratic vote share, 2008 presidential election	0.069	0.088	0.092	0.089
	(0.256)	(0.256)	(0.263)	(0.260)
Policy was in place in 2008	0.480***	0.480***	0.484***	0.484***
	(0.032)	(0.032)	(0.032)	(0.032)
Constant	-0.124	0.078	-0.179	-0.204
	(0.113)	(0.653)	(0.122)	(0.632)
Policy fixed effects	Yes	Yes	Yes	Yes
Year fixed effects	Yes	Yes	Yes	Yes
R^2	0.431	0.431	0.434	0.434
N	4762	4762	4762	4762

* $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$. Standard errors clustered by state in parentheses. Significance tests are two-tailed. Dependent variable is a binary indicator for whether a given policy was in place in a state and year. Democratic vote share and proportion of state House variables are scaled from 0 to 1. Unit of analysis is policy by state by year.

Table C.7: Effect of Per Pupil Education Revenues on Probability of RttT Policy Implementation, 2010-14
Controlling for Diffusion Effects

	(1)	(2)	(3)	(4)
Change in logged per pupil education revenue, 2007-09	0.880** (0.319)	0.866** (0.321)	0.826* (0.331)	0.822* (0.327)
Logged per pupil state education revenue	-0.030 (0.071)	-0.030 (0.071)	-0.033 (0.072)	-0.031 (0.071)
Won RttT	0.384*** (0.044)	0.385*** (0.043)	0.397*** (0.040)	0.391*** (0.039)
Applied to RttT and lost	0.201*** (0.039)	0.203*** (0.037)	0.213*** (0.034)	0.210*** (0.034)
Democratic governor	0.003 (0.039)	0.002 (0.039)	-0.005 (0.040)	-0.003 (0.040)
Proportion of state House, Democrats	0.048 (0.150)	0.048 (0.150)	0.045 (0.153)	0.050 (0.151)
Democratic vote share, 2008 presidential election	0.082 (0.264)	0.088 (0.262)	0.073 (0.268)	0.087 (0.264)
Policy was in place in 2008	0.477*** (0.031)	0.478*** (0.030)	0.486*** (0.031)	0.486*** (0.031)
Policy in place, neighboring states (t)	0.088 (0.050)			
Policy in place, neighboring states (t-1)		0.075 (0.047)		
Policy in place, similar states (t)			0.515*** (0.109)	
Policy in place, similar states (t-1)				0.277*** (0.062)
Policy fixed effects	Yes	Yes	Yes	Yes
Year fixed effects	Yes	Yes	Yes	Yes
Observations	4,762	4,762	4,762	4,762
R ²	0.432	0.432	0.439	0.434

Note:

*p<0.05; **p<0.01; ***p<0.001