

ILLINOIS STATE BOARD OF EDUCATION

Thompson Center
100 W. Randolph Street
Conference Room 16-503
Chicago, IL

This meeting will also be audio cast on the Internet at: www.isbe.net

November 20, 2015

9:00 a.m.

I. Roll Call/Pledge of Allegiance

A. Consideration of and Possible Actions on Any Requests for Participation in Meeting by Other Means

II. Public Participation

III. Resolutions & Recognition

A. Year of the Volunteer Recognition

IV. Superintendent's Report - Consent Agenda

All action consideration items listed with an asterisk (*) are considered to be routine and will be enacted in one motion and vote. Any board member who wishes separate discussion on any item listed on the consent agenda may remove that item from the consent agenda, in which event, the item will be considered in its normal sequence.

A. *Approval of Minutes

1. Plenary Minutes: October 21, 2015 **pp. 3-7**

B. *Rules for Adoption

1. Part 1 (Public Schools Evaluation, Recognition and Supervision) Responds to P.A. 99-194, effective July 30, 2015, regarding application for approval of the E-learning Days Pilot Program that allows participating school districts to provide electronic instruction in lieu of emergency days. No public comment was received. **pp. 8-36**

2. Part 70 (Early Childhood Teacher Preparation Assistance Grant) Updates terminology to reflect the educator licensure system. No public comment was received. **pp. 37-53**

3. Part 100 (Requirements for Accounting, Budgeting, Financial Reporting, and Auditing) Proposes a revenue code for use by school districts that receive a supplemental grant for general State aid, as per the provisions of P.A. 99-5, effective July 1, 2015. One letter of public comment supporting the proposed changes was received. **pp. 54-75**

4. Part 375 (Student Records) Responds to P.A. 98-885, effective August 15, 2014, regarding the content of an academic transcript and clarifies the definition of "health record". No public comment was received. **pp. 76-83**

5. Part 5001 (Access to Information of the State Board of Education under the Freedom of Information Act) Responds to a request from the Joint Committee on Administrative Rules to include in the rules the fee schedule for duplication of documents provided in response to a request under the Freedom of Information Act. **pp. 84-88**

C. *Contracts & Grants Over \$1 Million

1. Illinois Statewide Assistive Technology Training and Resources Program will continue to provide technical assistance for Assistive Technology to Local Education Agencies and special education cooperatives. **pp. 89-91**

2. Illinois Statewide Assistive Technology Loan and Evaluation Program will purchase and maintain additional assistive technology devices to loan to school districts. **pp. 92-94**

3. Illinois Statewide Assistive Technology Exchange Program will provide schools and families recycled, refurbished technology to meet special education students' needs to promote involvement with general

education peers, the curriculum, and attainment of post-secondary goals. **pp. 95-97**

4. Illinois Response to Intervention Network Grant Amendment will provide a no-cost extension to expend remaining funds from the federal State Personnel Development Grant to implement the Illinois Response to Intervention Network. **pp. 98-100**
5. Summer Meal Ads Invitation For Bid (IFB) will provide selection and placement services for Summer Meal ads and announcements. This is to promote the availability of free summer meals, create awareness about the Summer Food Service Program, and ultimately increase participation in the summer meals programs. **pp. 101-104**

End of Consent Agenda

- D. Qualified School Construction Bonds **pp. 105-117**
- E. Addition to the 2016 Spring Legislative Agenda **pp. 118-119**

V. Discussion Items

- A. District Oversight – Monthly Update
- B. Budget Update
- C. Legislative Update
- D. Procurement Update **pp. 120**
- E. Other Items for Discussion

VI. Announcements & Reports

- A. Superintendent's/Senior Staff Announcements
 1. Presentation on Illinois Charter School Landscape (Andrew Broy, President, Illinois Network of Charter Schools)
- B. Chairman's Report
- C. Member Reports

VII. Information Items

- A. ISBE Fiscal & Administrative Monthly Reports (*available online at http://isbe.net/board/fiscal_admin_rep.htm*)

VIII. Closed Session (as needed)

IX. Adjourn

This meeting will be accessible to persons with disabilities. Persons planning to attend who need special accommodations should contact the Board office no later than the date prior to the meeting. Contact the Superintendent's office at the State Board of Education. Phone: 217-782-2221; TTY/TDD: 217-782-1900; Fax: 217-785-3972.

NOTE: Chairman Meeks may call for a break in the meeting as necessary in order for the Board to go into closed session.

DRAFT

Pending Approval

**Illinois State Board of Education Meeting
100 North First Street
Springfield, Illinois
October 21, 2015**

ROLL CALL

Chairman Meeks called the meeting to order at 10:39 a.m. a.m. Dr. Smith was in attendance and a quorum was present.

Members Present

Mr. James Meeks, Chairman
Ms. Melinda LaBarre
Mr. Steven Gilford
Mr. Curt Bradshaw
Mr. Eligio Pimentel
Mr. John Sanders
Mr. Craig Lindvahl

**PUBLIC
PARTICIPATION**

Bev Johns from the Illinois Council for Exceptional Children expressed her concerns over the Response to Intervention mandate on the Board agenda. She also invited the Board to their 2015 Fall Convention in November.

**RESOLUTIONS &
RECOGNITION**

Mr. Lindvahl recognized Kim Varner as part of the Year of the Volunteer.

CONSENT AGENDA

Motion:

Mr. Bradshaw moved that the State Board of Education hereby approves the consent agenda with the exception of item D1, the Early Childhood Block Grant One Year Extension. Ms. LaBarre seconded the motion and it passed with a roll call vote.

The following motions were approved by action taken in the consent agenda motion.

Approval of Minutes

The State Board of Education hereby approves the minutes for the September 16-17, 2015, Board Meetings.

Rules for Initial Review

Part 1 (Public Schools Evaluation, Recognition and Supervision)

P.A. 99-480, effective August 24, 2015, authorizes (but does not require) the administration of opioid antagonist by school nurses (as that term is defined in Section 22-30) or trained personnel to "any person (who) the school nurse or trained personnel in good faith believes is having an opioid overdose". Since many of the requirements for the administration of opioid antagonists are similar to those for use of undesignated epinephrine auto-injectors, Section 1.540 is being updated to reference opioid antagonists and address the differences in the type of training school nurses or other personnel administering the drug will receive. In addition to the provisions of Section 22-30(c) and (c-5) of the School Code, a school that has a standing protocol, as defined in Section 22-30 of the School Code, to administer undesignated epinephrine auto-injectors and/or opioid antagonists shall notify the parents or guardians of each student that the school has instituted the standing protocol and that a student may be administered epinephrine and/or opioid antagonist under the circumstances described in Section 22-30(e-5) or Section 22-30(e-10) of the School Code. 1)The school shall provide the notification of the standing protocol to the parents or guardian at the start of each school year or, for students enrolling for the first time, at the time of enrollment. The parent or guardian shall acknowledge the notification by signing it and returning it to the school. 2) A school also shall accept a written request from a parent or guardian stating that his or her student shall not be administered

epinephrine and/or opioid antagonist under any circumstances. The school shall provide the name of any student whose parent or guardian submits notification under this subsection (b)(2) to the school nurse and to any trained personnel, as defined under Section 22-30(a) of the School Code.

The State Board of Education hereby authorizes solicitation of public comment on the proposed rulemaking, as amended, for: Public Schools Evaluation, Recognition and Supervision (23 Illinois Administrative Code 1), including publication of the proposed amendments in the Illinois Register.

Part 425 (Voluntary Registration and Recognition of Nonpublic Schools)

P.A. 98-795, effective August 1, 2014, amended Section 22-30 of the School Code, in part, to authorize (but not require) the administration of an epinephrine auto-injector by school nurses (as that term is defined in Section 22-30) or trained personnel to "any person (who) the school nurse or trained personnel in good faith believes is having an anaphylactic reaction. P.A. 99-480, effective September 9, 2015, added administration of opioid antagonist by school nurses and trained personnel in situations when an individual is having an opioid overdose. The proposed rules remind registered and recognition nonpublic schools wishing to have these medications available of their obligations under the new law, as further defined in 23 Ill. Adm. Code 1.530; Public Schools Evaluation, Recognition and Supervision.

Reference is also being made to nonpublic schools' responsibilities under Section 22-80 of the School Code, added by P.A. 99-245, effective August 3, 2015, which addresses concussion policies and practices in schools

The State Board of Education hereby authorizes solicitation of public comment on the proposed amendments for Voluntary Registration and Recognition of Nonpublic Schools (23 Illinois Administrative Code 425), including publication of the proposed amendments in the Illinois Register.

Part 525 (Regional Offices of Education and Intermediate Services)

P.A. 99-30, effective July 10, 2015, eliminated a requirement that the 10 smallest Regional Offices of Education work in consultation with one or more of the larger offices to provide services and programs under Section 2-3.62 of the School Code. This change in the law necessitates a cleanup at Sections 525.20 and 525.50 of the rules.

The State Board of Education hereby authorizes solicitation of public comment on the proposed amendments for Regional Offices of Education and Intermediate Services (23 Illinois Administrative Code 525), including publication of the proposed amendments in the Illinois Register.

Rules for Adoption

Part 226 (Special Education)

Besides general updating and clarifications, this rulemaking addresses recent statutory changes that include a definition of dyslexia (P.A. 98-705), timeline for provision of services (P.A. 98-219), transition planning for independent living skills (P.A. 98-517), "stay put" provision during mediation and State complaint procedures (P.A. 98-383), and qualified professionals for purposes of independent evaluations (P.A. 98-657). Three entities submitted public comment, and changes were recommended in response to the comments received.

The State Board of Education hereby adopts the proposed rulemaking Special Education (23 Illinois Administrative Code 226). Further, the Board authorizes the State Superintendent of Education to make such technical and

nonsubstantive changes as the State Superintendent may deem necessary in response to suggestions or objections of the Joint Committee on Administrative Rules.

Contracts and Grants over \$1 million
Request to Release RFSP – Illinois Data First

The Information Technology Division requests the Board to authorize the State Superintendent to release an RFSP and award to the successful bidder/s to acquire the services of one Solution Architect, one Project Manager, one Business Analyst, and one Outreach Coordinator to assist in the development and maintenance of extant and future data systems as they pertain to the ILDS Illinois Data for Fiscal and Instructional Results, Study, and Transparency (Illinois Data FIRST) grant projects. The total award over a four year period will not exceed \$3,478,640.

The State Board of Education hereby authorizes the State Superintendent to release an RFSP and award to the successful bidder/s to procure the services of one Solution Architect, one Project Manager, one Business Analyst, and one Outreach Coordinator to assist in the development and maintenance of extant and future data systems as they pertain to the ILDS Illinois Data for Fiscal and Instructional Results, Study, and Transparency (Illinois Data FIRST) grant projects. The initial term of each contract will begin upon execution and extend through June 30, 2016. There will be three possible one-year renewals contingent upon a sufficient appropriation and satisfactory contractor performance in each preceding contract year. The estimated contract total costs, including renewals, will not exceed \$3,478,640.

Request to Release RFSP – Early Childhood Program Analysts

The Information Technology Division requests the Board to authorize the State Superintendent to release an RFSP and award to the successful bidder/s to acquire the services of one Project Manager, one Business Analyst, and two Programmer Analysts to assist in the development and maintenance of extant and future data systems as they pertain to the collection and organization of the State's Early Childhood Program data. The total award over a four year period will not exceed \$3,420,000.

The State Board of Education hereby authorizes the State Superintendent to release an RFSP and award to the successful bidder/s to procure the services of one Project Manager, one Business Analyst, and two Programmer Analysts to assist in the development and maintenance of extant and future data systems as they pertain to the collection and organization of the State's Early Childhood Program data. The initial term of each contract will begin upon execution and extend through June 30, 2016. There will be three possible one-year renewals contingent upon a sufficient appropriation and satisfactory contractor performance in each preceding contract year. The estimated contract total costs, including renewals, will not exceed \$3,420,000.

END OF THE CONSENT AGENDA

BUDGET UPDATE

Robert Wolfe, Chief Financial Officer for ISBE, stated that there is no budget update at this time but informed the Board that he and his staff will begin working on a FY17 budget prior to the start of the budget hearings.

AUDIT UPDATE

Melissa Oller, Chief Internal Auditor for ISBE, updated the Board on the Annual Statewide Single Audit.

**QUALITY SCHOOL
OPTIONS GRANT
AWARD**

Amy Jo Clemens, Assistant Superintendent for ISBE, and Jen Saba, Assistant General Counsel with ISBE legal staff, gave a presentation to the Board updating them on the Quality School Options Grant for charter schools in Illinois. Ms. Saba discussed grant objectives, including building relationships with Illinois educational partners, implementing higher quality charter schools and communication and dissemination of best practices. Ms. Clemens discussed the funding allocation schedules of the startup and dissemination subgrants. There were questions and discussion amongst the Board.

**STATE CHARTER
SCHOOL
COMMISSION**

Jen Saba, Assistant General Counsel, answered questions from the Board regarding the State Charter School Commission.

**BOARD MISSION
AND VISION
STATEMENT
UPDATE**

Superintendent Smith presented to the Board the updated Mission Statement, Vision Statement and Goals.

The Board discussed their concerns in the decline of teacher licensing. Ms. LaBarre shared that she has heard from teachers with concerns about 5th grade teaching endorsements and being able to team teach. She also expressed concerns with Pre-K thru fifth grade being grouped together and would like to explore separating out PreK-2nd grades and 3rd-5th grades.

CLOSED SESSION

Ms. LaBarre moved that the Board enter into closed session under the exceptions set forth in the Open Meetings Act of the State of Illinois as follows:

Section c (1) The appointment, employment, compensation, discipline, performance, or dismissal of specific employees of the public body or legal counsel for the public body.

Section c (11) Litigation, when an action against, affecting or on behalf of the particular public body has been filed and is pending before a court or administrative tribunal, or when the public body finds that an action is probably or imminent, in which case the basis for the finding shall be recorded and entered into the minutes of the closed meeting.

Ms. LaBarre further moved that the Board may invite anyone they wish to be included in this closed session.

Mr. Lindvahl seconded that motion and The Board entered into closed session at 11:59 a.m. and reconvened from closed session at 1:53 p.m.

**EARLY
CHILDHOOD
BLOCK GRANT**

Early Childhood Block Grant One Year Extension

The Division of Early Childhood requests the Board's authorization for the State Superintendent to enter into grant agreements over \$1 Million with Early Childhood Block Grant (ECBG) recipients for the provision of Early Childhood Preschool for All and Prevention Initiative programs. Authorization is requested to execute grant agreements in accordance with the attached list of grant recipients.

The State Board of Education hereby authorizes the State Superintendent to enter into 606 separate electronic grant agreements with the entities on the List of FY2017 Grant Recipients Exceeding \$1 Million in amounts not to exceed a maximum total of \$199,512,000 for the provision of Preschool for All and Prevention Initiative programs for the term, July 1, 2016 through June 30, 2017.

Mr. Bradshaw moved that the State Board of Education hereby approve the Early Childhood Block Grant One Year Extension. Mr. Pimentel seconded the motion and it passed with a roll call vote with Mr. Gilford abstaining.

**EDUCATIONAL
MANDATE RELIEF**

Superintendent Smith discussed the impacts of monetary reductions on schools in recent years. Statewide, public school districts have been cut \$3.7 billion since 2009. In that same amount of time, there have been more than 130 statues passed that have resulted in more than 200 new or modified educational mandates. At present, ISBE has 393 employees, amounting to almost 100 less staff to support schools since 2009. Superintendent Smith expressed his desire to support school districts and advocate for full funding for students. He will work with legislators and districts to work towards increasing funding and support for education and schools in Illinois.

**INFORMATION
ITEMS**

ISBE Fiscal & Administrative Monthly Reports (*available online at http://isbe.net/board/fiscal_admin_rep.htm*)

**MOTION FOR
ADJOURNMENT**

Chairman Meeks moved that the meeting be adjourned. Mr. Sanders seconded the motion and it passed with a unanimous voice vote. The meeting adjourned at 1:59 p.m.



Respectfully Submitted,

Ms. Melinda LaBarre
Board Secretary

Mr. James T. Meeks
Chairman

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith, Ph.D., State Superintendent of Education 
Stephanie Donovan, General Counsel 

Agenda Topic: Part 1 (Public Schools Evaluation, Recognition and Supervision)

Materials: Recommended Rules

Staff Contacts: Amy Jo Clemens, Assistant Superintendent, Innovation and Improvement

Purpose of Agenda Item

The purpose of this agenda item is to present the proposed amendments for adoption.

Relationship to/Implications for the State Board's Strategic Plan

This rulemaking relates to Strategic Goals 1 (student achievement) and 2 (highly prepared and effective teachers) by establishing criteria for the provision of instruction outside of the attendance center in lieu of a school district's scheduling an emergency day and not holding school.

Expected Outcome of Agenda Item

The Board will be asked to adopt amendments to Part 1.

Background Information

P.A. 99-194, effective July 30, 2015, establishes a three-year pilot program that would allow no more than three school districts to offer instruction electronically (i.e., distance learning) on days when school is not scheduled due to the need to use an emergency day. The law sets forth the criteria that a school district must meet in order to offer e-learning instruction in lieu of using one or more of the five emergency days required to be included in its school calendar. As such, a school district approved for an e-learning program would be able to count the students participating in electronically provided instruction as "present" when it calculates average daily attendance used for determining general State aid. Unlike emergency days, a district would not be required to "make up" at the end of the school year the e-learning days it uses. The e-learning program is intended for districtwide implementation except when a single school building must be closed due to a hazardous condition beyond the control of the school district, as defined under Section 18-12 of the School Code [105 ILCS 5/18-12].

New Section 10-20.56 of the School Code [105 ILCS 5/10-20.56] limits the e-learning pilot program to three years, beginning in the second semester of the 2015-16 school year and ending in the 2017-18 school year. As noted above, the law authorizes the participation of only three school districts. For this reason and relying on emergency rules promulgated in August, the agency solicited school districts that might be interested in participating in the pilot program through a Request for Applications (RFA) process. The RFA established the content of the application, criteria for review of the applications, and the terms and conditions of any approval granted. (See Sections 1.422(f), (g) and (j) of the proposed rules for details).

Instruction on an e-learning day may be provided through the Internet; by telephones or text messages; in chat rooms; or through other similar means of electronic communication that enables interaction between teachers and students. A school district must propose how it will provide at least five clock hours of instruction for all of its students, including students with disabilities, English learners, students who are homeless or migrant, and students enrolled in general education coursework. Instruction must cover all required subject areas, be based on lesson plans, and meet the academic goals and learning objectives of the district.

Under the proposed rules, a school district is required to send a request to its respective regional office of education or intermediate service center to amend its calendar no more than 30 days after using an e-learning day. Concurrent with the request, the school district will be required to provide a report to the regional superintendent about its use of the day, to address its successes and challenges in implementing the e-learning day and include a comparison of attendance of teachers and students in the three days previous to the e-learning day to that of teachers and students on the e-learning day. Reporting, as set forth in Section 1.422(j)(9), is required of school districts both at the end of the three-year pilot and after each e-learning day for two reasons:

- to assist the State Board in formulating its report to the General Assembly about whether e-learning should be expanded statewide, which is due on or before June 1, 2019; and
- to provide information and data for auditing purposes to ensure that school districts are complying with all statutory and regulatory requirements for the receipt of general State aid.

As noted above, the rulemaking has been promulgated on an emergency basis and is currently in effect. Agency staff members released an application package in early September; three applications were received. Once the proposed rulemaking presented for adoption today is final, it will replace the emergency rules currently in effect.

The proposed amendments were published in the Illinois Register on September 4, 2015, to elicit public comment; none was received. The amendments being presented for adoption are identical to the proposal the Board considered in August.

Analysis and Implications for Policy, Budget, Legislative Action and Communications

Policy Implications: Please see “Background” above.

Budget Implications: None.

Legislative Action: None needed.

Communication: Please see “Next Steps” below.

Pros and Cons of Various Actions

As noted above, promulgation of these amendments will provide for timely implementation of e-learning programs by the three school districts chosen to participate.

Failure to adopt this rulemaking before the emergency amendments expire would cause the agency to be in violation of the Illinois Administrative Procedure Act, which requires policy, including standards and procedures related to choosing participants for agency programs, to be set forth in rules.

Superintendent's Recommendation

The State Superintendent recommends that the State Board of Education adopt the following motion:

The State Board of Education hereby adopts the proposed rulemaking for:

Public Schools Evaluation, Recognition and Supervision (23 Illinois Administrative Code 1).

Further, the Board authorizes the State Superintendent of Education to make such technical and nonsubstantive changes as the State Superintendent may deem necessary in response to suggestions or objections of the Joint Committee on Administrative Rules.

Next Steps

Notice of the adopted rules will be submitted to the Joint Committee on Administrative Rules to initiate JCAR's review. When that process is complete, the rules will be filed with the Secretary of State and disseminated as appropriate.

ILLINOIS REGISTER

STATE BOARD OF EDUCATION

NOTICE OF ADOPTED AMENDMENTS

TITLE 23: EDUCATION AND CULTURAL RESOURCES

SUBTITLE A: EDUCATION

CHAPTER I: STATE BOARD OF EDUCATION

SUBCHAPTER a: PUBLIC SCHOOL RECOGNITION

PART 1

PUBLIC SCHOOLS EVALUATION, RECOGNITION AND SUPERVISION

SUBPART A: RECOGNITION REQUIREMENTS

Section

- 1.10 Public School Accountability Framework
- 1.20 Operational Requirements
- 1.30 State Assessment
- 1.40 Adequate Yearly Progress
- 1.50 Calculation of Participation Rate
- 1.60 Subgroups of Students; Inclusion of Relevant Scores
- 1.70 Additional Indicators for Adequate Yearly Progress
- 1.75 Student Information System
- 1.77 Educator Licensure Information System (ELIS)
- 1.80 Academic Early Warning and Watch Status
- 1.85 School and District Improvement Plans; Restructuring Plans
- 1.88 Additional Accountability Requirements for Districts Serving Students of Limited English Proficiency under Title III
- 1.90 System of Rewards and Recognition – The Illinois Honor Roll
- 1.95 Appeals Procedure
- 1.100 Waiver and Modification of State Board Rules and School Code Mandates
- 1.110 Appeal Process under Section 22-60 of the School Code

SUBPART B: SCHOOL GOVERNANCE

Section

- 1.210 Approval of Providers of Training for School Board Members under Section 10-16a of the School Code
- 1.220 Duties of Superintendent (Repealed)
- 1.230 Board of Education and the School Code (Repealed)
- 1.240 Equal Opportunities for all Students
- 1.242 Temporary Exclusion for Failure to Meet Minimum Academic or Attendance Standards
- 1.245 Waiver of School Fees

ILLINOIS REGISTER

STATE BOARD OF EDUCATION

NOTICE OF ADOPTED AMENDMENTS

- 1.250 District to Comply with 23 Ill. Adm. Code 180 (Repealed)
- 1.260 Commemorative Holidays to be Observed by Public Schools (Repealed)
- 1.270 Book and Material Selection (Repealed)
- 1.280 Discipline
- 1.285 Requirements for the Use of Isolated Time Out and Physical Restraint
- 1.290 Absenteeism and Truancy Policies

SUBPART C: SCHOOL DISTRICT ADMINISTRATION

Section

- 1.310 Administrative Qualifications and Responsibilities
- 1.320 Evaluation of Licensed Educators
- 1.330 Toxic Materials Training

SUBPART D: THE INSTRUCTIONAL PROGRAM

Section

- 1.410 Determination of the Instructional Program
- 1.420 Basic Standards
- 1.422 Electronic Learning (E-Learning) Days Pilot Program
- 1.430 Additional Criteria for Elementary Schools
- 1.440 Additional Criteria for High Schools
- 1.442 State Seal of Biliteracy
- 1.445 Required Course Substitute
- 1.450 Special Programs (Repealed)
- 1.460 Credit Earned Through Proficiency Examinations
- 1.462 Uniform Annual Consumer Education Proficiency Test (Repealed)
- 1.465 Ethnic School Foreign Language Credit and Program Approval
- 1.470 Adult and Continuing Education
- 1.480 Correctional Institution Educational Programs

SUBPART E: SUPPORT SERVICES

Section

- 1.510 Transportation
- 1.515 Training of School Bus Driver Instructors
- 1.520 Home and Hospital Instruction
- 1.530 Health Services
- 1.540 Pupil Personnel Services (Repealed)

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STATE BOARD OF EDUCATION

NOTICE OF ADOPTED AMENDMENTS

SUBPART F: STAFF LICENSURE REQUIREMENTS

Section

- 1.610 Personnel Required to be Qualified
- 1.620 Accreditation of Staff (Repealed)
- 1.630 Paraprofessionals; Other Unlicensed Personnel
- 1.640 Requirements for Different Certificates (Repealed)
- 1.650 Transcripts of Credits
- 1.660 Records of Professional Personnel

SUBPART G: STAFF QUALIFICATIONS

Section

- 1.705 Requirements for Supervisory and Administrative Staff
 - 1.710 Requirements for Elementary Teachers
 - 1.720 Requirements for Teachers of Middle Grades
 - 1.730 Minimum Requirements for Secondary Teachers and Specified Subject Area Teachers in Grades 6 and Above through June 30, 2004
 - 1.735 Requirements to Take Effect from July 1, 1991, through June 30, 2004
 - 1.736 Requirements to Take Effect from July 1, 1994, through June 30, 2004
 - 1.737 Minimum Requirements for the Assignment of Teachers in Grades 9 through 12 Beginning July 1, 2004
 - 1.740 Standards for Reading through June 30, 2004
 - 1.745 Requirements for Reading Teachers and Reading Specialists at all Levels as of July 1, 2004
 - 1.750 Standards for Media Services through June 30, 2004
 - 1.755 Requirements for Library Information Specialists Beginning July 1, 2004
 - 1.760 Standards for School Support Personnel Services
 - 1.762 Supervision of Speech-Language Pathology Assistants
 - 1.770 Standards for Special Education Personnel
 - 1.780 Standards for Teachers in Bilingual Education Programs
 - 1.781 Requirements for Bilingual Education Teachers in Prekindergarten, Kindergarten and any of Grades 1-12
 - 1.782 Requirements for Teachers of English as a Second Language in Prekindergarten, Kindergarten and any of Grades 1-12
 - 1.783 Requirements for Administrators of Bilingual Education Programs
 - 1.790 Substitute Teacher
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- 1.APPENDIX A Professional Staff Educator Licensure
 - 1.APPENDIX B Certification Quick Reference Chart (Repealed)

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STATE BOARD OF EDUCATION

NOTICE OF ADOPTED AMENDMENTS

- 1.APPENDIX C Glossary of Terms (Repealed)
- 1.APPENDIX D State Goals for Learning
- 1.APPENDIX E Evaluation Criteria – Student Performance and School Improvement Determination (Repealed)
- 1.APPENDIX F Criteria for Determination – Student Performance and School Improvement (Repealed)
- 1.APPENDIX G Criteria for Determination – State Assessment (Repealed)

AUTHORITY: Implementing Sections 2-3.25, 2-3.25g, 2-3.44, 2-3.96, 2-3.157, 10-17a, 10-20.14, 10-22.43a, 14C-8, 21B-5, 22-60, 26-13, 27-3.5, 27-12.1, 27-13.1, 27-20.3, 27-20.4, 27-20.5, 27-22, 27-23.3 and 27-23.8 and authorized by Section 2-3.6 of the School Code [105 ILCS 5/2-3.25, 2-3.25g, 2-3.44, 2-3.96, 2-3.157, 10-17a, 10-20.14, 10-22.43a, 14C-8, 21B-5, 22-60, 26-13, 27-3.5, 27-12.1, 27-13.1, 27-20.3, 27-20.4, 27-20.5, 27-22, 27-23.3, 27-23.8 and 2-3.6].

SOURCE: Adopted September 21, 1977; codified at 7 Ill. Reg. 16022; amended at 9 Ill. Reg. 8608, effective May 28, 1985; amended at 9 Ill. Reg. 17766, effective November 5, 1985; emergency amendment at 10 Ill. Reg. 14314, effective August 18, 1986, for a maximum of 150 days; amended at 11 Ill. Reg. 3073, effective February 2, 1987; amended at 12 Ill. Reg. 4800, effective February 26, 1988; amended at 14 Ill. Reg. 12457, effective July 24, 1990; amended at 15 Ill. Reg. 2692, effective February 1, 1991; amended at 16 Ill. Reg. 18010, effective November 17, 1992; expedited correction at 17 Ill. Reg. 3553, effective November 17, 1992; amended at 18 Ill. Reg. 1171, effective January 10, 1994; emergency amendment at 19 Ill. Reg. 5137, effective March 17, 1995, for a maximum of 150 days; amended at 19 Ill. Reg. 6530, effective May 1, 1995; amended at 19 Ill. Reg. 11813, effective August 4, 1995; amended at 20 Ill. Reg. 6255, effective April 17, 1996; amended at 20 Ill. Reg. 15290, effective November 18, 1996; amended at 22 Ill. Reg. 22233, effective December 8, 1998; emergency amendment at 24 Ill. Reg. 6111, effective March 21, 2000, for a maximum of 150 days; amended at 24 Ill. Reg. 12985, effective August 14, 2000; amended at 25 Ill. Reg. 8159, effective June 21, 2001; amended at 25 Ill. Reg. 16073, effective November 28, 2001; amended at 26 Ill. Reg. 1157, effective January 16, 2002; amended at 26 Ill. Reg. 16160, effective October 21, 2002; amended at 28 Ill. Reg. 8486, effective June 1, 2004; emergency amendment at 28 Ill. Reg. 13637, effective September 27, 2004, for a maximum of 150 days; amended at 29 Ill. Reg. 1891, effective January 24, 2005; amended at 29 Ill. Reg. 11811, effective July 13, 2005; amended at 29 Ill. Reg. 12351, effective July 28, 2005; amended at 29 Ill. Reg. 15789, effective October 3, 2005; amended at 29 Ill. Reg. 19891, effective November 23, 2005; amended at 30 Ill. Reg. 8480, effective April 21, 2006; amended at 30 Ill. Reg. 16338, effective September 26, 2006; amended at 30 Ill. Reg. 17416, effective October 23, 2006; amended at 31 Ill. Reg. 5116, effective March 16, 2007; amended at 31 Ill. Reg. 7135, effective April 25, 2007; amended at 31 Ill. Reg. 9897, effective June 26, 2007; amended at 32 Ill. Reg. 10229, effective June 30, 2008; amended at 33 Ill. Reg. 5448, effective March 24, 2009; amended at 33 Ill. Reg. 15193, effective October 20, 2009; amended

ILLINOIS REGISTER

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NOTICE OF ADOPTED AMENDMENTS

at 34 Ill. Reg. 2959, effective February 18, 2010; emergency amendment at 34 Ill. Reg. 9533, effective June 24, 2010, for a maximum of 150 days; amended at 34 Ill. Reg. 17411, effective October 28, 2010; amended at 35 Ill. Reg. 1056, effective January 3, 2011; amended at 35 Ill. Reg. 2230, effective January 20, 2011; amended at 35 Ill. Reg. 12328, effective July 6, 2011; amended at 35 Ill. Reg. 16743, effective September 29, 2011; amended at 36 Ill. Reg. 5580, effective March 20, 2012; amended at 36 Ill. Reg. 8303, effective May 21, 2012; amended at 38 Ill. Reg. 6127, effective February 27, 2014; amended at 38 Ill. Reg. 11203, effective May 6, 2014; amended at 39 Ill. Reg. 2773, effective February 9, 2015; amended at 39 Ill. Reg. 13411, effective September 24, 2015; emergency amendment at 39 Ill. Reg. 12369, effective September 4, 2015, for a maximum of 150 days; amended at 40 Ill. Reg. _____, effective _____.

Section 1.420 Basic Standards

- a) Class schedules shall be maintained in the administrative office in each attendance center of a school district.
- b) Every school district shall have an organized plan for recording pupil progress and/or awarding credit, including credit for courses completed by correspondence, on line, or from other external sources, that can be disseminated to other schools within the State.
- c) Every school district shall:
 - 1) Provide curricula and staff inservice training to help eliminate unconstitutional and unlawful discrimination in schools and society. School districts shall utilize the resources of the community in achieving the stated objective of elimination of discrimination and to enrich the instructional program.
 - 2) Include in its instructional program concepts designed to improve students' understanding of and their relationships with individuals and groups of different ages, sexes, races, national origins, religions and socio-economic backgrounds.
- d) Boards shall adopt and implement a policy for the distribution of teaching assignments, including study hall and extra class duties and responsibilities.

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- e) Every school system shall conduct supervisory and inservice programs for its professional staff. The staff shall be involved in planning, conducting and evaluating supervisory and inservice programs.
- f) Sections 10-19, 18-8.05, 18-12, and 18-12.5 of the School Code [105 ILCS 5/10-19, 18-8.05, 18-12, and 18-12.5] establish certain requirements regarding the school year and the school day. School districts shall observe these requirements when preparing their calendars and when calculating average daily attendance for the purpose of claiming general State financial aid.
 - 1) Section 18-8.05(F)(2)(c) of the School Code provides that, with the approval of the State Superintendent of Education, four or more clock-hours of instruction may be counted as a day of attendance when the regional superintendent certifies that, due to a condition beyond the control of the district, the district has been forced to use multiple sessions. The State Superintendent's approval will be granted when the district demonstrates that, due to a condition beyond the control of the district, its facilities are inadequate to house a program offering five clock-hours daily to all students.
 - A) The district superintendent's request to the State Superintendent shall be accompanied by an assurance that the local school board has approved the plan for multiple sessions, including the date of the meeting at which this occurred, and evidence of the approval of the responsible regional superintendent.
 - B) Each request shall include a description of the circumstances that resulted in the need for multiple sessions; information on the buildings and grades affected; the intended beginning and ending dates for the multiple sessions; a plan for remedying the situation leading to the request; and a daily schedule showing that each student will be in class for at least four clock-hours.
 - C) Approval for multiple sessions shall be granted for the school year to which the request pertains. Each request for renewed approval shall conform to the requirements of subsections (f)(1)(A) and (B).
 - D) Students who are in attendance for at least 150 minutes of school work but fewer than 240 minutes may be counted for a half day of attendance. Students in attendance for fewer than 150 minutes of

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school work shall not be counted for purposes of calculating average daily attendance.

- 2) Section 18-8.05(F)(2)(h) of the School Code allows for a determination under rules of the State Board regarding the necessity for a second year's attendance at kindergarten for certain students so they may be included in a district's calculation of average daily attendance. Districts may count these students when they determine through an assessment of their individual educational development that a second year of kindergarten is warranted.
- 3) A school district shall be considered to have conducted a legal school day, which is eligible to be counted for General State Aid, when the following conditions are met during a work stoppage.
 - A) Fifty percent or more of the district's students are in attendance, based on the average daily attendance during the most recent full month of attendance prior to the work stoppage.
 - B) Educational programs are available at all grade levels in the district, in accordance with the minimum standards set forth in this Part.
 - C) All teachers hold educator licenses that are registered with the regional superintendent of schools for their county of employment. Other than substitute teachers, licensure appropriate to the grade level and subject areas of instruction is held by all teachers.
- 4) Sections 18-12 and 18-12.5 of the School Code set forth requirements for a school district to claim General State Aid in certain circumstances when one or more, but not all, of the district's school buildings are closed either for a full or partial day. A school district shall certify the reasons for the closure in an electronic format specified by the State Superintendent within 30 days from the date of the incident.
 - A) If the certification is submitted under Section 18-12 of the School Code, it shall indicate whether instruction was provided to students using an e-learning day authorized under Section 10-20.56 of the School Code and Section 1.422 of this Part.

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B) ~~In addition~~If; the certification is submitted for reasons of a public health emergency under Section 18-12.5 of the School Code, it shall be accompanied by a signed statement from the local health department to the State Superintendent that includes:

~~A~~i) the name of the building that is being recommended for closure;

~~B~~ii) the specific public health emergency that warrants the closure; and

~~C~~iii) the anticipated building closure dates recommended by the health department.

5) Attendance for General State Aid Purposes

A) For purposes of determining average daily attendance on the district's General State Aid claim, students in full-day kindergarten and first grade may be counted for a full day of attendance only when they are in attendance for four or more clock hours of school work; provided, however, that students in attendance for more than two clock hours of school work but less than four clock hours may be counted for a half day of attendance. Students in attendance for fewer than two hours of school work shall not be counted for purposes of calculating average daily attendance.

B) For purposes of determining average daily attendance on the district's General State Aid claim, students enrolled full time in grades 2 through 12 may be counted for a full day of attendance only when they are in attendance for five or more clock hours of school work; provided, however, that students in attendance for more than two and one-half clock hours of school work but less than five clock hours may be counted for a half day of attendance. Students in attendance for fewer than two and one-half hours of school work shall not be counted for purposes of calculating average daily attendance.

C) For purposes of determining average daily attendance for General State Aid received under Sections 18-12 and 18-12.5 of the School Code, "immediately preceding school day" shall include school

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days in the previous school year in instances in which the building closure occurs before three or more days of instruction have been provided in the school year for which attendance is being counted.

- D) For the purposes of determining average daily attendance for General State Aid under Section [10-20.56](#) or 10-29 of the School Code [105 ILCS 5/[10-20.56](#) and 10-29], a school district operating a remote educational program shall document the clock hours of instruction for each student, and make available to the State Superintendent of Education or his or her designee upon request, a written or online record of instructional time for each student enrolled in the program that provides sufficient evidence of the student's active participation in the program (e.g., log in and log off process, electronic monitoring, adult supervision, two-way interaction between teacher and student, video cam). "Clock hours of instruction" shall be calculated in accordance with Section 18-8.05(F)(2)(j) of the School Code [105 ILCS 5/18-8.05(F)(2)(j)].
- g) Each school board shall annually prepare a calendar for the school term, specifying the opening and closing dates and providing a minimum term of at least 185 days to ensure 176 days of actual pupil attendance, computable under Section 18-8.05 of the School Code (see Section 10-19 of the School Code).
- h) Local boards of education shall establish and maintain kindergartens for the instruction of children (see Sections 10-20.19a and 10-22.18 of the School Code [105 ILCS 5/10-20.19a and 10-22.18]).
- 1) School districts may establish a kindergarten of either half-day or full-day duration. If the district establishes a full-day kindergarten, it must also provide a half-day kindergarten for those students whose parents or guardians request a half-day program.
 - 2) If a school district that establishes a full-day kindergarten also has 20 or more students whose parents request a half-day program, the district must schedule half-day classes, separate and apart from full-day classes, for those children. If there are fewer than 20 children whose parents request a half-day program, those students may be enrolled in either the morning or afternoon session of a full-day program provided that the following conditions are met.

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- A) Distinctive curriculum plans for the half-day and full-day kindergarten programs must be developed by the school district, made available to parents to assist the parents in selecting the appropriate program for their child, and maintained in district files.
 - B) A common core of developmental, readiness and academic activities must be made available to all kindergarten students in the district regardless of the amount of time they attend school.
 - C) All support services (e.g., health counseling and transportation) provided by the district must be equally available to full-day and half-day students.
- 3) Each school district offering a kindergarten program, whether full-day or half-day, shall administer the Illinois Kindergarten Individual Development Survey (KIDS) annually to each student enrolled in kindergarten, except as otherwise provided under this subsection (h)(3). A school district is not obligated to administer KIDS in any school year in which the State does not provide funding sufficient for the cost of the test administration or access to of a professional development for teachers and administrators.
- A) For the purpose of this subsection (h)(3), "measure of school readiness" addresses, at a minimum, the five essential school readiness domains of:
 - i) language and literacy development;
 - ii) cognition and general knowledge (to at least include mathematics);
 - iii) approaches toward learning;
 - iv) physical well-being and motor development; and
 - v) social and emotional development.
 - B) Each school district shall report electronically the results of the observations conducted and evidence collected as part of KIDS twice each school year (i.e., 40 days after the start of the school

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year and 170 days after the start of the school year). The data required under this subsection (h)(3)(B) shall be reported for any student who was enrolled in a kindergarten classroom at least 30 days before the date on which the data is required to be reported.

- C) By October 15, 2015, each school district shall provide to the State Superintendent of Education, using a form prescribed for this purpose, the information required under this subsection (h)(3)(C).
 - i) The name, title, email address and telephone number for the administrator who the school district designates to serve as the KIDS coordinator. The person so designated shall hold a professional educator license endorsed in an administrative field pursuant to 23 Ill. Adm. Code 25.Subpart E (Requirements for Licensure of Administrative and Supervisory Staff) or for supervision pursuant to 23 Ill. Adm. Code 25.497 (Supervisory Endorsements).
 - ii) The current status of the school district's implementation of KIDS, as applicable.
 - iii) Information regarding the school district's use of assessments other than KIDS on a districtwide basis that measure school readiness, as that term is defined in subsection (h)(3)(A).
- D) Each KIDS coordinator designated under subsection (h)(3)(C) shall participate in a KIDS orientation training sponsored by the State Board of Education during the 2015-16 school year.
- E) For the 2016-17 school year only, a school district may choose to conduct a limited implementation of KIDS or a full implementation of KIDS. A school district choosing to conduct a limited implementation shall notify the State Superintendent of its intent by May 1, 2016. School districts that fail to submit the required notification by May 1, 2016 shall fully implement KIDS, as required under subsection (h)(3)(F). For the purposes of this subsection (h)(3)(E), "limited implementation" shall be either:

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- i) reporting the data required under subsection (h)(3)(B) for each student enrolled in kindergarten that at least addresses the domains of social and emotional development, language and literacy development, cognitive development for mathematics and, additionally for English learners, English language development; or
 - ii) reporting the data required under subsection (h)(3)(B) for at least 30 percent of students enrolled in each kindergarten classroom for each domain listed in subsection (h)(3)(A) and, additionally for English learners, English language development.
- F) Beginning in the 2017-18 school year and thereafter, a school district shall administer the KIDS to, and report the data required under subsection (h)(3)(B) for, each student enrolled in kindergarten.
- i) Career Education
 - 1) The educational system shall provide students with opportunities to prepare themselves for entry into the world of work.
 - 2) Every district shall initiate a Career Awareness and Exploration Program that should enable students to make more meaningful and informed career decisions. This program should be available at all grade levels.
- j) Co-Curricular Activities
 - 1) Programs for extra classroom activities shall provide opportunities for all students.
 - 2) The desires of the student body in the area of co-curricular activities shall be of critical importance. At all times, activities of this nature shall be carefully supervised by a school-approved sponsor.
- k) Consumer Education and Protection
 - 1) A program in consumer education shall include at least the topics required by Section 27-12.1 of the School Code [105 ILCS 5/27-12.1].

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- 2) The superintendent of each unit or high school district shall maintain evidence showing that each student has received adequate instruction in consumer education prior to the completion of grade 12. Consumer education may be included in course content of other courses, or it may be taught as a separate required course.
 - 3) The minimal time allocation shall not be less than nine weeks or the equivalent for grades 9-12.
 - 4) Teachers instructing in consumer education courses shall hold educator licensure valid for the grade levels taught and have completed at least three semester hours in consumer education courses.
- l) Conservation of Natural Resources
- Each district shall provide instruction on *current problems and needs in the conservation of natural resources, including, but not limited to, air pollution, water pollution, waste reduction and recycling, the effect of excessive use of pesticides, preservation of wilderness areas, forest management, protection of wildlife, and humane care of domestic animals* (Section 27-13.1 of the School Code [105 ILCS 5/27-13.1]).
- m) Every school district has the responsibility to prepare students for full citizenship. To this end each school district should encourage student discussion and communication in areas of local, State, national and international concern.
- n) Health Education
- 1) Each school system shall provide a program in compliance with the Critical Health Problems and Comprehensive Health Education Act [105 ILCS 110].
 - A) There is no specific time requirement for grades K-6; however, health education shall be a part of the formal regular instructional program at each grade level.
 - B) The minimal time allocation shall not be less than one semester or equivalent during the middle or junior high experience.

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- C) The minimal time allocation shall not be less than one semester or equivalent during the secondary school experience.
 - D) If health education is offered in conjunction with another course on a "block of time" basis in a middle school, a junior high school, or a high school, instruction may be offered in any combination of the grade levels in the school, provided that the total time devoted to health education is the equivalent of one full semester's work.
- 2) Nothing in this Section shall be construed as requiring or preventing the establishment of classes or courses in comprehensive sex education or family life education as authorized by Sections 27-9.1 and 27-9.2 of the School Code [105 ILCS 5/27-9.1 and 27-9.2].
- o) Library Media Programs

Each school district shall provide a program of library media services for the students in each of its schools. Each district's program shall meet the requirements of this subsection (o).

1) General

The program shall include an organized collection of resources that circulate to students and staff in order to supplement classroom instruction, foster reading for pleasure, enhance information literacy and support research, as appropriate to students of all abilities in the grade levels served. A district that relies solely upon the collection of a local public library shall maintain evidence that students receive instruction, direction or assistance in locating and using resources that are applicable to these purposes from an individual who is qualified under Section 1.755 and who is acting on behalf of the school district.

2) Financial Resources

Each district's annual budget shall include an identifiable allocation for resources and supplies for the program, except that a unit district serving fewer than 400 students or an elementary or high school district serving fewer than 200 students may demonstrate that it is meeting its students' needs through alternate means that the district has determined are adequate in light of local circumstances.

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3) Facilities

If there is no single location within a particular attendance center that is specifically devoted to a library media center, such as where classroom collections have been established instead, the district shall ensure that equitable access to library media resources is made available to students in all the grade levels served. If students' only access to library media resources is achieved by visiting a location outside their attendance center, the district shall maintain records demonstrating that all students' regular schedules include time for this purpose.

4) Staff

Nothing in this subsection (o)(4) shall be construed as prohibiting districts or schools from sharing the services of individuals qualified under Section 1.755, and nothing in this subsection (o) shall be construed as permitting an individual who is not qualified as a library information specialist to assume that role. Each district shall assign responsibility for overall direction of its program of library media services to an employee who holds a professional educator license endorsed for a teaching or an administrative field. Except as otherwise provided in subsection (o)(4)(A), the individual to whom this responsibility is assigned shall meet the requirements of Section 1.755, and the individual to whom this responsibility is assigned shall not provide the services described in Section 1.755 unless he or she meets the requirements of that Section.

A) In the event that no employee of the district holds any of the qualifications enumerated in Section 1.755, the individual to whom direction of the program is assigned shall be required to participate annually in professional development consisting of:

- i) undergraduate or graduate coursework in library science offered by a regionally accredited institution of higher education; or
- ii) one or more workshops, seminars, conferences, institutes, symposia, or other similar training events that are offered by the Illinois State Library, a regional library system, or another professional librarians' organization; or

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- iii) one or more "library academies" if these are made available by or at the direction of the State Superintendent of Education.
- B) A district that is otherwise unable to fulfill the requirements of this subsection (o)(4) shall ensure that the overall direction of the library media program (e.g., selection and organization of materials, provision of instruction in information and technology literacy, structuring the work of library paraprofessionals) is accomplished with the advice of an individual who is qualified pursuant to Section 1.755.
- p) Physical Education
 - 1) Appropriate activity related to physical education shall be required of all students each day unless otherwise permitted by Section 27-6 of the School Code [105 ILCS 5/27-6]. The time schedule shall compare favorably with other courses in the curriculum. Safety education as it relates to the physical education program should be incorporated.
 - 2) There shall be a definite school policy regarding credit earned each semester in physical education with provisions for allowable variables in special cases.
 - 3) If a district determines that it is difficult to implement a program of physical education that involves all students daily, the administration should consult one of the program service personnel from the State Board of Education for assistance in the development of an acceptable program.
 - 4) *The physical education and training course offered in grades 5 through 10 may include health education (Section 27-5 of the School Code [105 ILCS 5/27-5]).*
 - 5) *Special activities in physical education shall be provided for pupils whose physical or emotional condition, as determined by a person licensed under the Medical Practice Act of 1987 [225 ILCS 60], prevents their participation in the courses provided for normal children (Section 27-6 of the School Code).*

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- 6) Pursuant to Section 27-6 of the School Code, a student who presents an appropriate excuse from his or her parent or guardian or from a person licensed under the Medical Practice Act of 1987 shall be excused from participation in physical education.
- A) Each school board shall honor excuses signed by persons licensed under the Medical Practice Act of 1987 and shall establish a policy defining the types of parental excuses it will deem "appropriate" for this purpose, which shall include, but need not be limited to, reliance upon religious prohibitions.
 - B) A board shall have no authority to honor parental excuses based upon students' participation in athletic training, activities or competitions conducted outside the auspices of the school district, except as otherwise authorized under Section 27-6(b) of the School Code.
 - C) For each type of excuse that will be considered "appropriate", the school board shall identify in its policy any evidence or support it will require. For example, a board may require a signed statement from a member of the clergy corroborating the religious basis of a request.
- 7) In addition, pursuant to Section 27-6(b) of the School Code, each school board that chooses to excuse pupils enrolled in grades 9 through 12 from engaging in physical education courses under that subsection shall establish a policy to excuse pupils on an individual basis and shall have the policy on file in the local district office. The district shall maintain records showing that, in disposing of each request to be excused from physical education, the district applied the criteria set forth in Section 27-6 to the student's individual circumstances.

q) School Support Personnel Services

To assure provision of School Support Personnel Services, the local district shall conduct a comprehensive needs assessment to determine the scope of the needs in the areas of:

- 1) Guidance and Counseling Needs;

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- 2) Psychological Needs;
 - 3) Social Work Needs;
 - 4) Health Needs.
- r) Social Sciences and History

Each school system shall provide history and social sciences courses that do the following:

- 1) analyze the principles of representative government, the Constitutions of both the United States and the State of Illinois, the proper use of the flag, and how these concepts have related and currently do relate in actual practice in the world (see Section 27-21 of the School Code [105 ILCS 5/27-21]);
- 2) *include in the teaching of United States history the role and contributions of ethnic groups in the history of this country and the State* (Section 27-21 of the School Code);
- 3) *include in the teaching of United States history the role of labor unions and their interaction with government in achieving the goals of a mixed free-enterprise system* (Section 27-21 of the School Code);
- 4) *include the study of that period in world history known as the Holocaust* (Section 27-20.3 of the School Code [105 ILCS 5/27-20.3]);
- 5) *include the study of the events of Black history, including the individual contributions of African-Americans and their collective socio-economic struggles* (Section 27-20.4 of the School Code [105 ILCS 5/27-20.4]);
- 6) *include the study of the events of women's history in America, including individual contributions and women's struggles for the right to vote and for equal treatment* (Section 27-20.5 of the School Code [105 ILCS 5/27-20.5]); and
- 7) *include the study of the events related to the forceful removal and illegal deportation of Mexican-American U.S. citizens during the Great Depression* (Section 27-21 of the School Code).

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- s) Protective eye devices shall be provided to and worn by all students, teachers, and visitors when participating in or observing dangerous career and technical education courses and chemical-physical courses of laboratories as specified in Section 1 of the Eye Protection in School Act [105 ILCS 115/1]. The eye protective devices shall meet the nationally accepted standards set forth in "American National Standard Practice for Occupational and Educational Personal Eye and Face Protection Devices", ANSI/ISEA Z87.1-2010, issued by the American National Standards Institute, Inc., 1899 L Street, NW, 11th Floor, Washington, D.C. 20036. No later editions or amendments to these standards are incorporated.
- t) Each school district shall provide instruction as required by Sections 27-3.5, 27-13.2, 27-13.3, 27-23.3, 27-23.4 and 27-23.8 of the School Code [105 ILCS 5/27-3.5, 27-13.2, 27-13.3, 27-23.3, 27-23.4 and 27-23.8].

(Source: Amended at 40 Ill. Reg. _____, effective _____)

Section 1.422 Electronic Learning (E-Learning) Days Pilot Program

Section 10-20.56 of the School Code [105 ILCS 5/10-20.56] authorizes a pilot program for the use of e-learning days by school districts to provide instruction while the students are not in attendance at the school to which they have been assigned. An e-learning day may be used only in lieu of using one or more emergency days required under Section 10-19 of the School Code [105 ILCS 5/10-19]. This Section sets forth the process to apply for approval to participate in the E-Learning Days Pilot Program (hereinafter, referred to as the "e-learning program") and the terms and conditions for the use of e-learning days by participating districts.

- a) An "approvable e-learning day":
 - 1) is a day of instruction provided for students who are not physically present at the school and that is accessible to all students, including students with disabilities and English learners;
 - 2) consists of a minimum of five clock hours of instruction; and
 - 3) is provided through electronic means, such as the Internet, telephones, text messages, chat rooms, or other similar means of electronic communication for instruction and interaction between teachers and

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students that meets the needs of all learners. (Section 10-20.56(b) of the School Code)

- b) "All mandates", as used in Section 10-20.56(b) of the School Code, means mandates specific to academic goals and learning objectives, content areas of instruction, and instructional and other school support services. "All mandates" does not include the provision of transportation, school lunch and breakfast, after school care or other services not directly related to the provision of instruction.
- c) Once an e-learning day is used, a school district approved under this Section shall electronically submit a request to its regional office of education or intermediate service center to amend its calendar not later than 30 days from the date on which an e-learning day was taken. The request shall include a signed assurance that the district complied with each of the requirements of Section 10-20.56 of the School Code and Section 1.420(f)(5)(D) of this Part.
- d) If a school district used the e-learning day pursuant to Section 18-12 of the School Code [105 ILCS 5/18-12], the district also shall submit the information required under Section 1.420(f)(4) of this Part.
- e) A school district wishing to participate in the E-Learning Days Pilot Program shall submit an application to the State Board of Education that addresses each of the components listed in Section 10-20.56 of the School Code and subsection (f) of this Section.
 - 1) Each application for the E-Learning Days Pilot Program shall be submitted in a format specified by the State Superintendent by September 1 annually, except that applications for initial approval for school year 2015-16 shall be submitted no later than October 15, 2015.
 - 2) Each application shall include a cover page that is signed by the school district superintendent; each of the district's exclusive collective bargaining representatives; and, as applicable, the district's regional superintendent of education or chief administrative officer of the district's intermediate service center.
 - 3) Each application shall include a description of the public hearing held by the school board to take testimony from the public, including from school district employees and parents, about the request.

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- 4) Each application shall include a dated copy of the notice of the public hearing that was published in a newspaper of general circulation and a dated copy of the written or electronic notifications about the public hearing that meet the requirements of Section 10-20.56(c) of the School Code.

- f) In addition to addressing each of the components in Section 10-20.56(d) of the School Code, each applicant shall:
 - 1) describe the process to be used to verify that five clock-hours of "instruction" under the direct supervision of educator licensed teachers will be provided;
 - 2) present a plan for addressing technology problems and providing other technical support, as applicable to its e-learning delivery system;
 - 3) detail how instruction and other services and programs provided by the e-learning program will:
 - A) address all the instructional mandates contained in Article 27 of the School Code (i.e., language arts, mathematics, the biological, physical and social sciences, the fine arts, and physical development and health) and this Part, as applicable;
 - B) comply with Article 14 of the School Code [105 ILCS 5/Art. 14], 23 Ill. Adm. Code 226 (Special Education), and the Individuals with Disabilities Education Improvement Act (also referred to as IDEA) (20 USC 1400 et seq.) and its implementing regulations (34 CFR 300, as amended by 71 Fed. Reg. 46540 (August 14, 2006) and 73 Fed. Reg. 73027 (December 1, 2008), no later amendments or editions included), and Section 504 of the Rehabilitation Act of 1973 (29 USC 701 et seq.), regarding the provision of services for students with disabilities;
 - C) comply with Article 14C of the School Code [105 ILCS 5/Art. 14C] and 23 Ill. Adm. Code 228 (Transitional Bilingual Education), regarding services for English learners;
 - D) address the varying learning needs of students enrolled in general education coursework to include, as applicable, how the district

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- will meet the instructional needs of students participating in, or receiving services from, programs under the Elementary and Secondary Education Act (20 USC 6301 et seq.) or McKinney-Vento Homeless Assistance Act (42 USC 11431 et seq.);
- E) align to the district's curriculum and address the specific learning objectives of the course of instruction being provided; and
- G) meet the requirements of Section 27-6 of the School Code [105 ILCS 5/27-6], regarding the provision of physical education, subject to any waiver of the requirement approved pursuant to Section 2-3.25g of the School Code [105 ILCS 5/2-3.25g];
- 4) describe the process it will use to monitor Internet access or other electronic participation of individual students on an e-learning day (also see Section 1.420(f)(5)(D)); the description shall provide sufficient evidence of how students will actively participate in the program and any contingencies to be considered for students who are unable to access instruction due to computer problems, power outages or other circumstances beyond a student's control; and
- 5) describe how expectations for e-learning coursework and other activities will be communicated to students and parents in advance of the school district's use of an e-learning day, as well as how feedback will be gathered from staff, students and parents about the successes and challenges of the e-learning program.
- g) Each application for an E-Learning Days Pilot Program that meets the requirements of Section 10-20.56 of the School Code and this Section shall be evaluated according to the criteria set forth in this subsection (g). The three highest ranked applications will be approved.
- 1) Delivery System (up to 25 points)
- A robust system has been proposed to manage the e-learning system, ensuring accurate identification of students, reliable management of student attendance and provision of effective remedies for technical issues that may arise during the e-learning day that limit or block a student's or staff member's access to online participation.

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2) Instructional Program (up to 25 points)

The proposed program:

- A) is built upon research about effective distance learning approaches;
- B) includes a curriculum with high-quality learning experiences aligned to the learning objectives of the course or grade (including addressing the applicable instructional mandates identified in Article 27 of the School Code); organized lesson plans or other documentation of the instruction to be provided; and sequence and pacing to allow students to be successful; and
- C) contains no penalties for students who encounter technical difficulties, providing a process for students to submit school work for credit that they were unable to complete during the e-learning day.

3) Special Populations (up to 25 points)

Provisions for providing services for students with disabilities and English learners are appropriate and comply with State and federal laws and regulations. The program also is likely to meet the varying learning needs of the students enrolled in general education coursework by adequately considering ability, grade level, at-risk status and/or demographic diversity.

4) Notification and Training (up to 25 points)

The proposed process for both involving staff, students and parents in the program design and for notifying and orienting them about the e-learning program to be implemented will sufficiently prepare staff, students and parents to fully participate in and navigate the e-learning system effectively and efficiently. A detailed plan is included for collecting feedback from staff, students and parents after an e-learning day is used.

5) Priority Consideration

Priority consideration may be given to proposals with specific areas of emphasis, such as to ensure geographic distribution or the participation of

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school districts with varying demographic characteristics, as identified by the State Superintendent of Education in a particular Request for Applications.

- h) The State Superintendent of Education will notify school districts approved for participation in the E-Learning Days Pilot Program no later than 45 days following the close of the application period.
- i) Approval to participate in the E-Learning Days Pilot Program will be for three years (see Section 10-20.56(d) of the School Code), except that approval in the second and third years shall be based on a review of the continuation application required under this subsection (i).

 - 1) By September 1 of each year following initial approval, each participating school district shall submit a continuation application to the State Superintendent that:

 - A) provides a summary of how the applicant will meet each of the program components listed in Section 10-20.56 of the School Code and this Section;
 - B) describes any changes in the program delivery model to be implemented for the school year;
 - C) identifies any problems encountered in the previous school year related to the provision or monitoring of the program; and
 - D) proposes remedies to be implemented during the next school year to resolve the problems identified.
 - 2) The continuation application shall be submitted electronically through the Illinois Web-based Application Security (IWAS) System (see <https://sec1.isbe.net/iwas/asp/login.asp?js=true>) according to the timelines established by the State Superintendent of Education.
 - 3) Approval during any continuation period shall be contingent upon sufficient evidence that the e-learning program to be implemented in the continuation period meets each of the requirements of Section 10-20.56 of the School Code and the application approved under this Section and that any deficiencies identified have been resolved.

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j) Terms and Conditions of Approval

- 1) A school district that receives approval to participate in the E-Learning Days Pilot Program shall notify all educator licensed personnel and other employees, students and parents that it will be implementing an e-learning program no later 10 school days after receiving notification of approval from the State Board of Education.
- 2) An e-learning day shall be implemented on a districtwide basis, except as otherwise authorized under Section 18-12 of the School Code.
- 3) A school district that is approved to use e-learning days may choose to use an emergency day instead of an e-learning day; that is, the school district's participation in the e-learning program does not compel it to use only e-learning days. Further, the school district is not required to exhaust all of its emergency days before using an e-learning day.
- 4) A school district using an e-learning day shall use only educator licensed personnel under contract with the school district to deliver instruction, except that a person holding a substitute teaching license issued under Section 21B-20 of the School Code [105 ILCS 5/21B-20] may be used in cases of illness or leaves of absence.
- 5) The school district shall assign one or more school administrators to monitor the program, to include, but not be limited to, verifying attendance, providing instruction should a teacher be unavailable, and overseeing student participation and the technical aspects of the e-learning program.
- 6) The State Superintendent of Education may withdraw approval of the e-learning program when evidence is presented that the school district violated the requirements, terms and conditions set forth in Section 10-20.56 of the School Code and/or the application approved under this Section.
- 7) A student unable to participate in an e-learning day due to computer problems, power outages or other circumstances beyond the student's control shall not be penalized (e.g., unexcused absences, lowering of grades) for his or her inability to participate in the e-learning instruction if

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the student later completes and submits the required school work within a timeframe specified by the district. A school district, however, shall not count the student as being in attendance on the e-learning day for purposes of determining average daily attendance when computing General State Aid.

- 8) A school district shall compute General State Aid in accordance with the requirements of Section 18-8.05(F) of the School Code and Section 1.420(f) of this Part.
- 9) A school district shall submit a final report specific to its e-learning program no later than December 31, 2018, and interim reports no later than 30 days after an e-learning day is used, that address, at minimum, each of the items listed in this subsection (j)(9). The reports shall be submitted in accordance with a format specified by the State Superintendent of Education. Each report shall include:
 - A) a description of the process and evidence used to verify that a minimum of five clock hours of instruction or school work was provided for each student participating on the e-learning day;
 - B) a summary of how each of the requirements of Section 10-20.56 of the School Code and components of the e-learning program approved under this Section were met, describing any challenges encountered and/or solutions proposed to remedy the problems identified;
 - C) a summary of attendance information of students and teachers for each e-learning day used, compared to attendance information relative to students and teachers for the three days previous to the e-learning day; and
 - D) a summary of feedback about the e-learning experience from a representative sampling of teachers, students and parents, and how the e-learning program was improved or modified based on the feedback received.

(Source: Amended at 40 Ill. Reg. _____, effective _____)

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith, Ph.D., State Superintendent of Education 
Stephanie Donovan, General Counsel 

Agenda Topic: Part 70 (Early Childhood Teacher Preparation Assistance Grant)

Materials: Recommended Amendments

Staff Contacts: Reyna Hernandez, Assistant Superintendent, Language and Early Childhood Development

Purpose of Agenda Item

The purpose of this agenda item is to present the proposed amendments for adoption.

Relationship to/Implications for the State Board's Strategic Plan

The proposed amendments do not directly relate to any of the Board's Strategic Goals, as they respond to the change from a system of teacher, administrator and school service personnel certification to an educator licensure system.

Expected Outcome of Agenda Item

The Board will be asked to adopt the amendment to Part 70.

Background Information

The State Board of Education established the Early Childhood Teacher Preparation Assistance Grant in 2007, earmarking \$600,000 from the agency's Early Childhood Block Grant for planning and implementation grants. Patterned after the "Grow Your Own" Teacher initiative, the rules for the Teacher Preparation Assistance grant were promulgated in February 2007, and four grants were awarded. Prior to FY 2010 when funding was discontinued, a total of 77 candidates enrolled in the programs, most of whom obtained an initial early childhood teaching certificate or were scheduled to complete their programs. Since FY 2010, agency staff members have remained committed to increasing the pool of teachers holding early childhood endorsements through use of an intergovernmental agreement between the State Board of Education and the Department of Human Services (DHS) rather than by establishing programs under Part 70.

At the current time, this initiative remains unfunded. However, the agency still is required to update the rules to reflect the changes made by P.A. 97-607, effective August 26, 2011. This public act repealed the certification system established under Article 21 of the School Code and replaced it with the current system of educator licensure authorized under Article 21B of the School Code. References to certification and related terms are being modified to align the rules to the licensure system, which became effective July 1, 2013.

The proposed rulemaking was published September 4, 2015, in the Illinois Register to elicit public comment. None was received, and the amendments being presented for adoption are identical to the proposal the Board considered in August.

Analysis and Implications for Policy, Budget, Legislative Action and Communications

Policy Implications: Please see “Background” above.

Budget Implications: As noted above, the teacher assistance program has not been funded since FY 2010. In FY 2015, the State Board allocated \$500,000 from the Early Childhood Block Grant to DHS for the Gateways to Opportunity Scholarship Program.

Legislative Action: None needed.

Communication: Please see “Next Steps” below.

Pros and Cons of Various Actions

Given its experience and administrative structure, DHS can more efficiently and effectively operate programs that encourage individuals either to obtain a professional educator license endorsed for early childhood education or, for teachers already holding early childhood endorsements, to add the bilingual education endorsement to their professional educator licenses. Nonetheless, Part 70 should conform to current statute, both to comply with the provisions of the Illinois Administrative Procedure Act and to provide clarity for entities regulated by its provisions.

Superintendent’s Recommendation

The State Superintendent recommends that the State Board of Education adopt the following motion:

The State Board of Education hereby adopts the proposed rulemaking for:

Early Childhood Teacher Preparation Assistance Grant (23 Illinois Administrative Code 70).

Further, the Board authorizes the State Superintendent of Education to make such technical and nonsubstantive changes as the State Superintendent may deem necessary in response to suggestions or objections of the Joint Committee on Administrative Rules.

Next Steps

Notice of the adopted amendments will be submitted to the Joint Committee on Administrative Rules to initiate JCAR’s review. When that process is complete, the amendments will be filed with the Secretary of State and disseminated as appropriate.

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TITLE 23: EDUCATION AND CULTURAL RESOURCES

SUBTITLE A: EDUCATION

CHAPTER I: STATE BOARD OF EDUCATION

SUBCHAPTER b: PERSONNEL

PART 70

EARLY CHILDHOOD TEACHER PREPARATION ASSISTANCE GRANT

Section

- 70.10 Purpose and Applicability
- 70.20 Eligible Applicants
- 70.30 Planning Grants – Procedures and Content of Proposals
- 70.40 Criteria for Review and Approval of Planning Proposals
- 70.50 Implementation Grants – Procedures and Content of Proposals
- 70.60 Criteria for Review and Approval of Implementation Proposals
- 70.70 Application Content and Approval Criteria for Continuation Programs
- 70.80 Loans; Waiver or Deferral of Repayment

AUTHORITY: Implementing Sections 1C-2 and 2-3.71 of the School Code [105 ILCS 5/1C-2 and 2-3.71] and authorized by Section 1C-5 of the School Code [105 ILCS 5/1C-5].

SOURCE: Emergency rule adopted at 30 Ill. Reg. 17952, effective October 24, 2006, for a maximum of 150 days; adopted at 31 Ill. Reg. 3599, effective February 20, 2007; amended at 39 Ill. Reg. _____, effective _____.

Section 70.10 Purpose and Applicability

The goal of the Early Childhood Teacher Preparation Assistance Grant is to address the shortages experienced by preschool education programs funded under Section 2-3.71 of the School Code [105 ILCS 5/2-3.71] of teachers holding Early Childhood certificates a professional educator license endorsed for early childhood education issued pursuant to Section ~~21-2.121B-25~~ of the School Code [105 ILCS 5/~~21-2.121B-25~~] and State Board of Education rules governing Standards for All Illinois Teachers (23 Ill. Adm. Code 24), Certification-Educator Licensure (23 Ill. Adm. Code 25) and Standards for Certification-Endorsements in Early Childhood Education and in Elementary Education (23 Ill. Adm. Code 26).

- a) This Part establishes the procedures and criteria for the approval of proposals submitted to the State Board of Education by eligible applicants for grants to establish programs to assist individuals employed in State-funded preschool education programs and other early childhood education programs to enroll as candidates in and complete a teacher preparation program leading to ~~an Initial~~

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~~Early Childhood teaching certificate~~ professional educator license endorsed in early childhood education. The Early Childhood Teacher Preparation Assistance Grant program shall:

- 1) be designed to enroll a single group of individuals who will move through their coursework and educational experiences at the same time;
 - 2) offer the coursework necessary for individuals possessing a bachelor's degree to obtain ~~an Initial Early Childhood teaching certificate~~ professional educator license endorsed in early childhood education or the coursework necessary for individuals possessing an associate's degree to obtain a bachelor's degree and ~~an Initial Early Childhood teaching certificate~~ professional educator license endorsed in early childhood education; and
 - 3) make a commitment to continue the program with the group of candidates so that those candidates will be able to successfully complete their education and teaching experiences in an amount of time that is commensurate with the amount of time it would take a candidate in the institution's regular program to complete the same course of study and experiences, provided that the program continues to receive State funding.
- b) The provisions of this Part shall not apply to a school district that receives funding for early childhood programs as part of its general education block grant pursuant to Section 1D-1 of the School Code [105 ILCS 5/1D-1] nor to any entity that receives a grant from that school district for early childhood programs funded under Section 1D-1 of the School Code.

(Source: Amended at 39 Ill. Reg. _____, effective _____)

Section 70.20 Eligible Applicants

- a) An eligible applicant for the Early Childhood Teacher Preparation Assistance Grant shall be a partnership consisting of:
 - 1) One or more educational entities serving elementary and secondary schools (e.g., school districts, private schools, Regional Offices of Education) and/or one or more community-based organizations that provide early childhood education programs or related services, such as technical assistance or professional development, to early childhood programs and practitioners; and

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- 2) One or more four-year institutions of higher education with an accredited teacher ~~education-preparation~~ program for early childhood education.
- b) The partnership shall designate one entity to serve as the administrative agent for the grant.
- c) Preference for funding shall be provided to eligible applicants whose programs target individuals, as defined in Section 70.10(a) ~~of this Part~~, who are:
 - 1) from a bilingual or minority background and already possess bachelor's degrees and need only to complete coursework necessary for ~~Early Childhood certification purposes~~ receipt of the professional educator license endorsed for early childhood education; or
 - 2) willing to work in State-funded preschool programs in geographic areas experiencing a shortage of teachers who hold ~~Early Childhood teaching certificates~~ professional educator licenses endorsed for early childhood education. A shortage area is defined as one in which State-funded preschool education programs operating in that area are unable to enroll additional students in their programs due to a lack of properly ~~certified~~ licensed teachers or the State Board of Education is unable to fund additional programs to meet the need of a particular area for preschool education due to a lack of properly ~~certified~~ licensed teachers.

(Source: Amended at 39 Ill. Reg. _____, effective _____)

Section 70.30 Planning Grants – Procedures and Content of Proposals

A planning grant shall be used to support costs associated with developing a plan for implementation of an Early Childhood Teacher Preparation Assistance Grant program, which shall include the identification and recruitment of the group of individuals to be enrolled in the program.

- a) When sufficient funding is available, the State Superintendent of Education shall issue a Request for Proposals (RFP) specifying the information that applicants shall include in their planning proposals, informing applicants of any bidders' conferences, and requiring that proposals be submitted no later than the date specified in the RFP. The RFP shall provide at least 30 calendar days in which to submit proposals.

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- b) Each proposal submitted in response to an RFP shall include the following components.
- 1) Demographic information about the area to be served by the program, which shall include statistics about number of programs funded under Section 2-3.71 of the School Code that serve the area and their need for ~~certified-educator licensed~~ teachers.
 - 2) Demographic information about individuals employed by State-funded preschool education programs and other early childhood education programs who do not hold ~~Early Childhood teaching certificates~~ professional educator licenses endorsed in early childhood education, including, but not limited to, their race/ethnicity, language (other than English) and cultural background, and educational attainment.
 - 3) Descriptive information about each entity involved in the partnership:
 - A) the teacher preparation program must provide the specific information about the institution's success in preparing teachers for early childhood teaching positions, particularly in areas serving bilingual and minority children; and
 - B) the community-based or nonpublic educational organization must include its mission statement, organizational structure, and goals or policies regarding early childhood programs and services, including the applicant's existing competencies to provide early childhood education programs, if applicable, and a list of any early childhood accreditations that have been achieved.
 - 4) A list of the persons, and their affiliations, who will be involved in the planning process.
 - 5) A plan of work for the planning process that includes objectives, specific activities, timelines and responsible parties.
 - 6) Budget information that corresponds to the categories of allowable expenditures identified in subsection (c) ~~of this Section~~, completed on the forms provided and detailing each line item of expenditure.
 - 7) ~~Such~~ Any certifications and assurances as the State Superintendent of Education may require.

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- c) Allowable uses of planning grant funds shall include:
- 1) activities that are designed to secure the participation and commitment of the required partners; ~~and~~
 - 2) activities that are designed to attract or identify individuals for teacher preparation who currently work in State-funded preschool education programs or other early childhood education programs and hold either a bachelor's degree or an associate's degree but do not have ~~an Early Childhood teaching certificate~~ a professional educator license endorsed for early childhood education; and
 - 3) activities that are designed to identify barriers to ~~teacher certification~~ educator licensure for the individuals to be enrolled and to identify strategies and resources for mitigating those barriers.

(Source: Amended at 39 Ill. Reg. _____, effective _____)

Section 70.40 Criteria for Review and Approval of Planning Proposals

- a) Planning grant proposals shall be reviewed and ranked according to the following criteria.
- 1) The applicant demonstrates that the area proposed to be served has unmet needs that could be effectively addressed by the Early Childhood Teacher Preparation Assistance Grant program. (40 points)
 - 2) The planning activities proposed respond to the needs identified and are directed at implementing a program that will enable individuals to successfully complete requirements necessary for obtaining ~~an Initial Early Childhood teaching certificate~~ a professional educator license endorsed for early childhood education. (40 points)
 - 3) The activities proposed are cost-effective, as evidenced by the scope of the planning work to be conducted and the potential number of individuals proposed to be enrolled in the program. (20 points)
- b) The State Superintendent of Education shall determine the amount of individual grant awards. The final award amounts shall be based upon:

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- 1) the total amount of funds available for the Early Childhood Teacher Preparation Assistance Grant; and
- 2) the resources requested in the top-ranked proposals, as identified pursuant to subsection (a) ~~of this Section.~~

(Source: Amended at 39 Ill. Reg. _____, effective _____)

Section 70.50 Implementation Grants – Procedures and Content of Proposals

Implementation grants shall be offered in years when the level of available funding is such that one or more new partnerships can be funded; or, for partnerships already funded, a new group of individuals can be supported in addition to the group of candidates already enrolled. ~~Priority for funding shall be given in the initial implementation cycle (i.e., FY 2008) to grantees awarded funds under Section 70.40 of this Part that have successfully completed the planning process and are ready to implement an Early Childhood Teacher Preparation Assistance Grant program.~~

- a) When sufficient funding is available, the State Superintendent of Education shall issue a Request for Proposals (RFP) specifying the information that applicants shall include in their implementation proposals, informing applicants of any bidders' conferences, and requiring that proposals be submitted no later than the date specified in the RFP. The RFP shall provide at least 45 calendar days in which to submit proposals.
- b) Each proposal submitted in response to an RFP shall include the following components.
 - 1) Descriptive information about each entity involved in the partnership, including the roles and responsibilities of each partner.
 - A) The teacher preparation program must indicate specific information about the institution's success in preparing teachers for early childhood teaching positions, particularly in areas serving bilingual and minority children.
 - B) The community-based organization or nonpublic educational entity must include its mission statement, organizational structure, and goals or policies regarding early childhood programs and services, including the applicant's existing competencies to provide early childhood education programs, if applicable, and a list of any early childhood accreditations that have been achieved.

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- 2) The goals and objectives of the partnership in ensuring a program that is successful and sustainable.
- 3) A description of the need for the program, which shall include:
 - A) Demographic information about the area to be served by the program, including statistics about number of programs funded under Section 2-3.71 of the School Code that serve the area and their need for ~~certified-educator licensed~~ teachers.
 - B) Demographic information about individuals employed by State-funded preschool education programs and other early childhood education programs in the area to be served who do not hold ~~Early Childhood teaching certificates~~ professional educator licenses endorsed for early childhood education, including, but not limited to, their race/ethnicity, language (other than English) and cultural background, and educational attainment.
- 4) A description of the program to be implemented, to include:
 - A) the partnership's plans for recruiting and providing support to individuals enrolled in the program, including working with employers to ensure that the individuals can fully participate in the program;
 - B) strategies to be employed to ensure that individuals to be enrolled are adequately prepared to successfully progress through the program, which shall include but not be limited to assistance to ensure each individual's passage of ~~the Basic Skills Test Illinois' test of basic skills~~ required ~~for admittance to a teacher preparation program~~ prior to a candidate's beginning student teaching [105 ILCS 5/~~21-1a~~21B-30];
 - C) coursework and experiences needed to complete the program, to include the length of the program and sample schedules;
 - D) identification of sites where student teaching will occur; and

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- E) expectations for candidates' course completion rates or the performance levels needed to continue their participation in the program.
- 5) A plan for evaluating the impact of the proposed program and activities, which shall correspond to the applicable specifications set forth in the RFP.
- 6) Budget information that corresponds to the categories of allowable expenditures identified in the RFP, completed on the forms provided and detailing each line item of expenditure. The budget information shall cover the entire period of time during which the proposed group of candidates is expected to participate in the teacher preparation program.
 - A) Applicants shall be required to demonstrate that grant funds will supplement and not supplant amounts typically devoted by the institution of higher education to, and other resources available for, assisting teacher candidates.
 - B) Applicants shall be required to describe the steps that will be taken to decrease the need for external financial support for the partnership and its program over time.
- 7) ~~Such~~ Any certifications and assurances as the State Superintendent of Education may require.

(Source: Amended at 39 Ill. Reg. _____, effective _____)

Section 70.60 Criteria for Review and Approval of Implementation Proposals

- a) Proposals for implementation grants shall be evaluated in accordance with the following criteria.
 - 1) Quality of Proposed Program (40 points)
 - A) The proposal demonstrates that:
 - i) coursework and experiences required for certification educator licensure will be scheduled and located to be accessible to candidates in the program; and

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- ii) supportive services (e.g., counseling, tutoring, child care) that have been identified as necessary will be offered to enable candidates to progress through the program and attain certification a professional educator license endorsed in early childhood education.

 - B) The proposal establishes a timetable or performance level for candidates as a condition for their continued receipt of assistance under this program.

 - C) The proposal includes plans for assisting candidates in tapping sources of financial aid beyond those made available under this Part and by the members of the partnership.

 - D) The plan of work for the program includes effective strategies for overcoming known barriers faced by the candidates.

 - E) The evaluation plan is designed to yield information that can be used both in judging the program's qualitative and quantitative impact and in identifying changes or new approaches that will improve the program's outcomes.
- 2) Program Need (30 points)
- A) The proposal clearly indicates that the area to be served has State-funded preschool education programs that are experiencing a shortage of teachers with Early Childhood certificates professional educator licenses endorsed for early childhood education.

 - B) Criteria and indicators for identifying individuals to be enrolled in the program are clearly established and likely to target those individuals who have the greatest likelihood of successfully completing the program.

 - C) The recruitment strategies that are proposed are likely to be effective in enrolling the individuals in the program, particularly individuals who reflect the diversity of the children participating in State-funded preschool education programs that serve the targeted area.
- 3) Experience and Qualifications (20 points)

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- A) The proposal demonstrates that the institution of higher education has the capacity (i.e., faculty and other resources) to serve the group of individuals to be enrolled in its approved teacher preparation program.
 - B) The proposed roles and responsibilities of each entity that is a member of the partnership are appropriate, given the entity's qualifications, experience with early childhood initiatives and services, and the resources each will devote to the program.
 - C) The proposal demonstrates that the community organization or educational entity is familiar with the needs of early childhood education programs, in particular the needs of State-funded preschool education programs, located in the area proposed to be served and has the capacity to recruit individuals for and support them as they progress through the program.
- 4) Cost-Effectiveness (10 points)
- A) The program is cost-effective as evidenced by the cost of proposed services in relation to the individuals to be enrolled and the services to be provided.
 - B) The proposal describes commitments on the part of all the partnership's members that will enable the partnership to sustain the program over time with a reduction in the need for external resources.
- b) Priority consideration may be given to proposals with specific areas of emphasis, as identified by the State Superintendent of Education in a particular RFP.
- c) The State Superintendent of Education shall determine the amount of individual grant awards. The final award amounts shall be based upon:
- 1) the total amount of funds available for the Early Childhood Teacher Preparation Assistance Grant; and
 - 2) the resources requested in the top-ranked proposals, as identified pursuant to subsections (a) and (b) ~~of this Section.~~

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(Source: Amended at 39 Ill. Reg. _____, effective _____)

Section 70.70 Application Content and Approval Criteria for Continuation Programs

- a) A partnership that has received implementation funding for a group of individuals shall be subject to the requirements of this Section with respect to continued funding for that group in subsequent years.
 - 1) The partnership shall submit an application for continued funding for the candidates enrolled in the program, using a format specified by the State Superintendent of Education.
 - 2) Each application shall contain a mid-year report on the current status of the program and the candidates, documenting the activities and support provided to date and describing the degree to which the candidates are achieving the program's objectives.
 - 3) Each application shall provide an updated narrative description of the objectives, activities, timelines, and evaluation procedures for the renewal year, relating the proposed plan of work to the results that have been achieved to date.
 - 4) Each application shall include updated budget information for the renewal year, including a detailed budget breakdown, that describes any needed variances from the budget proposed in the initial year of funding.
 - 5) Each application shall include ~~such any~~ certifications and assurances as the State Superintendent of Education may require.
- b) The State Superintendent of Education shall, contingent upon appropriation of funds for this initiative, provide continuation funding to a partnership that demonstrates:
 - 1) success in providing the supports necessary to retain candidates in the program; and
 - 2) Either:
 - A) that a majority of the candidates in the group served has completed coursework or other requirements for ~~certification-educator licensure~~ during at least one semester of the preceding year; or

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- B) that funds will be used to support only those candidates who have progressed toward ~~certification-educator licensure~~ and/or have identified steps to be taken toward ~~certification-educator licensure~~ in the academic year in which funding is requested.

(Source: Amended at 39 Ill. Reg. _____, effective _____)

Section 70.80 Loans; Waiver or Deferral of Repayment

Any candidate in a program administered under this Part may receive a forgivable loan for direct expenses associated with completion of the Early Childhood teacher preparation program, provided those expenditures are not otherwise paid for through grants-in-aid, other forgivable loans, or other resources of the consortium. Any amount expended for an individual's direct expenses shall be considered a part of that individual's loan, regardless of how the payment is administered and regardless of whether the individual receives any actual payment of funds. The total amount of any candidate's loan shall not exceed \$12,000.

- a) Loan funds provided to candidates as part of this program shall be fully forgiven if a graduate completes five years of service in a State-funded preschool education program established pursuant to Section 2-3.71 of the School Code. Forgiveness and repayment of loans shall be determined as provided in this Section.
- b) An individual may accrue the service required for forgiveness of loans under this Part in one or more State-funded preschool education programs.
- c) If an individual has not assumed employment in a State-funded preschool education program or position within two years after receiving a ~~teaching certificate~~professional educator license endorsed in early childhood education, the individual shall be required to begin the repayment of amounts loaned under this Part. No interest shall apply. An individual who drops out of the program shall be required to begin repaying the amounts loaned in the month following the month when it becomes evident that he or she will not be completing any of the program's requirements for two consecutive semesters.
- d) If an individual has not completed five years of service within 10 years after receiving a ~~teaching certificate~~professional educator license endorsed for early childhood education, the individual shall be required to begin the repayment of amounts loaned under this Part. The amount due shall be the total amount borrowed, less a percentage reflecting the relationship that any time taught by the individual in State-funded preschool education programs or positions bears to the

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total five-year commitment. Loan amounts shall be reduced in increments of 10 percent for each semester completed.

- e) Repayment of loans shall be made in no more than 60 equal installments. The minimum monthly payment will be determined by dividing the total amount due by 60. An individual may prepay the balance due on the loan in its entirety at any time or make payments in addition to the minimum amount owed each month without penalty.
- f) In addition to the loan forgiveness in accordance with subsection (a) ~~of this Section~~, the State Superintendent may defer or waive an individual's obligation to repay an amount due as provided in this subsection (f).
 - 1) The State Superintendent shall waive the repayment obligation for an individual who is counseled out of a preparation program or found ineligible to continue, provided that the individual's exit from the program is not due to a violation of law or of applicable institutional policies.
 - 2) The State Superintendent shall waive the repayment obligation for an individual who drops out of a preparation program or demonstrates that he or she is unable to complete a portion of the required teaching service due to:
 - A) the onset or exacerbation of a disability;
 - B) the need to care for an immediate family member during serious illness or disability;
 - C) destruction of the individual's residence; or
 - D) other circumstances that require the individual to assume responsibilities that cannot be avoided without serious financial hardship or other family disruption (e.g., death of a spouse that results in the need to take a second job or assume operation of a business).
 - 3) The State Superintendent shall waive the repayment obligation for a candidate who does not complete a preparation program due to the unavailability of a State appropriation for this initiative for at least two consecutive years.

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- 4) The State Superintendent shall defer the repayment obligation for a period of time specifically related to the circumstances when an individual:
 - A) is unemployed or is working for fewer than 30 hours per week; or
 - B) is experiencing a financial hardship (e.g., receiving public assistance or earning an amount per month that is no greater than 200 percent of the amount of the loan payment, or experiencing circumstances such as those outlined in subsection (f)(2) ~~of this Section~~); or
 - C) has re-enrolled as a full-time student in an institution of higher education or in a program under this Part.

- 5) Each request for a waiver or deferral of repayment shall be submitted by a representative of the partnership under whose auspices the individual is or was enrolled in teacher preparation. Using a format specified by the State Superintendent, the representative and the affected individual shall describe the specific circumstances that apply. This description shall be accompanied by evidence such as a physician's statement, insurance claim, or other documentation of the relevant facts.

- g) When a ~~teaching certificate~~professional educator license is issued to an individual who received assistance under this Part, the ~~certificate license~~ shall be accompanied by:
 - 1) a statement indicating the total amount of the loan received by the individual and the amount due and identifying the dates applicable to repayment under this Section; and
 - 2) a claim form that the individual may use to claim forgiveness of the loan amount, which shall require the individual to identify the periods of service completed in a State-funded preschool education program or positions and the school administrators who can verify the individual's service.

- h) Management of Loans
 - 1) It shall be the responsibility of the four-year institution of higher education to assist the State Board of Education with the forgivable loan process in the following manner:

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

NOTICE OF ADOPTED AMENDMENTS

- A) by keeping records of the amounts provided to or on behalf of each individual for direct expenses; ~~and~~
 - B) by keeping up-to-date contact information regarding the address and telephone number of each individual during the individual's preparation at that institution; and
 - C) by notifying the State Superintendent of Education within 30 days after a candidate fails to enroll in coursework as expected or otherwise ceases to participate in the program and informing the State Superintendent of the total amount of the candidate's loan for direct expenses as of that point in time.
- 2) Each institution of higher education shall notify the State Superintendent as to who will be responsible for this information and shall provide contact information for the responsible individual within the institution.
- i) It shall be the responsibility of the State Superintendent of Education to take ~~such~~ any actions as may be necessary to secure repayment when necessary.

(Source: Amended at 39 Ill. Reg. _____, effective _____)

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith, Ph.D., State Superintendent of Education 
Robert Wolfe, Chief Financial Officer 
Stephanie Donovan, General Counsel 

Agenda Topic: Part 100 (Requirements for Accounting, Budgeting, Financial Reporting, and Auditing)

Materials: Recommended Amendment

Staff Contacts: Deb Vespa, Division Administrator, School Business Services

Purpose of Agenda Item

The purpose of this agenda item is to present the proposed amendment for adoption.

Relationship to/Implications for the State Board's Strategic Plan

This rulemaking is not directly related to the Strategic Plan. It is technical in nature and has been necessitated by P.A. 99-5, the fiscal year 2016 appropriations bill for the State Board of Education.

Expected Outcome of Agenda Item

The Board will be asked to adopt the amendment to Part 100.

Background Information

P.A. 99-5, effective July 1, 2015, appropriates \$85 million for supplemental grants to certain school districts to compensate them for losses incurred due to insufficient funds being appropriated to fully fund general State aid (GSA) claims (Article 1, Section 10 of the Act). The appropriation has necessitated a change in the State Board's rules for accounting, budgeting, financial reporting and auditing (Part 100). School districts receiving the supplemental grant must account for these funds separately from funds from other sources. The range of revenue accounts found in Table C of Part 100, however, does not currently offer a means of segregating the supplemental grant for GSA from any other funds that may be used for similar purposes. The agency must ensure that districts will use a uniform system of capturing this information. For this reason, a new code has been assigned for use by those districts receiving the supplemental grant, ensuring comparability in the eventual reporting and data collection.

The rulemaking has been promulgated on an emergency basis and is currently in effect. Budget forms and other fiscal information included in the 2016 application package include the new revenue account code. The urgency to release the funds, coupled with the need for accountability, meant that rules needed to be put in place as soon as possible. Once the proposed rulemaking presented for adoption today is final, it will replace the emergency rule currently in effect.

The proposed amendment was published September 4, 2015, in the Illinois Register to elicit public comment. One letter supporting the change was received, and the amendment being presented for adoption is identical to the proposal the Board considered in August.

Analysis and Implications for Policy, Budget, Legislative Action and Communications

Policy Implications: Please see “Background” above.

Budget Implications: None.

Legislative Action: None needed.

Communication: Please see “Next Steps” below.

Pros and Cons of Various Actions

Promulgation of this amendment makes permanent the emergency rulemaking, ensuring the necessary uniform basis for districts’ accounting, as well as contributing to the longer-range purposes of reporting and auditing.

Failure to adopt this rulemaking would require staff of each district to make accounting decisions regarding the supplemental grant received once the emergency rulemaking expires.

Superintendent’s Recommendation

The State Superintendent recommends that the State Board of Education adopt the following motion:

The State Board of Education hereby adopts the proposed rulemaking for:

Requirements for Accounting, Budgeting, Financial Reporting, and Auditing (23 Illinois Administrative Code 100).

Further, the Board authorizes the State Superintendent of Education to make such technical and nonsubstantive changes as the State Superintendent may deem necessary in response to suggestions or objections of the Joint Committee on Administrative Rules.

Next Steps

Notice of the adopted rules will be submitted to the Joint Committee on Administrative Rules to initiate JCAR’s review. When that process is complete, the rules will be filed with the Secretary of State and disseminated as appropriate.

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TITLE 23: EDUCATION AND CULTURAL RESOURCES
SUBTITLE A: EDUCATION
CHAPTER I: STATE BOARD OF EDUCATION
SUBCHAPTER c: FINANCE

PART 100

REQUIREMENTS FOR ACCOUNTING, BUDGETING, FINANCIAL REPORTING, AND
AUDITING

Section

Section

100.10	Purpose and Applicability
100.20	Definitions
100.30	General Requirements
100.40	Types of Funds, Basis of Accounting, and Recognition of Transactions
100.50	Intra-Fund and Inter-Fund Transactions
100.60	Capital Assets and Depreciation
100.70	Revolving Funds
100.80	Student Activity Funds
100.90	Submission of Budgets and Deficit Reduction Plans
100.100	Annual Financial Reports
100.110	Annual Audit Requirements
100.120	Provisions Related to Debt
100.130	Requirements Specific to Funds Received Pursuant to the American Recovery and Reinvestment Act of 2009 (ARRA), the Education Jobs Fund Program (Ed Jobs), the Race to the Top Program, and the Preschool Expansion Grant Program
100.TABLE A	Classification of Funds
100.TABLE B	Balance Sheet Accounts
100.TABLE C	Revenue Accounts
100.TABLE D	Expenditure Accounts
100.TABLE E	"Sources and Uses" Accounts; Miscellaneous
100.TABLE F	Expenditure Object Accounts

AUTHORITY: Implementing and authorized by Sections 2-3.17a, 2-3.27, 2-3.28, 3-7, 17-1, and 34-43.1 of the School Code [105 ILCS 5/2-3.17a, 2-3.27, 2-3.28, 3-7, 17-1, and 34-43.1].

SOURCE: Old Part repealed at 10 Ill. Reg. 20507, effective December 2, 1986; new Part adopted at 31 Ill. Reg. 14874, effective October 19, 2007; amended at 32 Ill. Reg. 16439, effective September 24, 2008; emergency amendment at 33 Ill. Reg. 6313, effective April 17, 2009, for a maximum of 150 days; emergency expired September 13, 2009; emergency amendment at 33 Ill. Reg. 12589, effective August 26, 2009, for a maximum of 150 days; amended at 33 Ill. Reg. 16728, effective November 23, 2009; emergency amendment at 34 Ill.

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Reg. 15489, effective September 22, 2010, for a maximum of 150 days; amended at 35 Ill. Reg. 2259, effective January 20, 2011; emergency amendment at 36 Ill. Reg. 5624, effective March 21, 2012, for a maximum of 150 days; amended at 36 Ill. Reg. 12623, effective July 18, 2012; emergency amendment at 39 Ill. Reg. 3146, effective February 11, 2015, for a maximum of 150 days; amended at 39 Ill. Reg. 9982, effective June 30, 2015; emergency amendment at 39 Ill. Reg. 12398, effective August 20, 2015, for a maximum of 150 days; amended at 39 Ill. Reg. _____, effective _____.

Section 100.TABLE C Revenue Accounts

Label	Account Number	Source; Notes
RECEIPTS/REVENUE FROM LOCAL SOURCES	1000	
AD VALOREM TAXES	1100	
Educational Purposes Levy	1110	105 ILCS 5/17-2 and 17-3.
Operations and Maintenance Purposes Levy	1111	105 ILCS 5/17-5.
Bond and Interest Purposes Levy	1112	105 ILCS 5/17-9.
Transportation Purposes Levy	1113	105 ILCS 5/17-4.
Municipal Retirement Purposes Levy	1114	40 ILCS 5/7-171.
Working Cash Purposes Levy	1115	105 ILCS 5/20-3.
Public Building Commission Rent Levy	1116	50 ILCS 20/18.
Capital Improvement Purposes Levy	1117	105 ILCS 5/17-2 and 17-2.3.
Fire Prevention & Safety Purposes Levy	1118	105 ILCS 5/17-2.11.
Emergency Financial Assistance Levy	1119	105 ILCS 5/1B-8 and 1F-62.
Tort Immunity/ Judgment Purposes Levy	1120	745 ILCS 10/9-109.
Leasing Purposes Levy	1130	105 ILCS 5/17-2.2c.

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Label	Account Number	Source; Notes
Special Education Purposes levy	1140	105 ILCS 5/ 17-2.2a.
FICA and Medicare Only Levies	1150	Social Security taxes and the employer's share of Medicare Only payments; 40 ILCS 5/21-110, 110.1.
Area Vocational Construction Purposes Levy	1160	105 ILCS 5/17-2.4.
Summer School Purposes Levy	1170	105 ILCS 5/17-2 and 17-2.1.
Other Tax Levies	1190	Taxes received from other tax levies not specifically identified (describe and itemize).
PAYMENTS IN LIEU OF TAXES	1200	
Mobile Home Privilege Tax	1210	
Payments from Local Housing Authorities	1220	
Corporate Personal Property Replacement Taxes	1230	Amounts received to replace personal property tax revenues lost.
Other Payments in Lieu of Taxes	1290	
TUITION	1300	
Total Regular Tuition	1310	Amounts received for pupils attending the district's regular schools; 105 ILCS 5/10-20.12a.
Regular Tuition from Pupils or Parents (In-State)	1311	
Regular Tuition from Other Districts (In-State)	1312	
Regular Tuition from Other Sources (In-State)	1313	
Regular Tuition from Other Sources (Out-of-State)	1314	
Total Summer School Tuition	1320	Amounts received for pupils attending summer school.
Summer School Tuition from Pupils or Parents (In-State)	1321	

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Label	Account Number	Source; Notes
Summer School Tuition from Other Districts (In-State)	1322	
Summer School Tuition from Other Sources (In-State)	1323	
Summer School Tuition from Other Sources (Out-of-State)	1324	
Total CTE Tuition	1330	Amounts received for pupils attending career and technical education programs.
CTE Tuition from Pupils or Parents (In-State)	1331	
CTE Tuition from Other Districts (In-State)	1332	
CTE Tuition from Other Sources (In-State)	1333	
CTE Tuition from Other Sources (Out-of-State)	1334	
Total Special Education Tuition	1340	Amounts received for pupils attending special education programs.
Special Education Tuition from Pupils or Parents (In-State)	1341	
Special Education Tuition from Other Districts (In-State)	1342	
Special Education Tuition from Other Sources (In-State)	1343	
Special Education Tuition from Other Sources (Out-of-State)	1344	
Total Adult Tuition	1350	Amounts received for pupils attending adult/continuing education programs.
Adult Tuition from Pupils or Parents (In-State)	1351	
Adult Tuition from Other Districts (In-State)	1352	

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Label	Account Number	Source; Notes
Adult Tuition from Other Sources (In-State)	1353	
Adult Tuition from Other Sources (In-State)	1354	
TRANSPORTATION FEES	1400	
Total Regular Transportation Fees	1410	Amounts received for transporting pupils to and from school and school activities (regular school day).
Regular Transportation Fees from Pupils or Parents (In-State)	1411	
Regular Transportation Fees from Other Districts (In-State)	1412	
Regular Transportation Fees from Other Sources (In-State)	1413	
Regular Transportation Fees from Co-curricular Activities (In-State)	1415	
Regular Transportation Fees from Other Sources (Out-of-State)	1416	
Total Summer School Transportation Fees	1420	Amounts received for transporting pupils to and from summer school.
Summer School Transportation Fees from Pupils or Parents (In-State)	1421	
Summer School Transportation Fees from Other LEAs (In-State)	1422	
Summer School Transportation Fees from Other Sources (In-State)	1423	
Summer School Transportation Fees from Other Sources (Out-of-State)	1424	
Total CTE Transportation Fees	1430	Amounts received for transporting pupils to and from career and technical education classes.

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Label	Account Number	Source; Notes
CTE Transportation Fees from Pupils or Parents (In-State)	1431	
CTE Transportation Fees from Other Districts (In-State)	1432	
CTE Transportation Fees from Other Sources (In-State)	1433	
CTE Transportation Fees from Other Sources (Out-of-State)	1434	
Total Special Education Transportation Fees	1440	Amounts received for transporting pupils to and from special education programs.
Special Education Transportation Fees from Pupils or Parents (In-State)	1441	
Special Education Transportation Fees from Other Districts (In-State)	1442	
Special Education Transportation Fees from Other Sources (In-State)	1443	
Special Education Transportation Fees from Other Sources (Out-of-State)	1444	
Total Adult Transportation Fees	1450	Amounts received for transporting pupils to and from adult/continuing education programs.
Adult Transportation Fees from Pupils or Parents (In-State)	1451	
Adult Transportation Fees from Other Districts (In-State)	1452	
Adult Transportation Fees from Other Sources (In-State)	1453	

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Label	Account Number	Source; Notes
Adult Transportation Fees from Other Sources (Out-of-State)	1454	
EARNINGS ON INVESTMENTS	1500	
Interest on Investments	1510	
Gain or Loss on Sale of Investments	1520	Gains or losses realized from the sale of bonds.
FOOD SERVICE	1600	
Sales to Pupils – Lunch	1611	
Sales to Pupils – Breakfast	1612	
Sales to Pupils – A la Carte	1613	
Sales to Pupils – Other	1614	
Sales to Adults	1620	Amounts received from adults for sale of food products and services.
Other Food Service	1690	Amounts received from local sources for other food service activities.
DISTRICT/SCHOOL ACTIVITY INCOME	1700	
Admissions – Athletic	1711	Amounts received from school-sponsored athletic events.
Admissions – Other	1719	Amounts received from admissions to all other school-sponsored events except athletics (describe and itemize).
Fees	1720	Amounts received from pupils for fees such as towel fees, locker fees, and equipment fees (excludes transportation).
Book Store Sales	1730	
Other District/School Activity Revenue	1790	All other revenue from district or school activities not otherwise specified.
TEXTBOOK INCOME	1800	
Rentals – Regular Textbooks	1811	
Rentals – Summer School Textbooks	1812	
Rentals – Adult/Continuing Education Textbooks	1813	
Rentals – Other	1819	Describe and itemize.
Total Textbook Rentals	1810	105 ILCS 5/10-22.25.
Sales – Regular Textbooks	1821	

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Label	Account Number	Source; Notes
Sales – Summer School Textbooks	1822	
Sales – Adult/Continuing Education Textbooks	1823	
Sales – Other	1829	
Total Textbook Sales	1820	105 ILCS 5/28-8.
Textbooks Other	1890	Textbook revenues not provided for elsewhere in the 1800 series of accounts.
OTHER LOCAL REVENUES	1900	
Rentals	1910	Amounts received for rental of school property, real or personal.
Contributions and Donations from Private Sources	1920	Amounts received from a philanthropic foundation, private individual, or private organization for which no repayment or special service to the contributor is expected.
Impact Fees from Municipal or County Governments	1930	Amounts received from a city, town, village, or county government from impact fees assessed in accordance with local ordinances.
Services Provided to Other Districts	1940	Amounts received for services other than tuition and transportation services (e.g., data processing, purchasing, maintenance, accounting, cleaning, consulting, guidance).
Refund of Prior Years' Expenditures	1950	A refund of an expenditure charged to a prior fiscal year's budget.
Payments of Surplus Moneys from TIF Districts	1960	Amounts received from distributions from Tax Increment Financing districts.
Drivers' Education Fees	1970	105 ILCS 5/27-24.2.
Proceeds from Vendors' Contracts	1980	Proceeds received pursuant to contracts between the district and various vendors.
School Facility Occupation Tax Proceeds	1983	Amounts received from distributions of School Facility Occupation Tax proceeds.
Payment from Other Districts	1991	Amounts representing a district's share of special education or career and technical education building costs.
Sale of Vocational Projects	1992	Amounts representing gain from the sale of vocational projects.
Other Local Fees	1993	Amounts assessed or received from local sources for district programs not classified elsewhere (describe and itemize).
Other Local Revenues	1999	Amounts received from local sources not provided for elsewhere in the 1000 series of accounts.

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Label	Account Number	Source; Notes
FLOW-THROUGH RECEIPTS/REVENUE FROM ONE DISTRICT TO ANOTHER DISTRICT	2000	
FLOW-THROUGH REVENUE FROM STATE SOURCES	2100	State revenues that can be further subdivided to account for individual grants.
FLOW-THROUGH REVENUE FROM FEDERAL SOURCES	2200	Federal revenues that can be further subdivided to account for individual grants.
OTHER FLOW-THROUGH REVENUE	2300	Other revenues that can be further subdivided to account for individual grants (describe and itemize).
RECEIPTS/REVENUE FROM STATE SOURCES	3000	
General State Aid Section 18-8.05 (GSA)	3001	105 ILCS 5/18-8.05.
<u>GSA – Supplemental Grant</u>	<u>3002</u>	<u>Amounts to supplement funding received under the general State aid formula [105 ILCS 5/18-8.05] or for losses incurred due to a reduction in or elimination of appropriations.</u>
Reorganization Incentives – Deficit Fund Balance	3005	105 ILCS 5/11E-135(c).
Reorganization Incentives – Attendance	3010	105 ILCS 5/11E-135(a).
Reorganization Incentives – Salary Difference	3015	105 ILCS 5/11E-135(b).
Reorganization Incentives – Certified Salary	3020	105 ILCS 5/11E-135(d).
Reorganization Incentives – Feasibility Studies	3021	Amounts received pursuant to appropriations for this purpose.
GSA Fast Growth District Grants	3030	105 ILCS 5/18-8.10.
Emergency Financial Assistance Grants	3050	105 ILCS 5/1B-8 and 1F-62.
Tax Equivalent Grants	3055	105 ILCS 5/18-4.4.

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Label	Account Number	Source; Notes
GSA Transition Assistance	3095	Amounts received pursuant to appropriations for this purpose.
Other Unrestricted Grants-In-Aid from State Sources	3099	Amounts received pursuant to other appropriations (describe and itemize).
Special Education – Private Facility Tuition	3100	105 ILCS 5/14-7.02.
Special Education – Extraordinary	3105	105 ILCS 5/14-7.02a.
Special Education – Personnel	3110	105 ILCS 5/14-13.01.
Special Education – Orphanage – Individual	3120	105 ILCS 5/14-7.03.
Special Education – Orphanage – Summer	3130	105 ILCS 5/14-7.03.
Special Education – Summer School	3145	105 ILCS 5/18-4.3.
Philip J. Rock Center and School	3155	105 ILCS 5/14-11.02.
Educational Materials Center	3156	105 ILCS 5/14-11.01.
Special Education – Other	3199	Amounts received pursuant to other appropriations (describe and itemize).
CTE Improvement (CTEI)	3220	105 ILCS 435.
CTE – WECEP	3225	105 ILCS 5/2-3.66a.
Agriculture Education	3235	105 ILCS 5/2-3.80.
CTE – Student Organizations	3270	105 ILCS 435.
CTE – Other	3299	Amounts received pursuant to other appropriations (describe and itemize).
Bilingual Education – Downstate – TPI and TBE	3305	105 ILCS 5/14C-12.
Bilingual Education – Downstate – Transitional Bilingual Education	3310	105 ILCS 5/14C-12.
Gifted Education	3350	105 ILCS 5/Art. 14A.
State Free Lunch and Breakfast	3360	105 ILCS 125/2.

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Label	Account Number	Source; Notes
School Breakfast Initiative	3365	105 ILCS 125/2.5.
Driver Education	3370	105 ILCS 5/27-24.2.
Adult Education (from ICCB)	3410	Amounts received from the Community College Board; 105 ILCS 405.
Adult Education – Other	3499	Amounts received pursuant to other appropriations (describe and itemize).
Transportation – Regular/Vocational	3500	105 ILCS 5/29-5.
Transportation – Special Education	3510	105 ILCS 5/14-13.01(b).
Transportation – ROE Bus Driver Training	3520	105 ILCS 5/3-14.23.
Transportation – Other	3599	Amounts received pursuant to other appropriations (describe and itemize).
Learning Improvement – Change Grants	3610	105 ILCS 5/2-3.25, 2-3.63, and 2-3.64a-5.
National Board Certification	3651	105 ILCS 5/21B-65.
Administrators Academy	3655	105 ILCS 5/2-3.53.
Truants' Alternative and Optional Education	3695	105 ILCS 5/2-3.66.
Regional Safe Schools	3696	105 ILCS 5/13A-8.
Early Childhood – Block Grant	3705	105 ILCS 5/1C-2 and 2-3.71.
Reading Improvement Block Grant	3715	105 ILCS 5/2-3.51.
Reading Improvement Block Grant – Reading Recovery	3720	Amounts received from the 2% set-aside under 105 ILCS 5/2-3.51.
Continued Reading Improvement Block Grant	3725	105 ILCS 5/2-3.51a.
Continued Reading Improvement Block Grant	3726	Amounts received from the 2% set aside under 105 ILCS 5/2-3.51a.
ROE/ISC Operations	3730	Amounts received pursuant to 105 ILCS 5/2-3.62, 3-14.23, and 18-6.
ROE Supervisory Expense	3745	Amounts received pursuant to 105 ILCS 5/18-6.

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Label	Account Number	Source; Notes
Chicago Teachers Academy for Math & Science (TAMS)	3765	Amounts received pursuant to an appropriation for TAMS.
Chicago General Education Block Grant	3766	105 ILCS 5/1D-1.
Chicago Educational Services Block Grant	3767	105 ILCS 5/1D-1.
School Safety and Educational Improvement Block Grant	3775	105 ILCS 5/2-3.51.5.
Technology – Learning Technology Centers	3780	105 ILCS 5/2-3.117.
Illinois Government Intern Program	3804	Funds distributed as a grant to Springfield School District 186 to support administration of this program.
State Charter Schools	3815	105 ILCS 5/Art. 27A.
Extended Learning Opportunities (Summer Bridges)	3825	105 ILCS 5/10-20.9a.
Infrastructure Improvements – Planning/Construction	3920	105 ILCS 230/5-35.
School Infrastructure – Maintenance Projects	3925	105 ILCS 230/5-100.
Regular Orphanage Tuition (18-3)	3950	105 ILCS 5/18-3.
Tax Equivalent Grants	3955	105 ILCS 5/18-4.4.
After-School Programs – Mentoring & Student Support	3960	Amounts received pursuant to appropriation.
Advanced Placement Classes	3961	105 ILCS 302.
Arts Education	3962	105 ILCS 5/2-3.65a.
Grants to Local Governments, Community Organizations, Not-for-Profit Organizations, and Educational Facilities	3963	Amounts received pursuant to appropriations.
ISBE Special Purpose Trust Fund	3970	105 ILCS 5/2-3.127a.

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Label	Account Number	Source; Notes
Class Size Reduction Pilot Project	3981	105 ILCS 5/2-3.136.
Teacher Mentoring Pilot Project	3982	105 ILCS 5/21A-25.
The "Grow Your Own" Teacher Education Initiative	3983	110 ILCS 48.
Education of Homeless Children and Youth State Grant Program	3984	105 ILCS 45.
Children's Mental Health Partnership	3990	405 ILCS 49/15.
State "On-behalf" Payments	3998	Reserved for on-behalf payments by the State.
Emergency Financial Assistance Grant	3999	105 ILCS 5/1B-8.
Temporary Relocation Expense Grant	3999	105 ILCS 5/2-3.77.
Other Restricted Revenue from State Sources	3999	Amounts received pursuant to other appropriations (describe and itemize).
RECEIPTS/REVENUE FROM FEDERAL SOURCES	4000	
Federal Impact Aid	4001	ESEA Title VIII – Impact Aid (CFDA 84.041).
Other Unrestricted Grants-In-Aid Received Directly from the Federal Government	4009	Amounts received pursuant to other unrestricted appropriations; describe and itemize.
Total Unrestricted Grants Received Directly from the Federal Government	4010	
Head Start	4045	Community Opportunities, Accountability, Training, and Educational Services Act of 1998, Title I (CFDA 93.600).
Construction (Impact Aid)	4050	ESEA, Title VIII (Impact Aid – Facilities Maintenance) (CFDA 84.040).
Magnet	4060	ESEA, Title V, Part C (Magnet Schools Assistance) (CFDA 84.165).

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Label	Account Number	Source; Notes
Other Restricted Grants-In-Aid Received Directly from the Federal Government	4090	Amounts received pursuant to other restricted appropriations; describe and itemize.
Total Restricted Grants Received Directly from the Federal Government	4095	
TOTAL GRANTS RECEIVED DIRECTLY FROM THE FEDERAL GOVERNMENT	4099	Amounts received pursuant to other appropriations.
Title V – Innovation and Flexibility Formula	4100	NCLB, Title V, Part A – State Grants For Innovative Programs (CFDA 84.298).
Title V – SEA Projects	4105	NCLB, Title V, Part A – State Grants For Innovative Programs (CFDA 84.298).
Title V – Rural and Low-Income Schools (REI)	4107	NCLB, Title VI, Part B – Rural Education (CFDA 84.358).
Title V – Other	4199	Amounts received pursuant to other appropriations (describe and itemize).
Breakfast Start-up	4200	Child Nutrition Act – School Breakfast Program for Start-Up (CFDA 10.553).
National School Lunch Program	4210	Child Nutrition Act – National School Lunch Program (CFDA 10.555).
Special Milk Program	4215	Child Nutrition Act – Special Milk Program for Children (CFDA 10.556).
School Breakfast Program	4220	Child Nutrition Act – School Breakfast Program (CFDA 10.553).
Summer Food Service Admin/Program	4225	Child Nutrition Act – Summer Food Service Program for Children (CFDA 10.559).
Child Care Commodity/SFS 13-Adult Day Care	4226	Child Nutrition Act – Child Care and Adult Food Service Program (CFDA 10.558).
SAE Nutrition Ed. Loan/TNT	4227	Child Nutrition Act of 1966 (42 USC 1771 et seq.) – (CFDA 10.574).
Fresh Fruit and Vegetables	4240	Child Nutrition – Cash Payments.
Child Nutrition Commodity/Salvage	4250	Child Nutrition Act of 1966 (CFDA 10.550).
Cash in Lieu of Commodities	4255	Amounts received in lieu of commodities in the food service program.

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Label	Account Number	Source; Notes
Food Service – Other	4299	Amounts received pursuant to other appropriations from the U.S. Department of Agriculture for nutrition programs (describe and itemize).
Title I – Low Income	4300	No Child Left Behind Act of 2001 (NCLB; 20 USC 6301 et seq.), Title I, Part A – Improving Academic Achievement of the Disadvantaged (CFDA 84.010).
Title I – Low Income – Neglected, Private	4305	NCLB, Title I, Part D – Neglected and Delinquent (CFDA 84.013).
Title I – Low Income – Delinquent, Private	4306	NCLB, Title I, Part D – Neglected and Delinquent (CFDA 84.013).
Title I – Neglected and Delinquent Juvenile and Adult Corrections (formerly only juvenile)	4315	NCLB, Title I, Part D – Neglected and Delinquent (CFDA 84.013).
Title I – School Improvement and Accountability	4331	NCLB, Title I, Part A.
Title I – Comprehensive School Reform	4332	NCLB, Title I, Part F – Comprehensive School Reform (CFDA 84.332).
Title I – Reading First	4334	NCLB, Title I, Part B-1 – Reading First (CFDA 84.357).
Title I – Even Start	4335	NCLB, Title I, Part B-3 – Even Start (CFDA 84.213).
Title I – Reading First SEA Funds	4337	NCLB, Title I, Part B-1 – Reading First SEA Funds (CFDA 84.357).
Title I – School Improvement Grant	4339	NCLB, Title I, Part A, section 1003g (CFDA 84.357).
Title I – Migrant Education	4340	NCLB, Title I, Part C – Education of Migrant Children (CFDA 84.011).
Title I – Other	4399	Amounts received pursuant to other appropriations under Title I of NCLB (describe and itemize).
Title IV – Safe and Drug-Free Schools – Formula	4400	NCLB, Title IV, Part A – Safe and Drug Free Schools (CFDA 84.186).
Title IV – Safe & Drug-Free Schools – State-Level Program	4415	NCLB, Title IV, Part A – Safe and Drug Free Schools (CFDA 84.186).
Title IV – 21st Century	4421	NCLB, Title IV, Part B – 21st Century Community Learning Centers (CFDA 84.287).
Title IV – Other (Describe & Itemize)	4499	Amounts received pursuant to other appropriations under Title IV of NCLB (describe and itemize).

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Label	Account Number	Source; Notes
Federal Special Education Preschool Flow-Through	4600	IDEA, Part B – Preschool (CFDA 84.173).
Federal Special Education Preschool Discretionary	4605	IDEA, Part B – Preschool (CFDA 84.173).
Federal Special Education – IDEA Flow-Through/Low Incident	4620	IDEA, Part B (CFDA 84.027).
Federal Special Education – IDEA Room and Board	4625	IDEA, Part B (CFDA 84.027).
Federal Special Education – IDEA Discretionary	4630	IDEA, Part B (CFDA 84.027).
Federal Special Education – IDEA – Part D – Improvement	4631	IDEA, Part D – State Program Improvement Grants for Children with Disabilities (CFDA 84.323).
Federal Special Education – IDEA Title VI C – Deaf/Blind	4635	IDEA, Part D – Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (CFDA 84.326).
Federal Special Education – IDEA – Other	4699	Amounts received pursuant to other appropriations under IDEA (describe and itemize).
CTE – Perkins – State Leadership	4720	Carl D. Perkins Career and Technical Education Act of 2006 – State Leadership (CFDA 84.048A).
CTE – Perkins – DHS Ed	4740	Carl D. Perkins Career and Technical Education Act of 2006 – Corrections or Institutions (CFDA 84.048A).
CTE – Perkins – Secondary	4745	Carl D. Perkins Career and Technical Education Act of 2006 – Secondary (CFDA 84.048A).
CTE – Perkins Title II – Tech Prep	4770	Carl D. Perkins Career and Technical Education Act of 2006 – Title II-Tech Prep (CFDA 84.243A).
CTE – Other	4799	Amounts received pursuant to other appropriations from federal sources (describe and itemize).
Federal – Adult Education	4810	Adult Education State Grant Program (CFDA 84.002).
ARRA General State Aid – Education Stabilization	4850	Amounts received pursuant to the American Recovery and Reinvestment Act of 2009 (ARRA); see Section 100.130 of this Part.
ARRA Title I – Low Income	4851	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.

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Label	Account Number	Source; Notes
ARRA Title I – Neglected, Private	4852	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
ARRA Title I – Delinquent, Private	4853	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
ARRA Title I – School Improvement (Part A)	4854	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
ARRA Title I – School Improvement (section 1003g)	4855	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
ARRA IDEA – Part B – Preschool	4856	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
ARRA IDEA – Part B – Flow-Through	4857	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
Other ARRA Fund – XII	4860	Available for recording sources of federal funds received pursuant to the ARRA from a source other than those to be recorded with account numbers 4850 through 4857, 4861 through 4872, and 4875 through 4876; describe and itemize; see Section 100.130 of this Part.
ARRA Title IID – Technology – Competitive	4861	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
ARRA McKinney-Vento Homeless Education	4862	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
ARRA Child Nutrition Equipment Assistance	4863	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
Impact Aid Formula Grants	4864	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
Impact Aid Competitive Grants	4865	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
Qualified Zone Academy Bond Tax Credits	4866	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
Qualified School Construction Bond Credits	4867	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
Build America Bond Tax Credits	4868	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
Build America Bond Interest Reimbursement	4869	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.
ARRA General State Aid – Other Government Services Stabilization	4870	Amounts received pursuant to the ARRA; see Section 100.130 of this Part.

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Label	Account Number	Source; Notes
Other ARRA Funds – II	4871	Available for recording sources of federal funds received pursuant to the ARRA directly from a federal agency or from a State agency other than ISBE; describe and itemize; see Section 100.130 of this Part.
Other ARRA Funds – III	4872	Available for recording sources of federal funds received pursuant to the ARRA directly from a federal agency or from a State agency other than ISBE; describe and itemize; see Section 100.130 of this Part.
Other ARRA Funds – IV	4873	Available for recording sources of federal funds received pursuant to the ARRA from a source other than those to be recorded with account numbers 4850 through 4857, 4861 through 4872, and 4875 through 4876; describe and itemize; see Section 100.130 of this Part.
Other ARRA Funds – V	4874	Available for recording sources of federal funds received pursuant to the ARRA from a source other than those to be recorded with account numbers 4850 through 4857, 4861 through 4872, and 4875 through 4876; describe and itemize; see Section 100.130 of this Part.
ARRA Early Childhood	4875	Paid with Government Services State Fiscal Stabilization Fund ARRA funds; see Section 100.130 of this Part.
Other ARRA Funds – VII	4876	Available for recording sources of federal funds received pursuant to the ARRA directly from a federal agency or from a State agency other than ISBE; describe and itemize; see Section 100.130 of this Part.
Other ARRA Funds – VIII	4877	Available for recording sources of federal funds received pursuant to the ARRA from a source other than those to be recorded with account numbers 4850 through 4857, 4861 through 4872, and 4875 through 4876; describe and itemize; see Section 100.130 of this Part.
Other ARRA Funds – IX	4878	Available for recording sources of federal funds received pursuant to the ARRA from a source other than those to be recorded with account numbers 4850 through 4857, 4861 through 4872, and 4875 through 4876; describe and itemize; see Section 100.130 of this Part.
Other ARRA Funds – X	4879	Available for recording sources of federal funds received pursuant to the ARRA from a source other than those to be recorded with account numbers 4850 through 4857, 4861 through 4872, and 4875 through 4876; describe and itemize; see Section 100.130 of this Part.
Education Jobs Fund Program	4880	Available for recording sources of federal funds received pursuant to the Education Jobs Fund Program; see Section 100.130 of this Part.
Race to the Top Program	4901	Available for recording sources of federal funds received pursuant to the Race to the Top Program; see Section 100.130 of this Part.
Race to the Top – Preschool Expansion Grant	4902	Available for recording sources of federal funds received pursuant to the Race to the Top Preschool Expansion Grant Program; see Section 100.130 of this Part.

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Label	Account Number	Source; Notes
Advanced Placement Fee/International Baccalaureate	4904	ESEA, Title I, Part G – Advanced Placement Program (CFDA 84.330).
Emergency Immigrant Assistance	4905	NCLB, Title III – English Language Acquisition Grants – Immigrant Assistance Grants (CFDA 84.365).
Title III – English Language Acquisition	4909	NCLB, Title III – English Language Acquisition Grants (CFDA 84.365).
Learn & Serve America	4910	National and Community Service Act of 1990 – Learn & Serve America (CFDA 94.004).
Refugee Children School Impact Grants	4915	Refugee Education Assistance Act of 1980, Refugee and Entrant Assistance Discretionary Grants (CFDA 93.576).
McKinney Education for Homeless Children	4920	NCLB, Title X – Education for Homeless Children (CFDA 84.196).
Title II – Teacher Quality	4932	NCLB, Title II, Part A, and ESEA, Title II, Part C, Subpart 1, Chapter B (CFDA 84.350).
Title II – Teacher Quality	4935	ESEA, Title II, Part A – Improving Teacher Quality State Grants (CFDA 84.367).
Title II – Math and Science Initiative	4936	ESEA, Title II, Part B – Math and Science Partnerships (CFDA 84.366).
Federal Charter Schools	4960	NCLB, Title V, Part B – Public Charter Schools.
Title II – Technology – Enhancing Education Formula Grants	4971	ESEA, Title II, Part D, Subparts 1 and 2, as amended – Education Technology State Grants (CFDA 84.318).
Title II – Technology – Enhancing Education Competitive Grants	4972	ESEA, Title II, Part D, Subparts 1 and 2 – Education Technology State Grants (CFDA 84.318).
Safe Routes to School	4980	Section 1404 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users Act (P.L. 109-59).
Medicaid Matching Funds – Administrative Outreach	4991	Social Security Act, Title XIX – Medicaid Matching – Administrative Outreach (CFDA 93.778).
Medicaid Matching Funds – Fee-for-Service Program	4992	Social Security Act, Title XIX – Medicaid Matching – Fee for Service Programs (CFDA 93.778).
Hurricane Emergency Relief	4995	Hurricane Emergency Relief Act.
Other Restricted Grants Received from Federal Government through State	4998	Amounts received pursuant to other federal appropriations (describe and itemize).

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(Source: Amended at 39 Ill. Reg. _____, effective _____)

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith, Ph.D., State Superintendent of Education 
Stephanie Donovan, General Counsel 

Agenda Topic: Part 375 (Student Records)

Materials: Recommended Amendment

Staff Contacts: None

Purpose of Agenda Item

The purpose of this agenda item is to present the proposed amendment for adoption.

Relationship to/Implications for the State Board's Strategic Plan

The proposed amendment does not directly relate to the Board's Strategic Goals, as the modification is a technical one being made in response to a recent statutory change. The statutory change, however, does relate to Goal 1 (academic achievement and success), as it addresses high-quality and rigorous coursework for which high school credit for graduation may be awarded.

Expected Outcome of Agenda Item

The Board will be asked to adopt the amendment to Part 375.

Background Information

P.A. 98-885, effective August 15, 2014, amended Section 27-22 of the School Code to allow schools to count for the purposes of high school graduation credit a student's successful completion of an Advanced Placement (AP) computer science course. In order to count the course for credit, a student also must successfully complete either an Algebra II course or an integrated mathematics course incorporating Algebra II content. The law further requires that the academic transcript of a student who completed the AP computer science course state that the AP course "qualifies as a mathematics-based, quantitative course" for the purposes of awarding credit for high school graduation under Section 27-22 of the School Code.

Section 375.10 ("Definitions") lists under "Student Permanent Record" the information that must be included on a student's academic transcript. In order for the rule to be complete and to assist school districts in complying with all applicable statutes, mention is being made under "academic transcript" of the AP computer science course meeting State graduation requirements in mathematics, as authorized under Section 27-22 of the School Code.

An additional change is being proposed in Section 375.10 to clarify what is to be included in the "health record" that becomes part of a student's permanent record. Staff members have indicated that the phrase, "proof of dental examinations", has caused confusion in the field.

The proposed rulemaking was published September 4, 2015, in the Illinois Register to elicit public comment. None was received, and the amendment being presented for adoption is identical to the proposal the Board considered in August.

Analysis and Implications for Policy, Budget, Legislative Action and Communications

Policy Implications: Please see “Background” above.

Budget Implications: None.

Legislative Action: None needed.

Communication: Please see “Next Steps” below.

Pros and Cons of Various Actions

Proceeding with the rulemaking will align the rules with the School Code. If the change in the rules is not promulgated, the requirements of Section 27-22 would still apply. By not including the provision in the rules, school districts would need to consult various sections of the School Code to ensure that they have identified all of the statutes applicable to the academic transcript.

Superintendent’s Recommendation

The State Superintendent recommends that the State Board of Education adopt the following motion:

The State Board of Education hereby adopts the proposed rulemaking for:

Student Records (23 Illinois Administrative Code 375).

Further, the Board authorizes the State Superintendent of Education to make such technical and nonsubstantive changes as the State Superintendent may deem necessary in response to suggestions or objections of the Joint Committee on Administrative Rules.

Next Steps

Notice of the adopted amendment will be submitted to the Joint Committee on Administrative Rules to initiate JCAR’s review. When that process is complete, the amendment will be filed with the Secretary of State and disseminated as appropriate.

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NOTICE OF ADOPTED AMENDMENT

TITLE TITLE 23: EDUCATION AND CULTURAL RESOURCES

SUBTITLE A: EDUCATION

CHAPTER I: STATE BOARD OF EDUCATION

SUBCHAPTER k: SCHOOL RECORDS

PART 375

STUDENT RECORDS

Section

375.10	Definitions
375.20	Rights of Students
375.30	Notification
375.40	Maintenance and Destruction of School Student Records
375.50	Cost for Copies of Records
375.60	Emergency Release of Information
375.70	Release of Information
375.75	Public and Nonpublic Schools: Transmission of Records for Transfer Students
375.80	Directory Information
375.90	Challenge Procedures
375.100	Implementation
375.110	Enforcement

AUTHORITY: Implementing and authorized by the Illinois School Student Records Act [105 ILCS 10] and Section 2-3.13a of the School Code [105 ILCS 5/2-3.13a].

SOURCE: Emergency rule adopted March 24, 1976; codified at 7 Ill. Reg. 12864; amended at 10 Ill. Reg. 12602, effective July 9, 1986; amended at 12 Ill. Reg. 4818, effective February 25, 1988; amended at 20 Ill. Reg. 15304, effective November 18, 1996; amended at 23 Ill. Reg. 13843, effective November 8, 1999; amended at 26 Ill. Reg. 16202, effective October 21, 2002; amended at 29 Ill. Reg. 5467, effective March 29, 2005; amended at 32 Ill. Reg. 7143, effective April 17, 2008; amended at 32 Ill. Reg. 16475, effective September 29, 2008; amended at 36 Ill. Reg. 2220, effective January 24, 2012; amended at 37 Ill. Reg. 9479, effective June 19, 2013; amended at 39 Ill. Reg. 2449, effective February 2, 2015; amended at 39 Ill. Reg. _____, effective _____.

Section 375.10 Definitions

"Accident Report" means documentation of any reportable student accident that results in an injury to a student, occurring on the way to or from school or on

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school grounds, at a school athletic event or when a student is participating in a school program or school-sponsored activity or on a school bus and that is severe enough to cause the student not to be in attendance for one-half day or more or requires medical treatment other than first aid. The accident report shall include identifying information, nature of injury, days lost, cause of injury, location of accident, medical treatment given to the student at the time of the accident, or whether the school nurse has referred the student for a medical evaluation, regardless of whether the parent, guardian or student (if 18 years or older) or an unaccompanied homeless youth (as defined by 42 USC 11434a) has followed through on that request.

"Act" means the Illinois School Student Records Act [105 ILCS 10].

"Health Record" means medical documentation necessary for enrollment and proof of ~~dental~~ having certain examinations, as may be required under Section 27-8.1 of the School Code [105 ILCS 5/27-8.1].

"Health-related Information" means current documentation of a student's health information, not otherwise governed by the Mental Health and Developmental Disabilities Confidentiality Act [740 ILCS 110] or other privacy laws, which includes identifying information, health history, results of mandated testing and screenings, medication dispensation records and logs (e.g., glucose readings), long-term medications administered during school hours, documentation regarding a student athlete's and his or her parents' acknowledgement of the district's concussion policy adopted pursuant to Sections 10-20.53 and 34-18.45 of the School Code [105 ILCS 5/10-20.53 and 34-18.45], and other health-related information that is relevant to school participation (e.g., nursing services plan, failed screenings, yearly sports physical exams, interim health histories for sports).

"Official Records Custodian" means the individual appointed in each school in accordance with Section 4 of the Act [105 ILCS 10/4] who has responsibility for the *maintenance, care and security of all school student records, whether or not the records are in his or her personal custody or control.*

"School Student Record" shall have the meaning set forth in Section 2(d) of the Act [105 ILCS 10/2(d)], except that school student records shall not include:

Video or other electronic recordings created and maintained by law enforcement professionals working in the school or for

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security or safety reasons or purposes, provided the information was created at least in part for law enforcement or security or safety reasons or purposes;

Electronic recordings made on school buses, as defined in Section 14-3 of the Criminal Code of 1961 [720 ILCS 5/14-3]; and

Any information, either written or oral, received pursuant to Section 22-20 of the School Code [105 ILCS 5/22-20] and Sections 1-7 and 5-905 of the Juvenile Court Act of 1987 [705 ILCS 405/1-7 and 5-905].

The content of a video or other electronic recording may become part of a student's school student record to the extent school officials use and maintain this content for a particular reason (e.g., disciplinary action, compliance with a student's Individualized Education Program) regarding that specific student. Video or other electronic recordings that become part of a student's school record shall not be a public record and shall be released only in conformance with Section 6(a) of the Act and the federal Family Educational Rights and Privacy Act (20 USC 1232g).

"Special Education Records" means school records that relate to identification, evaluation, or placement of, or the provision of a free and appropriate public education to, students with disabilities under the Individuals with Disabilities Education Act (20 USC 1400 et seq.) and Article 14 of the School Code [105 ILCS 5/Art. 14], to include the report of the multidisciplinary staffing conference on which placement or nonplacement was based, and all records and audio recordings in any format relating to special education placement hearings and appeals.

"Student Permanent Record" means and shall consist of the following, as limited by Section 2(d) of the Act:

Basic identifying information, including the student's name and address, birth date and place, and gender, and the names and addresses of the student's parents;

Evidence required under Section (5)(b)(1) of the Missing Children's Records Act [325 ILCS 50/5(b)(1)];

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Academic transcript, including:

grades, class rank, graduation date and grade level achieved;

scores on college entrance examinations, except that a parent may request, in writing, the removal from the academic transcript of any score received on college entrance examinations (also see Section 375.30(d));

the unique student identifier assigned and used by the Student Information System established pursuant to 23 Ill. Adm. Code 1.75 (Student Information System);

as applicable, designation of an Advanced Placement computer science course as a mathematics-based, quantitative course for purposes of meeting State graduation requirements set forth in Section 27-22 of the School Code [105 ILCS 5/27-22];

as applicable, designation of the student's achievement of the State Seal of Biliteracy, awarded in accordance with Section 2-3.157 of the School Code [105 ILCS 5/2-3.157] and 23 Ill. Adm. Code 1.442 (State Seal of Biliteracy); and

as applicable, designation of the student's achievement of the State Commendation Toward Biliteracy, awarded in accordance with 23 Ill. Adm. Code 1.442 (State Seal of Biliteracy);

Attendance record;

Health record;

Record of release of permanent record information in accordance with Section 6(c) of the Act [105 ILCS 10/6(c)];

Scores received on all State assessment tests administered at the high school level (i.e., grades 9 through 12) (see 105 ILCS 5/2-3.64a-5); and

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If not maintained in the temporary record, may also consist of:

Honors and awards received; and

Information concerning participation in school-sponsored activities or athletics, or offices held in school-sponsored organizations.

No other information shall be placed in the student permanent record.

"Student Temporary Record" means all information not required to be in the student permanent record and shall consist of the following, as limited by Section 2(d) of the Act:

A record of release of temporary record information in accordance with Section 6(c) of the Act [105 ILCS 10/6(c)];

Scores received on the State assessment tests administered in the elementary grade levels (i.e., kindergarten through grade 8) (see 105 ILCS 5/2-3.64a-5);

The completed home language survey form (see 23 Ill. Adm. Code 228.15 (Identification of Eligible Students));

Information regarding serious disciplinary infractions (i.e., those involving drugs, weapons, or bodily harm to another) that resulted in expulsion, suspension or the imposition of punishment or sanction;

Information provided under Section 8.6 of the Abused and Neglected Child Reporting Act [325 ILCS 5/8.6], as required by Section 2(f) of the Act [105 ILCS 10/2(f)];

Any biometric information that is collected in accordance with Section 10-20.40 or 34-18.34 of the School Code [105 ILCS 5/10-20.40 or 34-18.34];

Health-related information;

Accident Reports; and

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May also consist of:

Family background information;

Intelligence test scores, group and individual;

Aptitude test scores;

Reports of psychological evaluations, including information on intelligence, personality and academic information obtained through test administration, observation or interviews;

Elementary and secondary achievement level test results;

Participation in extracurricular activities, including any offices held in school-sponsored clubs or organizations;

Honors and awards received;

Teacher anecdotal records;

Other disciplinary information;

Special education records;

Records associated with plans developed under section 504 of the Rehabilitation Act of 1973 (29 USC 701 et seq.); and

Any verified reports or information from non-educational persons, agencies or organizations of clear relevance to the education of the student.

(Source: Amended at 39 Ill. Reg. _____, effective _____)

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith, Ph.D., State Superintendent of Education *Ans*
Karen Corken, First Deputy Superintendent *KJC*
Stephanie Donovan, General Counsel *SD*

Agenda Topic: Part 5001 (Access to Information of the State Board of Education under the Freedom of Information Act)

Materials: Recommended Rules

Staff Contacts: Karen Corken, First Deputy Superintendent

Purpose of Agenda Item

The purpose of the agenda item is to present the proposed amendments for adoption.

Relationship to/Implications for the State Board's Strategic Plan

The changes involve internal rules of the agency and do not directly relate to any of the Board's Strategic Goals.

Expected Outcome of Agenda Item

The Board will be asked to adopt amendments to Part 5001.

Background Information

Part 5001 sets forth the procedures of the State Board relative to requests for the release of information under the Illinois Freedom of Information Act (FOIA).

The proposed rulemaking responds to a request that the Joint Committee on Administrative Rules (JCAR) made earlier this year. While reviewing FOIA rules for the Illinois Purchased Care Review Board (IPCRB), for which the agency provides administrative support, JCAR staff indicated that the IPCRB's rules should not contain a link to a fee schedule for duplicating documents on the agency's website. Rather, JCAR indicated that the fee schedule should be included in the IPCRB's rules. Therefore, the fee schedule for duplication also will be placed in Part 5001 as Appendix A, and readers' attention will be directed to the schedule by a cross-reference in Section 5001.510 (Copies of Public Records; Fees).

Analysis and Implications for Policy, Budget, Legislative Action and Communications

Policy Implications: Please see "Background" above.

Budget Implications: None.

Legislative Action: None needed.

Communication: Please see "Next Steps" below.

Pros and Cons of Various Actions

Promulgation of these changes responds to a request from JCAR and ensures that agency policy relative to FOIA is set forth in administrative rules, as is required under the Illinois Administrative Procedure Act.

Superintendent's Recommendation

The State Superintendent recommends that the State Board of Education adopt the following motion:

The State Board of Education hereby adopts the proposed rulemaking for:

Access to Information of the State Board of Education under the Freedom of Information Act (2 Illinois Administrative Code 5001).

Next Steps

The rules will be filed with the Administrative Code Division to become effective immediately. They will be published in the Illinois Register and posted on the rules portion of the agency's web site and otherwise disseminated as appropriate.

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NOTICE OF ADOPTED AMENDMENTS

TITLE 2: GOVERNMENTAL ORGANIZATION
SUBTITLE F: EDUCATIONAL AGENCIES
CHAPTER I: STATE BOARD OF EDUCATION

PART 5001

ACCESS TO INFORMATION OF THE STATE BOARD OF EDUCATION
UNDER THE FREEDOM OF INFORMATION ACT

SUBPART A: INTRODUCTION

Section	
5001.100	Summary and Purpose
5001.110	Definitions

SUBPART B: PROCEDURES FOR REQUESTING PUBLIC RECORDS

Section	
5001.200	Office to Which Requests are Submitted
5001.210	Form and Content of Requests

SUBPART C: PROCEDURES FOR AGENCY RESPONSE TO REQUESTS FOR PUBLIC RECORDS

Section	
5001.300	Agency Response
5001.310	Types of Responses (Repealed)

SUBPART D: PROCEDURES FOR APPEAL OF A DENIAL

Section	
5001.400	Appeal of a Denial (Repealed)
5001.410	Superintendent's Response to Appeal (Repealed)

SUBPART E: PROCEDURES FOR PROVIDING PUBLIC RECORDS TO REQUESTERS

Section	
5001.500	Inspection of Records
5001.510	Copies of Public Records; Fees
5001.520	General Materials Available from the Freedom of Information Office (Repealed)

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SUBPART F: ACCESS TO MATERIALS INCORPORATED BY REFERENCE IN ADMINISTRATIVE RULES

Section
5001.600 Inspection of Materials

5001.APPENDIX A Fee Schedule for Duplication of Public Records

AUTHORITY: Implementing and authorized by Section 3(h) of the Freedom of Information Act [5 ILCS 140/3(h)] and Section 5-15 of the Illinois Administrative Procedure Act [5 ILCS 100/5-15].

SOURCE: Adopted and codified at 8 Ill. Reg. 15443, effective August 8, 1984; amended at 17 Ill. Reg. 14913, effective September 2, 1993; amended at 29 Ill. Reg. 3900, effective February 22, 2005; amended at 29 Ill. Reg. 8503, effective June 2, 2005; amended at 35 Ill. Reg. 5407, effective March 17, 2011; amended at 39 Ill. Reg. 2213, effective January 21, 2015; amended at 39 Ill. Reg. _____, effective _____.

SUBPART E: PROCEDURES FOR PROVIDING PUBLIC RECORDS TO REQUESTERS

Section 5001.510 Copies of Public Records; Fees

- a) Copies of public records shall be provided to the requester only upon payment of any charges that are due.
- b) Charges for copies of public records shall be assessed in accordance with the "Fee Schedule for Duplication of Public Records," ~~which shall be posted at~~ <http://www.isbe.net/htmls/foia.htm> Appendix A. Fees for "voluminous" records that are provided in an electronic format shall be as set forth in Section 6(a-5) of the FOIA.
- c) Charges shall be waived if the request is from a State agency, a constitutional officer, or a member of the General Assembly. Charges shall not be waived when the records are to be used for political campaign purposes. Charges may be waived where the Agency determines that the waiver serves the public interest.

Source: Amended at 39 Ill. Reg. _____, effective _____)

Section 5001.APPENDIX A Fee Schedule for Duplication of Public Records

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<u>Type of Duplication</u>	<u>Fee</u>
<u>Paper copy from paper or electronic source, 50 pages or fewer</u>	<u>No charge.</u>
<u>Paper copy from paper or electronic source, 51 pages or more</u>	<u>\$.15 per page, except that no charge will be assessed if the total cost is less than \$7.50.</u>
<u>Diskette or CD-ROM</u>	<u>No charge.</u>
<u>Copy of audio or video material</u>	<u>The cost of tape, disk, etc.</u>

(Source: Added at 39 Ill. Reg. _____, effective _____)

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith Ph.D., State Superintendent of Education 

Agenda Topic: Illinois Statewide Assistive Technology Training and Resources Program

Materials: None

Staff Contact(s): Dave Andel, Division Administrator, Special Education Services
Dawn Camacho, Principal Consultant, Special Education Services

Purpose of Agenda Item

The Division of Special Education Services requests that the Board authorize the State Superintendent to enter into a grant agreement in excess of \$1 million over a five (5) year grant cycle with the successful bidder under the Request for Proposals (RFP) for the Illinois Statewide Assistive Technology Training and Resources Program. The amount to be awarded in the initial year of the grant term (FY 2017) is \$250,000, with amounts in subsequent years (FY 2018-FY 2021) to be \$250,000 each year. The grant agreement will be renewed on an annual basis in years 2-5 of the federal grant cycle, subject to sufficient appropriation of funds and satisfactory performance in the preceding grant period.

Relationship to/Implications for the State Board's Strategic Plan

The Illinois Statewide Assistive Technology Training and Resources Program discretionary grant will support the following highlighted Agency goals:

Goal 1: Every child in each public school system in the state of Illinois deserves to attend a system wherein . . .

1. All Kindergarteners are assessed for readiness.
2. Ninety percent or more 3rd grade students are reading at or above grade level.
3. Ninety percent or more 5th grade students meet or exceed expectations in mathematics.
4. Ninety percent or more students are on track to graduate with their cohort at the end of 9th grade.
5. Ninety percent or more students graduate from high school ready for college or career.

Goal 2: Every student will be supported by highly prepared and effective teachers and school leaders.

Goal 3: Every school will offer a safe and healthy learning environment for all students.

Expected Outcome(s) of Agenda Item

It is expected that the Board will authorize the State Superintendent to execute a grant agreement with the successful bidder under the Illinois Statewide Assistive Technology Training and Resources Program RFP.

Background Information

Technical assistance in the area of assistive technology has been offered to Local Education Agencies (LEAs) and special education cooperatives for the past six years. Assistive Technology training topics have included No Cost/Low Cost Resources, Writing Strategies, Evaluating the Need for Assistive Technology, and others. According to the results from previous statewide surveys for assistive technology needs, there is a need for technical assistance to assistive technology providers. All services have been and will continue to be provided statewide with no applied fees for participants.

Data will be collected and utilized to promote the attainment of the measureable and rigorous targets established in the Illinois State Performance Plan, Part B, specific to the following indicators:

- Indicator 3B: Proficiency rate for children with IEPs on statewide assessments against grade level and alternate academic achievement standards
- Indicator 5A: Percent of children with IEPs aged 6 through 21 served inside the general education classroom 80% or more of the day
- Indicator 7B: Percent of preschool children aged 3 through 5 with IEPs who demonstrate improved acquisition and use of knowledge and skills (including early language/communication and early literacy)
- Indicator 13: Percent of youth age 16+ with an IEP that demonstrates measureable secondary transition goals and services
- Indicator 14: Percent of youth who are no longer in secondary school, had IEPs in effect at the time they left school, and were:
 - Enrolled in higher education within one year of leaving high school.
 - Enrolled in higher education or competitively employed within one year of leaving high school.
 - Enrolled in higher education or in some other postsecondary education or training program; or competitively employed or in some other employment within one year of leaving high school.

Financial Background

The financial background of this competitive grant is illustrated in the table below:

Fiscal Year	Total Amount Requested per Fiscal Year
FY17	\$250,000
FY18	\$250,000
FY19	\$250,000
FY20	\$250,000
FY21	\$250,000
Total	\$1,250,000

Analysis and Implications for Policy, Budget, Legislative Action and Communications

Policy Implications: Approval of the request will authorize the State Superintendent to enter into a grant agreement with the successful bidder under the Illinois Statewide Assistive Technology Training and Resources Program RFP, thus allowing for the implementation of the project.

Budget Implications: The Illinois Statewide Assistive Technology Training and Resources Program grant will be funded through IDEA, Part D discretionary funds for the five-year grant period.

Legislative Action: None required.

Communication: An award notification letter will be prepared for the Superintendent's signature. Staff in Public Information will be provided with the name of the successful bidder for public announcement of the grant award.

Pros and Cons of Various Actions

Pro: State Board approval allows the grant agreement to be executed in a timely manner so that funds can be utilized during FY 2017 and services can be delivered in order to provide continued technical assistance and training to districts allowing school personnel to provide and implement services using assistive technology.

Superintendent's Recommendation

I recommend that the following motion be adopted:

The State Board hereby authorizes the State Superintendent to release an RFP and award to the successful bidder whereby one entity is expected to receive IDEA Discretionary funding for the Illinois Statewide Assistive Technology Training and Resources Program. The maximum amount is not to exceed \$1,250,000 for the five-year grant cycle (FY 2017-2021) for \$250,000 for each fiscal year. The four one-year renewals will be contingent upon a sufficient appropriation and satisfactory performance in each preceding grant period.

Next Steps

Upon Board authorization, Agency staff will proceed with the RFP process, including review of proposals, and subsequently submit a recommendation of the successful bidder to the State Superintendent for approval and release of funds.

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith Ph.D., State Superintendent of Education *Ans*

Agenda Topic: Illinois Statewide Assistive Technology Loan and Evaluation

Materials: None

Staff Contact(s): David Andel, Division Administrator, Special Education Services
Dawn Camacho, Principal Consultant, Special Education Services

Purpose of Agenda Item

Special Education Services Division requests the Board to authorize the State Superintendent to enter into a grant agreement in excess of \$1 million over a five (5) year grant cycle with the successful bidder under the Request for Proposals (RFP) for the Illinois Assistive Technology Device Loan and Evaluation. The amount to be awarded in the initial year of the grant term (fiscal year, or FY, 2017) is \$635,500, with amounts in subsequent years (FY 2018 – FY 2021) at \$635,500. The grant agreement will be renewed on an annual basis in years 2 – 5 of the federal grant cycle, subject to sufficient appropriation of funds and satisfactory performance in the preceding grant period.

Relationship to/Implications for the State Board's Strategic Plan

Goal 1: Every child in each public school system in the state of Illinois deserves to attend a system wherein . . .

1. All Kindergarteners are assessed for readiness.
2. Ninety percent or more 3rd grade students are reading at or above grade level.
3. Ninety percent or more 5th grade students meet or exceed expectations in mathematics.
4. Ninety percent or more students are on track to graduate with their cohort at the end of 9th grade.
5. Ninety percent or more students graduate from high school ready for college or career.

Goal 2: Every student will be supported by highly prepared and effective teachers and school leaders.

Goal 3: Every school will offer a safe and healthy learning environment for all students.

Expected Outcome(s) of Agenda Item

It is expected the Board will authorize the State Superintendent to execute a grant agreement with the successful bidder under the Illinois Assistive Technology Device Loan and Evaluation RFP.

Background Information

The Illinois Assistive Technology Program (IATP) has received Individuals with Disabilities Education Act (IDEA) discretionary grant funds since FY 2009 to purchase and maintain assistive technology devices to loan to school districts. In FY 2010, the grant funds were increased by \$100,000 after the results of a statewide assistive technology survey were analyzed. The survey demonstrated that IATP did not have enough devices to support all

schools in the state. In FY 2012, IATP entered into a 5-year grant cycle with annual discretionary amounts between \$400,000 and \$450,000 for each grant period. In FY 2012, the grantee began conducting assistive technology (AT) evaluations in addition to the device loans.

Data will be collected and utilized to promote the attainment of the following indicators in the Illinois State Performance Plan, Part B:

- Indicator 5A: Percent of children with IEPs aged 6 through 21 served inside the general education classroom 80% or more of the day
- Indicator 7B: Percent of preschool children aged 3 through 5 with IEPs who demonstrate improved acquisition and use of knowledge and skills (including early language/communication and early literacy)
- Indicator 13: Percent of youth age 16+ with an IEP that demonstrates measureable secondary transition goals and services
- Indicator 14: Percent of youth who are no longer in secondary school, had IEPs in effect at the time they left school, and were:
 - Enrolled in higher education within one year of leaving high school.
 - Enrolled in higher education or competitively employed within one year of leaving high school.
 - Enrolled in higher education or in some other postsecondary education or training program; or competitively employed or in some other employment within one year of leaving high school.

Financial Background

The financial background of this competitive grant is illustrated in the table below:

Fiscal Year	Total Amount Requested per Fiscal Year
FY17	\$635,500
FY18	\$635,500
FY19	\$635,500
FY20	\$635,500
FY21	\$635,500
Total	\$3,177,500

Analysis and Implications for Policy, Budget, Legislative Action, and Communications

Policy Implications Approval of the request will authorize the State Superintendent to enter into a grant agreement with the successful bidder under the Illinois Assistive Technology Device Loan and Evaluation RFP, thus allowing for the implementation of the project.

Budget Implications: The Illinois Assistive Technology Device Loan and Evaluation grant will be funded through IDEA, Part B discretionary funds for the five-year grant period.

Legislative Action: None required.

Communication: An award notification letter will be prepared for the Superintendent’s signature. Staff in Public Information will be provided with the name of the successful bidder for public announcement of the grant award.

Pros and Cons of Various Actions

Pro: State Board approval allows the grant agreement to be executed in a timely manner so that funds can be utilized during FY 2017 and services can be delivered in order to provide

continued device loans and evaluations for assistive technology to districts allowing school personnel to provide and implement services using assistive technology.

Superintendent's Recommendation

I recommend that the following motion be adopted:

The State Board hereby authorizes the State Superintendent to release an RFP and award to the successful bidder whereby one entity is expected to receive IDEA Discretionary funding for the Illinois Assistive Technology Device Loan and Evaluation. The maximum amount of the contract is not to exceed \$3,177,500 for the five-year grant cycle, fiscal years 2017-2021 for \$635,500 for each fiscal year. The four one-year renewals will be contingent upon a sufficient appropriation and satisfactory performance in each preceding grant period.

Next Steps

Upon Board authorization, Agency staff will proceed with the RFP process, including review of proposals, and subsequently submit a recommendation of the successful bidder to the State Superintendent for approval and release of funds.

**ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015**

TO: Illinois State Board of Education

FROM: Tony Smith Ph.D., State Superintendent of Education *Ans*

Agenda Topic: Illinois Statewide Assistive Technology Exchange Program

Materials: None

Staff Contact(s): David Andel, Division Administrator, Special Education Services
Dawn Camacho, Principal Consultant, Special Education Services

Purpose of Agenda Item

Special Education Services requests the Board to authorize the State Superintendent to enter into a grant agreement in excess of \$1 million over a five (5) year grant cycle with the successful bidder under the Request for Proposals (RFP) for the Illinois Assistive Technology Exchange Program. The amount to be awarded in the initial year of the grant term (FY 2017) is approximately \$400,000, with amounts in subsequent years (FY 2018 – FY 2021) to be \$400,000 for each year. The grant agreement will be renewed on an annual basis in years 2 – 5 of the federal grant cycle, subject to sufficient appropriation of funds and satisfactory performance in the preceding grant period.

Relationship to/Implications for the State Board's Strategic Plan

Goal 1: Every child in each public school system in the state of Illinois deserves to attend a system wherein . . .

1. All Kindergarteners are assessed for readiness.
2. Ninety percent or more 3rd grade students are reading at or above grade level.
3. Ninety percent or more 5th grade students meet or exceed expectations in mathematics.
4. Ninety percent or more students are on track to graduate with their cohort at the end of 9th grade.
5. Ninety percent or more students graduate from high school ready for college or career.

Goal 2: Every student will be supported by highly prepared and effective teachers and school leaders.

Goal 3: Every school will offer a safe and healthy learning environment for all students.

Expected Outcome(s) of Agenda Item

It is expected that the Board will authorize the State Superintendent to execute a grant agreement with the successful bidder under the Illinois Statewide Assistive Technology Exchange Program RFP.

Background Information

The Assistive Technology Exchange Program has been utilized and funded by federal (Individuals with Disabilities Education Act (IDEA) Part B Discretionary dollars for more than 10 years. This is a project that impacts students with disabilities across school districts statewide. The grant recipient provides recycled, refurbished technology to meet students' needs to promote their involvement with general education peers, the curricula, and attainment of their

post-secondary goals. The technology is provided to the school or family to support the learning needs of students with disabilities.

Data will be collected and utilized to promote the attainment of the following indicators in the Illinois State Performance Plan, Part B:

- Indicator 5A: Percent of children with IEPs aged 6 through 21 served inside the general education classroom 80% or more of the day
- Indicator 7B: Percent of preschool children aged 3 through 5 with IEPs who demonstrate improved acquisition and use of knowledge and skills (including early language/communication and early literacy)
- Indicator 13: Percent of youth age 16+ with an IEP that demonstrates measureable secondary transition goals and services
- Indicator 14: Percent of youth who are no longer in secondary school, had IEPs in effect at the time they left school, and were:
 - Enrolled in higher education within one year of leaving high school.
 - Enrolled in higher education or competitively employed within one year of leaving high school.
 - Enrolled in higher education or in some other postsecondary education or training program; or competitively employed or in some other employment within one year of leaving high school.

Financial Background

The financial background of this competitive grant is illustrated in the table below:

Fiscal Year	Total Amount Requested per Fiscal Year
FY17	\$400,000
FY18	\$400,000
FY19	\$400,000
FY20	\$400,000
FY21	\$400,000
Total	\$2,000,000

Analysis and Implications for Policy, Budget, Legislative Action, and Communications

Policy Implications: Approval of the request will authorize the State Superintendent to enter into a grant agreement with the successful bidder under the Illinois Assistive Technology Exchange Program RFP, thus allowing for the implementation of the project.

Budget Implications: The Illinois Assistive Technology Exchange Program grant will be funded through IDEA, Part B discretionary funds for the five-year grant period.

Legislative Action: None required.

Communication: An award notification letter will be prepared for the Superintendent’s signature. Staff in Public Information will be provided with the name of the successful bidder for public announcement of the grant award.

Pros and Cons of Various Actions

Pro: State Board approval allows the grant agreement to be executed in a timely manner so that funds can be utilized during FY 2017 and services can be delivered in order to provide

continued technical assistance and training to districts allowing school personnel to provide and implement services using assistive technology.

Superintendent's Recommendation

I recommend that the following motion be adopted:

The State Board hereby authorizes the State Superintendent to release an RFP and award to the successful bidder whereby one entity is expected to receive IDEA Discretionary funding for the Illinois Assistive Technology Exchange Program. The maximum amount of the contract is not to exceed \$2,000,000 for the five-year grant cycle (FY 2017-2021) for \$400,000 for each fiscal year. The four one-year renewals will be contingent upon a sufficient appropriation and satisfactory performance in each preceding grant period.

Next Steps

Upon Board authorization, Agency staff will proceed with the RFP process, including review of proposals, and subsequently submit a recommendation of the successful bidder to the State Superintendent for approval and release of funds.

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith, Ph.D., State Superintendent of Education 

Agenda Topic: Illinois Response to Intervention (Rtl) Network Grant Amendment

Materials: None

Staff Contact(s): David Andel, Division Administrator for Special Education Services
Larry Fairbanks, Principal Consultant

Purpose of Agenda Item

The Division of Special Education Services requests the Board authorize the State Superintendent to amend a grant agreement for the Illinois Rtl Network State Personnel Development Grant (SPDG). The SPDG completed its five (5) year grant cycle, and the U.S Department of Education awarded ISBE a one year no-cost extension. This extension year will allow the completion of remaining grant goals and activities, utilizing originally awarded (\$9.875 million), but unexpended funds (\$951,518), and fulfilling ISBE's obligation under our approved federal SPDG. Approval would provide for a continuation agreement with the administrative & fiscal agent of the Illinois Rtl Network, as well as related administrative agents for the Illinois Higher Education Partnership and both Parent Training and Information Centers (PTIs).

Relationship to/Implications for the State Board's Strategic Plan

Goal 1: Every child in each public school system in the state of Illinois deserves to attend a system wherein . . .

1. All Kindergarteners are assessed for readiness.
2. Ninety percent or more 3rd grade students are reading at or above grade level.
3. Ninety percent or more 5th grade students meet or exceed expectations in mathematics.
4. Ninety percent or more students are on track to graduate with their cohort at the end of 9th grade.
5. Ninety percent or more students graduate from high school ready for college or career.

Goal 2: Every student will be supported by highly prepared and effective teachers and school leaders.

Expected Outcome(s) of Agenda Item

It is expected that the Board will authorize the State Superintendent to execute a grant agreement, in order to effectuate a No Cost Extension year with the administrative and fiscal agent of the Illinois Rtl Network, as well as related administrative agents for the Illinois Higher Education Partnership and both Parent Training and Information Centers (PTIs).

Background Information

In October 2010, ISBE received a five-year grant award under the federal State Personnel Development Grant (SPDG) program to implement the Illinois Response to Intervention Network, or Illinois Rtl Network. The amount of \$1.95 million per year, for a five year total of \$9.75 million was awarded to ROE 47, following a Request for Proposals process. ISBE was

granted a no cost extension by the USDOE, in order to expend remaining funds into a 6th year. It should be noted that of the \$951,518 remaining for the no cost extension year:

- \$150,000 for the Illinois Higher Education Partnership portion of the grant;
- \$40,000 for the Parent Training and Information (PTI) Centers;
- \$761,518 for the Illinois Rtl Network Grant.

The Illinois Rtl Network provides regionally-based professional development, technical assistance, and coaching to educators and parents throughout the state. These services focus on improving student performance in grades K-12 through the implementation of a multi-tiered system of instruction, intervention, and assessment, with an emphasis on administrative leadership; scientific, research-based reading and math curricula and instruction at grades K-12; data-based decision making; universal screening and progress monitoring; and parent involvement. The parent involvement component is addressed via a partnership with two Parent Training and Information (PTI) Centers across the state. An Illinois Higher Education (IHE) Partnership grant was also established. This IHE partnership supports Agency goals by increasing the knowledge and skills of IHE educator preparation program faculty in key Response to Intervention (Rtl) and multi-tiered system of support (MTSS) concepts and practices. In turn, the faculty will improve their course content and instruction for pre-service teachers and administrators. As a result, teachers and administrators exiting these IHE programs will enter the workforce better prepared to implement MTSS within the context of school and district improvement, which will support improved student achievement and performance.

Financial Background

Following a Request for Proposal (RFP) process, ROE 47 was awarded as the fiscal and administrative agent for the SPDG. An RFP process was also initiated for the fiscal and administrative agent of the IHE Partnership. Southern Illinois University- Edwardsville (SIU-E) was awarded approximately \$175,000. Also, sub-grants were awarded to two Parent Training and Information Centers (PTIs), in the amount of \$20,000 each. The five (5) year grant period ended September 30, 2015. The ISBE Special Education Services Division recently applied, and was approved for a one year no-cost extension of this SPDG. This extension would provide another year of funding for the Illinois Rtl Network, at no additional cost.

Analysis and Implications for Policy, Budget, Legislative Action and Communications

Policy Implications: Approval of the request will authorize the State Superintendent to amend a grant agreement with ROE 47 as the fiscal & administrative agent of the Illinois Rtl Network, as well as SIU-E and both Parent Training and Information Centers (PTIs), thus allowing for a continuation year.

Budget Implications: The Illinois Rtl Network grant amendment amount, allowing for a no-cost extension year, is funded through IDEA, Part D discretionary funds.

Legislative Action: None required

Communication: A grant continuation and amendment notification letter will be prepared for the administrative and fiscal agent of the Illinois Rtl Network.

Pros and Cons of Various Actions

Pro: State Board approval allows the grant amendment to be executed so that funds can be utilized during FY 2016 to complete goals and activities of the Network.

Superintendent's Recommendation

I recommend that the following motion be adopted:

The State Board hereby authorizes the State Superintendent to execute a grant amendment, in order to extend an agreement into a sixth year, at no cost, with the ROE 47 as the fiscal and administrative agent of Illinois Rtl Network. Also extended will be related grants to SIU-E for the Illinois Higher Education Partnership, and 2 sub-grants to Family Matters and the Family Resource Center on Disabilities.

Next Steps

Upon Board authorization, Agency staff will proceed with the grant amendment process.

**ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015**

TO: Illinois State Board of Education

FROM: Tony Smith, Ph.D., State Superintendent of Education 

Agenda Topic: Invitation for Bid (IFB) for Summer Meals Campaign

Materials: None

Staff Contact(s): Mark Haller, Nutrition and Wellness Division

Purpose of Agenda Item

The Nutrition and Wellness Division requests the Board to authorize the State Superintendent to release an Invitation for Bid (IFB) and to award a contract to the lowest cost responsible bidder with the expertise to provide selection and placement services for Summer Meal ads and announcements in print, display, transportation, digital and broadcast media. The total award will not exceed \$1.2 million for one year or a maximum of \$3.6 million over a three-year period covering summer program activities from January 2016 – December 2018.

Relationship to/Implications for the State Board's Strategic Plan

The successful contractor would support the following board goals:

Goal 3: Every school will offer a safe and healthy learning environment for all students.

By providing healthy nutritious summer meals to eligible children, the program and awareness efforts provide ongoing student support during the summer months, through participating schools as well as engaging non-profit centers and community organizations. The free summer meals program ensures that children remain healthy and ready to learn when schools re-open in the fall.

Expected Outcome(s) of Agenda Item

It is expected the Board will authorize the State Superintendent to release and award the IFB and enter into a contract with the successful bidder.

Background Information

The Summer Food Service Program (SFSP) is a USDA federally-funded program aimed at reducing hunger by feeding eligible children 18 and under during the summer months when schools are not in session. Per federal regulations 7 CFR Ch.11, Part 225, state agencies are required to actively identify areas with a concentration of eligible children and to conduct outreach efforts.

The SFSP is underutilized nationally and in Illinois. According to No Kid Hungry, one in five (1 in 5) Illinois children faces food insecurity, which is defined as having limited, or uncertain access, to nutritionally adequate and safe food. The need increases during the summer months when schools are not in session. In Illinois, for every 100 children who participate in the National School Lunch Program, only 14 participate in summer meals.

In 2014, USDA Secretary Tom Vilsack, set a goal of increasing the number of meals served to eligible children by five million nationwide. ISBE responded by partnering with No Kid Hungry/Share Our Strength for the past two years in developing and implementing a statewide campaign to increase awareness of the availability of free summer meals. The campaign included print ads, audio and visual announcements on radio and television as well as billboards (downstate), fliers, transportation signs (in Chicago & suburbs and Peoria) and cash jackets or bookmarks distributed at WIC locations. The program saw an increase in 2014 of 12%. Although the numbers for 2015 are not final, ISBE expects to see another significant increase.

Additionally, No Kid Hungry reported a spike in visits to the Summer Meals website and the Illinois Hunger Coalition reported an increase in calls to the state hotline number. Texted requests for information to No Kid Hungry rose 300% from 2012 to 2014. Website hits also saw a significant increase.

The successful contractor would implement the following tasks in consultation with ISBE Nutrition and Wellness staff:

- 1) Coordinate the identification of effective media to reach children (18 and under) and/or their parents in high need/low-income areas of the state;
- 2) Procure the best time slots or placements for announcements to reach targeted audience at the best prices;
- 3) Work with staff to identify and procure best venues and media to reach targeted audience;
- 4) Work with staff to identify and place earned (free) media opportunities related to sponsor training or to reach targeted eligible children;
- 5) Provide media proofs or tear sheets and orders placed for announcements;
- 6) Work with staff to revise or fine tune placements for subsequent year placements.

Financial Background

A one-year term IFB has been issued each of the past two years. In Fiscal year 2014-2015 ISBE procured an IFB contract of \$724,013. For Fiscal year 2015-2016, ISBE's IFB totaled \$846,106.

Based on the success of the previous two years, this year ISBE seeks to award an IFB that is renewable over a three-year term. A renewable contract over a three-year period would provide continuity and a more effective implementation of an annual campaign with the added possibility of recruitment efforts aimed at increasing the number of sponsors and/or feeding sites, especially in at least 37 counties that have had no feeding sites.

The Summer Meals Media Campaign contract will be awarded competitively from the IFB, beginning in January 2016 (or upon execution). There will be two possible renewals (to cover three years including the FY19 summer) contingent on satisfactory performance and sufficient appropriation for each contract year. The increased funds will expand the campaign to include recruitment ads early in each fiscal year. Added funds will also allow for incremental additions of bus advertising in Rockford, Decatur, Champaign, Springfield and East St. Louis and the addition of a direct mail campaign to relevant entities such as libraries, elected municipal officials, park districts and churches to make them aware of the program and of the opportunities available to feed children when school is out.

This contract will be funded by federal Child Nutrition State Administrative Expense funds to support the Summer Food Service Program. Below is a summary for funding the proposed contract.

The financial background of this contract is illustrated in the table below:

	Current Contract State Funding	Current Contract Federal Funding	Requested Additional State Funding	Requested Additional Federal Funding	Total Contract per Fiscal Year
FY16				\$800,000	\$800,000
FY17				\$1,150,000	\$1,150,000
FY18				\$1,200,000	\$1,200,000
FY19				\$450,000	\$450,000
Total				\$3,600,000	\$3,600,000

Business Enterprise Program (BEP)

The solicitation will be issued with a 20% Business Enterprise Program (BEP) goal.

The BEP estimated projections are illustrated in the table below:

	BEP Goal Percentage	BEP Goal Amount
FY16	20%	\$160,000
FY17	20%	\$230,000
FY18	20%	\$240,000
FY19	20%	\$90,000

Analysis and Implications for Policy, Budget, Legislative Action, and Communications

Policy Implications: Approval of the request will assist the Illinois State Board of Education to develop outreach designed to increase awareness of the Summer Meals program and thereby, increasing the number of nutritious summer meals served to children in high-need areas of the state.

Budget Implications: The contract will be funded by the USDA federal funds specific to the administration of the Child Nutrition Programs and subsequently through State Administrative Expense funds provided to support the Summer Food Service Program (SFSP).

Legislative Action: None

Communication: None

Pros and Cons of Various Actions

Pros: With approval, the contract will allow for the planning, coordination and implementation of a summer meals promotional campaign to target eligible children in high-need areas across the state, including urban and rural areas, and to increase their level of participation and thereby meet federal outreach requirements and ensure that children remain healthy and ready to learn when schools re-open in the fall.

Cons: None

Superintendent's Recommendation

I recommend that the following motion be adopted:

The State Board of Education hereby authorizes the State Superintendent to release an

Invitation for Bid (IFB) and to award the contract to the lowest-cost responsible bidder. The purpose of the contract will be for coordination and implementation of a statewide Summer Meals awareness campaign beginning January 2016 through one year for an initial term amount of \$1,200,000 with two possible annual renewals contingent upon a sufficient appropriation and satisfactory contractor performance in each preceding contract year at a maximum total contract amount including renewals, will not exceed \$3,600,000.

Next Steps

Upon Board authorization, Agency procurement staff will present the IFB to the Chief Procurement Office (CPO) for review and publication. Upon approval from the CPO, agency staff will release an IFB in accordance with the approved motion. After all responsible bids are tabulated, agency staff will award to the successful bidder.

ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015

TO: Illinois State Board of Education

FROM: Tony Smith Ph.D., State Superintendent of Education 
Robert Wolfe, Chief Financial Officer 

Agenda Topic: Qualified School Construction Program

Materials: Exhibit A – Power Point Overview of Prioritization Process
Exhibit B - Qualified School Construction Guidelines

Staff Contact(s): Deb Vespa, School Business Services

Purpose of Agenda Item

To discuss and obtain Board approval for the allocation guidelines and application process for the Qualified School Construction Bond program (QSCB). The Governor's Office of Management and Budget (GOMB) has indicated they will relinquish the QSCB authority back to ISBE.

Relationship to the State Board's Strategic Plan and Implications for the Agency and School Districts

QSCBs are low-to-no interest bonds school districts can obtain and utilize the proceeds for building renovations; repairs and construction; and health, life, and safety needs for their facilities. Since the bonds are low-to-no interest, districts will be able to maintain current funding towards the education of students and professional development of teachers instead of utilizing funding for interest costs. Therefore, QSCBs assist districts in achieving all three State Board Goals.

Expected Outcome(s) of Agenda Item

It is expected that the Board will review and approve the QSCB allocation process so that when GOMB relinquishes the authority to ISBE, staff will be ready to allocate the \$495,602,000 in bonding authority to school districts.

Background Information

The Qualified School Construction Bond (QSCB) program was created under Section 1521(a) of the American Recovery and Reinvestment Act of 2009 (ARRA). The QSCB program is a source of limited financial bonding for school districts to fund the rehabilitation or repair of an existing public school facility, construction of a new public school facility, equipment associated with repair or construction, or for land acquisition related to the construction of a new facility. Since the bond proceeds can be used for building rehabilitation and repair, districts will be able to issue these low-to-no interest bonds in lieu of Fire Prevention (health, life, and safety) bonds that would be at a higher interest rate.

In 2009, ARRA authorized tax-credit bonds for school construction by authorizing \$11 billion in QSCBs for the first time. QSCBs provide tax credits for new construction as well as renovation. In 2010, an additional \$11 billion was authorized for total authorization of \$22 billion throughout the United States and US possessions. Of the \$22 billion, 40% was directly allocated to large educational agencies. Chicago School District 299 received a direct authorization of

approximately \$511 million. In harmony with the School Construction Grants and the School Maintenance Grants, since Chicago Schools District 299 received a direct allocation, they are excluded from applying for any of this authority.

The calendar year 2009 and 2010 designations for Illinois were \$244.4 million and \$251.2 million for a total of \$495.6 million in QSCB authority. If an allocation to a State is unused for a calendar year, the State may carry it forward to the next calendar year. Since the original 2009 and 2010 allocations were not used, they have been carried forward and are still available. No additional allocations have been made.

Because States may directly issue the bonds on behalf of school districts, at the request of the Governor's Office of Management and Budget (GOMB), the State Board executed, on May 13, 2012, an Intergovernmental Agreement sending GOMB the authority to allocate or issue these bonds. Illinois would have then been able to issue QSCBs for the School Construction Program and would have incurred little or no interest obligations. ISBE has received notification that GOMB will be relinquishing the authority back to ISBE. When this occurs, ISBE can issue the authority directly to eligible school districts.

There are many federal restrictions on the use of the QSCBs. If there is non-compliance, the federal subsidy will be nullified, negating the low cost benefit. The documentation required to be reported for these bonds would be the responsibility of the school districts, as they work with their local bond counsel. Requirements for QSCBs include, but are not limited to:

- Completion of IRS forms such as 1097-BTC and 8038-CP
- 100 percent of the bond proceeds must be used for construction of public school facilities, rehabilitation, or repair of school facilities, acquisition of land, or for equipment related to the project constructed or rehabilitated with bond proceeds
- 100 percent of bond proceeds must be spent within three years of the date of issuance. Bond proceeds include interest earned less any issuance cost incurred.
- Projects are subject to the federal Davis-Bacon Act which means all laborers and mechanics employed by contractors or subcontractors must be paid wages and fringe benefits at rate not less than those prevailing on similar projects in applicable locality

Because of these requirements, the guidelines and application stress that district personnel must work with their bond counsel before making application. The guidelines are required to be signed by the district superintendent, the board president, and bond counsel certifying they have reviewed and understand the obligations required.

QSCBs will help alleviate renovation and construction needs throughout the state. There were 558 school district responses for the 2015 Capital Needs Assessment Survey. They reported a need of over \$8 billion for capital needs for new schools, building additions, and general repair work. The 2015 survey indicates approximately \$848 million is needed to build 96 new school buildings, approximately \$596 million is needed for 151 building additions, over \$6.5 billion is needed for overall general repair and remodeling projects of which approximately \$2.6 billion is needed for Health/Life Safety work.

Proposed Application & Allocation Process

All districts that apply the QSCBs must have their 2014 Annual Financial Report on file and complete an ISBE approved QSCB application (form 35-10).

All information contained in the applications will be verified. Should application requests exceed the authority Illinois has been granted, a priority ranking will be calculated for each district based upon the following criteria:

- a) Referendum and debt capacity, districts are ready to begin their project – shovel ready
 - i. The district has passed a referendum to construct a new school, if a new school is being built, OR
 - ii. The district has passed a referendum increasing their debt extension limitation (if required), OR
 - iii. The district has the debt capacity to issue the amount requested and the ability to start their project(s)

Note: If QSCB allocation is available after all districts that are ready to begin their projects have been allotted their requests, districts that need to pass a referendum will be prioritized. These districts will have 18 months to pass a referendum and issue the bonds.

- b) Highest concentration of low income as measured and reported on the latest General State Aid claim
- c) Lowest available local resources per pupil as reported on the latest General State Aid claim
- d) Highest percentage of 2013 total tax rate over the median tax rate per type of school district: unit, elementary, high school, partial elementary unit district
- e) Lowest building capacity per student weighted by age of facilities
 - i. The formula establishes the actual available space per student for the district compared to the yearly published national averages for the square footage per student
 - ii. From the ISBE Facility Inventory, the age of the facility will be factored in to help establish conditions of older facilities and the need for more modern amenities (such as energy efficiency, accessibility, upgrade of electrical needs, and security)

As stated above, districts that are ready and capable of issuing the requested debt (a) will be prioritized first. Should more requests be received than authority available, the four individual ranks (b-e) will be added to determine an overall score, which will be used to determine a priority ranking of all applicants and provide a prioritized list of applicants. In the event of a tie for the final recipient placeholder, the lowest available local resources per pupil will prevail.

If QSCB allocation remains after all shovel ready districts have prioritized and allotted their requested amount, district that are not shovel ready will be prioritized in the same process as denoted above. These districts will have 18 months to pass necessary referendums and issue their bonds.

School districts will be limited to a maximum request of \$50,000,000. Utilizing industry standards, \$50 million is estimated to be able to construct a 200,000 square foot high school/middle school for 1,000 students or a 250,000 square foot elementary school for 1,667 students. If a district does not issue the bonds within 18 months, the authority will revert back to

ISBE. If authorization remains after all eligible applicants have received their requested amount or authority is relinquished, another application cycle will be opened.

When the authority is not enough to completely fund the full request of the next district on the list, that district will be contacted and given the option to accept or decline a reduced allocation.

Once ISBE receives the authority back from GOMB, staff will open an application cycle from December 1, 2015 to January 15, 2016. The applications will be reviewed and scored. The districts eligible for an allocation based upon the scoring matrix will be recommended to the Board for its approval.

Analysis and Implications for Policy, Budget, Legislative Action, and Communications

Policy Implications: None

Budget Implications: School districts can avail themselves to the low-to-no interest bonds to assist with building repairs or construction will be able to put greater funding towards the education of students and professional development of teachers instead of making interest payments.

Legislative Action: None

Communication: Communicate the QSCB application cycle and guidelines to school districts via the Superintendent's Weekly Message.

Pros and Cons of Various Actions

Pros: School districts will be able to avail themselves to low-to-no interest bonds for building needs.

Cons: The State will not be able to issue the low-to-no interest bonds on behalf of the School construction Program as previously desired.

Superintendent's Recommendation

I recommend that the following motion be adopted:

The State Board of Education hereby authorizes the State Superintendent to accept the Qualified School Construction Bond authority from the Governor's Office of Management and Budget and approves the Qualified School Construction Bond priority ranking process.

Next Steps

Upon Board authorization, Agency staff will acquire the authority from the Governor's Office of Management and Budget. Open the program for applications. Districts recommended for QSCB authority will be presented to the State Board for its approval at a future meeting.

Exhibit A
Qualified School Construction Bond Prioritization

Considerations made in the Prioritization Process

Equity

Tax Burden

Safe and Healthy Learning Environment

“Shovel Ready”

Awards of Authority Capped at \$50 million per School District

Exhibit A

Qualified School Construction Bond Prioritization

Factors	Ranking	Goal
Low-Income Concentration	Highest % receives prioritization	Equity
Available Local Resources Per Pupil	Lowest receives prioritization	Equity
Percentage of Inadequately Housed Pupils	Highest % receives prioritization	Safe and Healthy Learning Environment
Total Tax Rate	Highest Rate as measured by the variance to the median (by district type) receives prioritization	Tax Burden
Passed Referendum and/or Debt Capacity	<p><u>Priority 1</u> School Districts with a passed referendum and/or debt capacity will be prioritized and awarded authority.</p> <p><u>Priority 2</u> If authorization amounts remain after Priority 1 School Districts are awarded authority, those districts without a passed referendum will be prioritized and considered for an award of authority</p>	“Shovel Ready”

Exhibit B - QUALIFIED SCHOOL CONSTRUCTION BONDS

Illinois Program Guidelines

QSCB APPLICATION CYCLE: December 1, 2015 – January 15, 2016

The following defines and describes the QSCB program and its implications for public schools in Illinois.

Qualified School Construction Bonds (QSCB). The American Recovery and Reinvestment Act of 2009 (Public Law 111-5) authorized the issuance of QSCBs to finance school construction and other eligible projects for public schools. The amount of QSCBs issued in each state is limited under federal law. The Illinois State Board of Education (ISBE) established a program for allocating the available allocation authority in Illinois. Under this program, qualified school districts or state education agencies can issue bonds to borrow funds with little to no interest cost. The proceeds can be used to construct, rehabilitate, or repair eligible public school facilities, or for certain land or equipment purchases. Since the proceeds can be used for rehabilitation or repair of a facility, district may use these low or no interest bonds in lieu of Fire Prevention (Health, Life, and Safety) bonds. Instead of receiving periodic interest payments from the issuer, the QSCB bondholder receives a federal income tax credit while the bond is outstanding, in an amount equal to a percentage of the face amount of the bond. Owners of qualified school construction bonds that provide tax credits (“tax credit qualified school construction bonds”) will receive a tax credit if they own qualified school construction bonds on one or more quarterly credit allowance dates. Issuers of qualified school construction bonds that provide direct subsidy payments (“direct pay qualified school construction bonds”) are entitled to receive direct subsidy payments for all or a portion of the interest payable on such bonds on an interest payment date. Owners of direct pay qualified school construction bonds will only receive taxable interest on the bonds and will not receive either tax credits or direct subsidy payments.)

(a) Eligibility Criteria

1. All school districts, except Chicago School District 299, are eligible to apply. Chicago School District 299 received a direct allocation from the Treasury.
 - a. The district submitting an application must have the Fiscal Year 2014 (FY14) Annual Financial Report (AFR) on file with ISBE
 - b. Districts ineligible to construct a new facility may still apply for repair and renovation projects
 2. Eligible QSCB projects include all projects permitted to be financed with QSCBs under federal law, including:
 - a. New construction of a public school owned facility
 - b. Rehabilitation or repair of an existing public school owned facility
 - c. Land acquisition for the facility to be constructed with the QSCB proceeds, and
 - d. Equipment to be used in the facility that is being constructed, rehabilitated, or repaired with the proceeds of QSCBs
- NOTE: Lease payments may not be made with QSCB proceeds

(b) Application Process

1. Application shall be made through submission of ISBE Form 35-10, Qualified School Construction Bond (QSCB) program. ISBE Form 35-10 may be obtained from the State Board’s website at <http://www.isbe.state.il.us/finance/interest.htm>.

Exhibit B - QUALIFIED SCHOOL CONSTRUCTION BONDS

Illinois Program Guidelines

QSCB APPLICATION CYCLE: December 1, 2015 – January 15, 2016

2. Applications must be received from the districts on or before **January 15, 2016**.
3. Districts should not request more bonding authority than can be reasonably expected to be repaid or eligible to issue, and the district must expect that the QSCBs will be issued **within 18 months of receipt of authority**.
 - a. Priority will be given to districts that are ready to start their project(s) – shovel ready.
 - i. They can document they have successfully passed referendum if they are planning on building a new school, or
 - ii. They can document they have successfully passed a referendum if they need to increase their debt extension limitation, or
 - iii. They have the debt capacity to issue the amount requested and have the ability to start their project(s).

Note: If QSCB Allocation is available after all districts that are ready to begin their projects have been allotted their requests, districts that need to pass a referendum will be prioritized. These districts will have 18 months to pass a referendum and issue the bonds.
 - b. The bonding authority will revert back to ISBE for reallocation if the bonds have not been issued within **18 months of receipt of authority**
4. The application must include the following documents:
 - a. A copy of the school board resolution approving the QSCB application as referenced in Section 18 of QSCB Application ISBE Form 35-10
 - b. A clear and easily understood description of the planned project
 - c. A signed assurance from the districts bond counsel stating the district's debt capacity at the time the application is submitted
 - d. A copy of the certification that the district has successfully passed a referendum, if necessary
 - e. A completed and signed QSCB Application, ISBE Form 35-10

(c) Allocation Process

1. Each eligible district will be limited to a maximum request of **\$50,000,000**.
2. After the application deadline, School Business Services will review the applications for eligibility and completeness. Districts may be contacted for further information or clarification. The following will be **verified** (a-d) or **calculated** (e-g) for each application:
 - a. If applicable, referendum has passed
 - i. School districts building a new school must pass referendum per Article 10-22.36 of the School Code
 - ii. School districts may need to pass a referendum to increase their debt extension limitation

Exhibit B - QUALIFIED SCHOOL CONSTRUCTION BONDS

Illinois Program Guidelines

QSCB APPLICATION CYCLE: December 1, 2015 – January 15, 2016

- b. The District has the ability to issue the debt requested given their debt limitation certified by the district's bond counsel
 - c. Concentration of low income as measured and reported on the latest General State Aid (GSA) claim
 - d. Available local resources per pupil from the latest GSA claim
 - e. Percentage of 2013 total tax rate over the median tax rate per type of school district: unit, elementary, high school, partial elementary unit district
 - f. Age of all of the district's educational facilities as per the Health/Life and Safety Facility Inventory
 - g. Calculate a facility capacity of all of the district's educational facilities utilizing data from the Health/Life and Safety Facility Inventory
3. After all information has been verified, each district will be ranked based on need and readiness as such;
- a) Referendum and debt capacity, districts are ready to begin their project – shovel ready
 - i. The district has passed a referendum to construct a new school, if a new school is being built OR
 - ii. The district has passed a referendum increasing their debt extension limitation (if required) OR
 - iii. The district has the debt capacity to issue the amount requested and the ability to start their project(s)
- Note:** If QSCB allocation is available after all districts that are ready to begin their projects have been allotted their requests, districts that need to pass a referendum will be prioritized. These districts will have 18 months to pass a referendum and issue the bonds.
- b) Highest concentration of low income as measured and reported on the Fiscal Year 2016 General State Aid claim
 - c) Lowest available local resources per pupil as reported on the Fiscal Year 2016 General State Aid claim
 - d) Highest Total Tax rate for Tax Year 2013 as measured by the variance to the median Total Tax Rate by type of school district: unit, elementary, high school, partial elementary unit district
 - e) Lowest building capacity per student weighted by age of facilities
 - i. The formula establishes the actual available space per student for the district compared to the yearly published national averages for the square footage per student
 - ii. From the ISBE Facility Inventory, the age of the facility will be factored in to help establish conditions of older facilities and the need for more modern amenities (such as energy efficiency, accessibility, upgrade of electrical needs, and security)

As stated above, districts that are ready and capable of issuing the requested debt (a) will be prioritized first. Should more requests be received than authority available, the four

Exhibit B - QUALIFIED SCHOOL CONSTRUCTION BONDS

Illinois Program Guidelines

QSCB APPLICATION CYCLE: December 1, 2015 – January 15, 2016

individual ranks (b-e) will be added to determine an overall score, which will be used to determine a priority ranking of all applicants and provide a prioritized list of applicants. In the event of a tie for the final recipient placeholder, the lowest available local resources per pupil will prevail.

If QSCB allocation remains after all shovel ready districts have prioritized and allotted their requested amount, districts that are not shovel ready will be prioritized in the same process as denoted above. These districts will have 18 months to pass necessary referendums and issue their bonds.

4. After the State Board of Education approves, each district will be notified in writing. Districts whose applications have been denied and/or those with ineligible projects will also be notified.
5. ISBE will award full requests to qualified districts based on the prioritization list. When the remaining authority is not enough to completely fund the full request of the next district on the list, that district will be contacted and given the option to accept or decline a reduced allocation.
6. Any allotment balance remaining after the initial allocation process will revert to a state-wide allocation pool, to which unissued/returned allotments will be added. The state-wide pool may be reallocated at a later date to qualifying districts as determined by another round of applications.

Supplemental Information

1. In addition to previously stated requirements, there are a number of administrative items school districts must keep in mind:
 - a. QSCB proceeds cannot be used to pay debt service or other outstanding debt obligations (except in some limited instances to pay interim financing – district should check with their bond counsel to determine if this is applicable to their issuance.)
 - b. QSCB proceeds cannot be used to make lease payments
 - c. The district is responsible for compliance with all applicable federal reporting requirements
 - d. Each district must determine whether the purposes for which QSCBs are issued conform to state law regarding indebtedness
 - e. Each district is responsible for repayment of the principal upon maturity
 - f. If a district determines that its allotment will not be used, the district should notify ISBE as soon as possible at 217-785-8779.
 - g. Districts must have all bonds issued **within 18 months of receipt of authority. Unused allotments will revert back to ISBE for reallocation**
 - h. Districts must reasonably expect as of the issue date that a binding agreement will be entered into with a third party so that **at least 10% of the expenditures** are incurred within the **6-month period** beginning with the issue date of the bonds

Exhibit B - QUALIFIED SCHOOL CONSTRUCTION BONDS

Illinois Program Guidelines

QSCB APPLICATION CYCLE: December 1, 2015 – January 15, 2016

2. Bond proceeds must be used for construction (including new construction), rehabilitation, or repair of a public school; or for land acquisition for the construction of a new facility.
 - a. Eligible equipment expenditures: **equipment must be used in the portion of the public school facility to be constructed, rehabilitated, or repaired with QSCB funds.** This may include wiring and other infrastructure improvements related to providing technology and equipment for the new construction and rehabilitation or repair of existing structures, but not for personal computers or similar technology. Equipment will be project specific; e.g. new stove and freezer for kitchen renovation
 - b. The land purchase and building project on such land must be with the same bond proceeds. Land cannot be purchased for a future project
 - c. QSCB funds may not be used for stadiums or other facilities primarily used for athletic contests or exhibitions or other events for which admission is charged to the general public; or stand-alone facilities, such as a central office, whose purpose is not the education of children
 - d. A maximum of 2% of the bond proceeds may be used for QSCB issuance costs
 - e. Projects/construction contracts must be in compliance with the Davis-Bacon Act, which includes prevailing wage and labor standards established by the U.S. Department of Labor
 3. The maximum term of indebtedness is set by the U.S. Treasury and is subject to change with current market conditions. https://www.treasurydirect.gov/govt/rates/rates_irstcb.htm.
 4. The U.S. Treasury Department has allocated for 2009 the authority to issue QSCBs in Illinois in the face value amount of \$244,435,000 and \$251,167,000 for 2010.
 - a. The maximum a single Local Education Agency (LEA) may apply for is \$50,000,000
 - b. The U.S. Treasury Department made a direct allocation to Chicago Public Schools 299 and therefore, the district is not eligible to make application for any of this authority
 5. QSCBs must be issued **within 18 months of receipt of authority** and the proceeds spent within **3 years of issue** date.
 - a. A minimum of **10 %** of the bond issuance proceeds **must be** obligated within 6 months of receiving bond funds
 - b. A maximum of **2%** of the bond proceeds may be used for QSCB issuance costs
 6. The information provided in this document is a summary of the principle requirements districts must meet to be eligible for the QSCB program. Because of the complexity of the program, and its very specific eligibility requirements, **no district should participate in this program without seeking legal advice from their bond counsel.**
 7. There are many federal restrictions on the use of the QSCBs. If there is non-compliance, the federal subsidy will be nullified, negating the low cost benefit. The documentation required to be reported for these bonds is the responsibility of the school districts, as they work with their local bond counsel. Requirements QSCBs include, but are not limited to:
-

Exhibit B - QUALIFIED SCHOOL CONSTRUCTION BONDS

Illinois Program Guidelines

QSCB APPLICATION CYCLE: December 1, 2015 – January 15, 2016

- Completion of IRS forms such as 1097-BTC and 8038-CP
 - 100 percent of the bond proceeds must be used for construction of public school facilities, rehabilitation, or repair of school facilities, acquisition of land, or for equipment related to the project constructed or rehabilitated with bond proceeds
 - 100 percent of bond proceeds must be spent within three years of the date of issuance
8. Federal restrictions as it relates to the issuers of QSCBs necessitates Charter schools who wish to apply for QSCB authority must enter into an agreement with their authorizing school district, not the charter school parent organization. The authorizing school district must be the entity to file the application and issue the debt on behalf of the Charter school.
9. The statutory authorization for the QSCB program can be found in Section 1521 of the American Recovery and Reinvestment Act of 2009 (Section 54F of the Internal Revenue Code). The U.S. Treasury Department's guidance on the Qualified School Construction Bonds program can be found in its entirety at the links below:
Internal Revenue Notice No. 2009-35 (<http://www.irs.gov/pub/irs-drop/n-09-35.pdf>)
Internal Revenue Notice No. 2010-17 (<http://www.irs.gov/pub/irs-drop/n-10-17.pdf>)
Internal Revenue Notice No. 2010-28 (<http://www.irs.gov/pub/irs-drop/n-10-28.pdf>)

Exhibit B - QUALIFIED SCHOOL CONSTRUCTION BONDS

Illinois Program Guidelines

QSCB APPLICATION CYCLE: December 1, 2015 – January 15, 2016

Statement of Assurance

The Local Education Agency (listed above) applying for the Qualified School Construction Bond Program has carefully reviewed and understands the obligations required herein. The Local Education Agency's Bond Counsel has reviewed this document and discussed with the district the contents and certified the debt capacity.

District Superintendent Date

School Board President Date

Bond Counsel Date

**ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015**

TO: Illinois State Board of Education

FROM: Tony Smith, Ph.D., State Superintendent of Education *AMS*

Agenda Topic: Addition to the 2016 Spring Legislative Agenda

Materials: None

Staff Contacts: Jason Helfer, Assistant Superintendent, Educator Effectiveness

Purpose of Agenda Item

The purpose of the agenda item is to update the Board on an additional legislative initiative and for the Board to approve agency action on legislative initiatives for the 2016 Spring Legislative Session.

Relationship to the State Board's Strategic Plan and Implications for the Agency and School Districts

Goal 2: Every student will be supported by highly prepared and effective teachers and school leaders.

Expected Outcome(s) of Agenda Item

It is expected that the Board will authorize the State Superintendent to pursue an educator licensure legislative initiative in the Spring 2016 Legislative Session.

Background Information

Since the approval of the 2016 legislative agenda at the September 2015 Board meeting, a number of issues have come forward regarding educator licensure; therefore, staff would like Board approval to pursue a legislative initiative regarding educator licensure.

Legislative Initiatives

Educator Licensure: Although Illinois exports teachers, especially those individuals with elementary and early childhood credentials, there are still many districts that have unfilled positions in their schools. In order to provide a remedy for this issue, the State Board of Education will work with stakeholders to modify portions of 105 ILCS 5/21B.

Financial Background

None

Business Enterprise Program (BEP)

None

Analysis and Implications for Policy, Budget, Legislative Action, and Communications

Policy Implications: If legislation is enacted, those portions of 105 ILCS 5/21B that identify requirements for out of state applicants, testing, and endorsements on licenses will be modified in order to allow districts better access to highly qualified candidates trained out of state.

Budget Implications: None

Legislative Action: With Board approval, staff will move forward and work with stakeholders to modify portions of 105 ILCS 5/21B.

Communication: None at this time.

Superintendent's Recommendation

The State Superintendent recommends that the State Board of Education adopt the following motion:

The State Board of Education hereby authorizes the addition of Educator Licensure to the agency initiated proposals for the Spring 2016 Legislative Session.

Next Steps

Staff will move forward with drafting legislative proposals and will proceed with securing sponsors for the Spring 2016 Legislative Session.

**ILLINOIS STATE BOARD OF EDUCATION MEETING
November 20, 2015**

TO: Illinois State Board of Education

FROM: Tony Smith Ph.D., State Superintendent of Education *Ans*
Robert Wolfe, Chief Financial Officer *RW*

Agenda Topic: Procurement Update

Materials: Exhibit A – Overview of the Request for Sealed Proposals Process

Staff Contact(s): Angela Chamness, Division Administrator, Assessments

Purpose of Agenda Item

To provide the Board with a status report on the procurement process that was followed after the Board authorized the release of a Request for Sealed Proposals for a College Entrance Exam at the June 2015 Board Meeting and authorized an award to the successful offeror at the August 2015 Board Meeting.

Relationship to the State Board's Strategic Plan and Implications for the Agency and School Districts

The successful response to the College Entrance Exam RFSP will address Item 5 of Goal Number 1:

Goal 1: Every child in each public school system in the state of Illinois deserves to attend a system wherein . . .

1. All Kindergarteners are assessed for readiness.
2. Ninety percent or more 3rd grade students are reading at or above grade level.
3. Ninety percent or more 5th grade students meet or exceed expectations in mathematics.
4. Ninety percent or more students are on track to graduate with their cohort at the end of 9th grade.
5. Ninety percent or more students graduate from high school ready for college or career.

The implications for school districts will be that every student in Illinois will be guaranteed the opportunity to take a College Entrance Exam at no cost to the school district, subject to appropriation. Without a contract in place, a risk exists that school districts would be required to pay for a College Entrance Exam using their own funding if such funding is available.

Expected Outcome(s) of Agenda Item

The Board will be provided with a detailed account of the procurement process for the College Entrance Exam RFSP and an explanation as to how the successful offeror was identified.

Background Information
Procurement Process

At the time of the August 2015 Board Meeting, the Board was operating under a Board-initiated "two-step" procedure regarding procurement—Step 1 was Board authorization to release an RFSP and Step 2 was Board authorization to award a contract to the RFSP's successful offeror.

Step 1 is a *required* part of the procurement process; Step 2 is *not required* as a part of the procurement process and thus prolonged the process and ultimately delayed services. For these reasons, the Superintendent raised the issue with the Board and presented the Board with a motion to eliminate Step 2 described above. At the August 2015 Board Meeting, the Board, as part of the Consent Agenda, authorized the State Superintendent to award and enter into a contract with the successful offeror for the college entrance exam procurement. The Board decided not to take action to eliminate Step 2 of the process until it was provided with a broad explanation of the requirements of the procurement process.

At the September 2015 Board Meeting, Robert Wolfe provided Board members with an overview of the procurement process that is required by the Illinois Procurement Code (30 ILCS 500/). Exhibit A provides an overview of this process. Additionally, at the September 2015 Board Meeting, the Board acted on the Superintendent’s recommendation to eliminate Step 2 with one modification. The specific action was as follows:

The State Board of Education hereby adopted a procedure in which the Board will simultaneously consider and approve or deny the release and award of a contract or grant potentially resulting in an award of more than \$1 million unless a Board member specifically requests the contract or grant and the award be handled separately.

College Entrance Exam RFSP

At the March 2015 Board Meeting, the Board authorized staff to release the RFSP for an off-the shelf College Entrance Exam, and the timetable for the procurement was as follows:

<u>Event</u>	<u>Date</u>
Board Authorization of the release of the RFSP	March 18, 2015
RFSP published on the Illinois Procurement Bulletin Board	July 16, 2015
Proposals Due	August 17, 2015
Evaluation Complete	November 9, 2015
Board Review of Successful Response	November 20, 2015
Presentation of Successful Response to State Purchasing Officer for approval of the notice of award	November 20, 2015

Overview of the Criteria Utilized to Evaluate Proposals

Proposals were evaluated for validity and reliability, according to the “Standards for Educational and Psychological Testing” (American Educational Research Association, 2014); alignment to the Illinois Learning Standards; availability of accommodations for college reportable scores and ease of requesting such accommodations; availability of training for educators and parents, including training for the administration of the assessment; preparation and practice opportunities for students; integration with the State Student Information System for ease of registration and reporting; reporting options, including timeliness of reporting, data available to schools and districts, and individual student score reporting to institutes of higher education; and call center and customer support for schools, districts and families. The highest concentration of points was associated with accommodations, alignment to standards, and ease of administration and reporting for districts.

Qualifications of the Evaluators

All evaluators were trained educators possessing a variety of work experiences related to curriculum, instruction, and assessment. ISBE utilized both agency staff and external evaluators; the majority of reviewers were external evaluators. Evaluators held licensure in high school teaching fields, administration, and special education. ISBE utilized experts in English Learners and Special Education, along with representation from the Illinois Board of Higher Education. Moreover, ISBE selected evaluators with experience in diverse districts, including urban districts with high concentrations of low income students. All evaluators were trained to provide an individual evaluation of each proposal according to a rubric that was aligned with the submission criteria provided to offerors as part of the bid packet which required the pre-approval of the State Procurement Officer.

Results of the Evaluation

ISBE received proposals from two offerors – College Board and ACT. The scoring outlined in the RFSP was as follows:

Technical Evaluation for Responsiveness	1,200 maximum points
Cost	300 maximum points
Total Possible Points	1,500 points

Offeror	Average Score	Maximum Score	Percentage
<u>Technical Evaluation Results</u>			
College Board	1152	1200	96%
ACT	971	1200	80%
<u>Cost Evaluation Results</u>			
College Board	300	300	100%
ACT	287	300	95%
<u>Overall Results</u>			
College Board	1452	1500	96%
ACT	1258	1500	83%

The College Board received the highest technical score from six of the seven evaluators and had a three-year cost that was \$1,372,800 less than ACT (based upon an estimated, but not guaranteed, 143,000 11th grade students taking the exam annually).

Financial Background

The financial background of this contract is illustrated in the table below:

	Requested Estimated Additional State Funding Not to Exceed
FY16	\$4,761,900
FY17	\$4,761,900
FY18	\$4,761,900
Total	\$14,285,700

The annual cost of the contract will be \$33.30 per pupil who takes the exam.

Business Enterprise Program (BEP)

There was a 20% Business Enterprise Program (BEP) goal placed on the solicitation. The BEP estimated projections from the vendor proposal are illustrated in the table below.

	<u>BEP Goal Percentage</u>	<u>BEP Goal Amount*</u>
FY16	20.5%	\$977,000
FY17	20.5%	\$977,000
FY18	20.5%	\$977,000

Analysis and Implications for Policy, Budget, Legislative Action, and Communications

Policy Implications: The contract will ensure that each student in every school district will have access to a state-funded college entrance exam, which ensures that students are able to apply to the vast majority of universities that require a score on a college entrance exam on the application. The contract will also guarantee low-income students access to a college entrance exam that may not have been available or promoted to them if options for fee waivers were not actively sought or if administration to all students within a district was not pursued. Additionally, longitudinal data will have to be aligned to the new college entrance exam.

Budget Implications: Due to a lack of a state budget, the State Board does not know at this time if appropriations will be enacted to fund the cost of a college entrance exam.

Legislative Action: None.

Communication: The successful offeror will be posted on the Illinois Procurement Bulletin Board. The State Board will partner with the offeror to provide communication to districts regarding support for transition and administration. These supports will include information for parents and families, as well as the provision of concordance tables to assist with connecting the historical data collected by districts.

Pros and Cons of Various Actions

Pros: Awarding a contract to the successful offeror would enable the state to continue supporting the opportunity for all 11th grade students to take a college entrance exam on site at their school district during the school day. Awarding a contract to the successful offeror will also guarantee students access to a college entrance exam that demonstrates alignment to the

Illinois Learning Standards and provides more opportunities to students who may need accommodations in taking the exam.

Cons: Transitioning to a new vendor for the college entrance exam will require additional communication supports for districts and families. The State Board must provide information about the scoring and reporting, as well as resources regarding the assessment content and practice materials to students and families immediately. Schools and districts will require training in the administration of a new assessment.

Next Steps

Agency procurement staff will present the RFSP award to the Chief Procurement Office (CPO) for review and publication. Upon approval from the CPO, agency staff will award the RFSP to the successful offeror that has the highest average evaluation point total according to the evaluation criteria in the RFSP.

Exhibit A - Request for Sealed Proposal (RFSP) Process

- Upon ER approval to solicit, Board approval is needed if an estimated cost exceeds \$1 Million
- State Purchasing Officer's (SPO) procurement method approval
- Solicitation document drafted and approved by ISBE management
- SPO's approval of solicitation document and publishing of RFSP on Illinois Procurement Bulletin (IPB)
- Administrative Review performed on received vendor offers for responsiveness
- Technical Evaluation process begins which includes Pre & Post Evaluation Meetings, SPO attends
- Upon technical evaluation completion, price evaluation process begins
- Calculate cumulative overall score, technical + price points to determine the awarded vendor
- ER approval to award
- Board approval (if requested) to award if estimated cost exceeds \$1 Million
- SPO approves the awarded vendor and award notice is published on the Illinois Procurement Bulletin (IPB)
- Contract is written and approved by ISBE Management
- Vendor Financial Disclosure submitted to Illinois Procurement Policy Board (30 days waiver period)
- SPO approves the contract
- Contract executed

Discussion of Charter Schools



Situation in 1987

- New York Times Headline, November 7, 1987:

“Schools in Chicago Are Called the Worst By Education Chief”

- William Bennett, U.S. Secretary of Education
- Evidence?
- ACT scores: half of the city's 64 public high schools ranked in the bottom 1 percent of schools that gave the test.

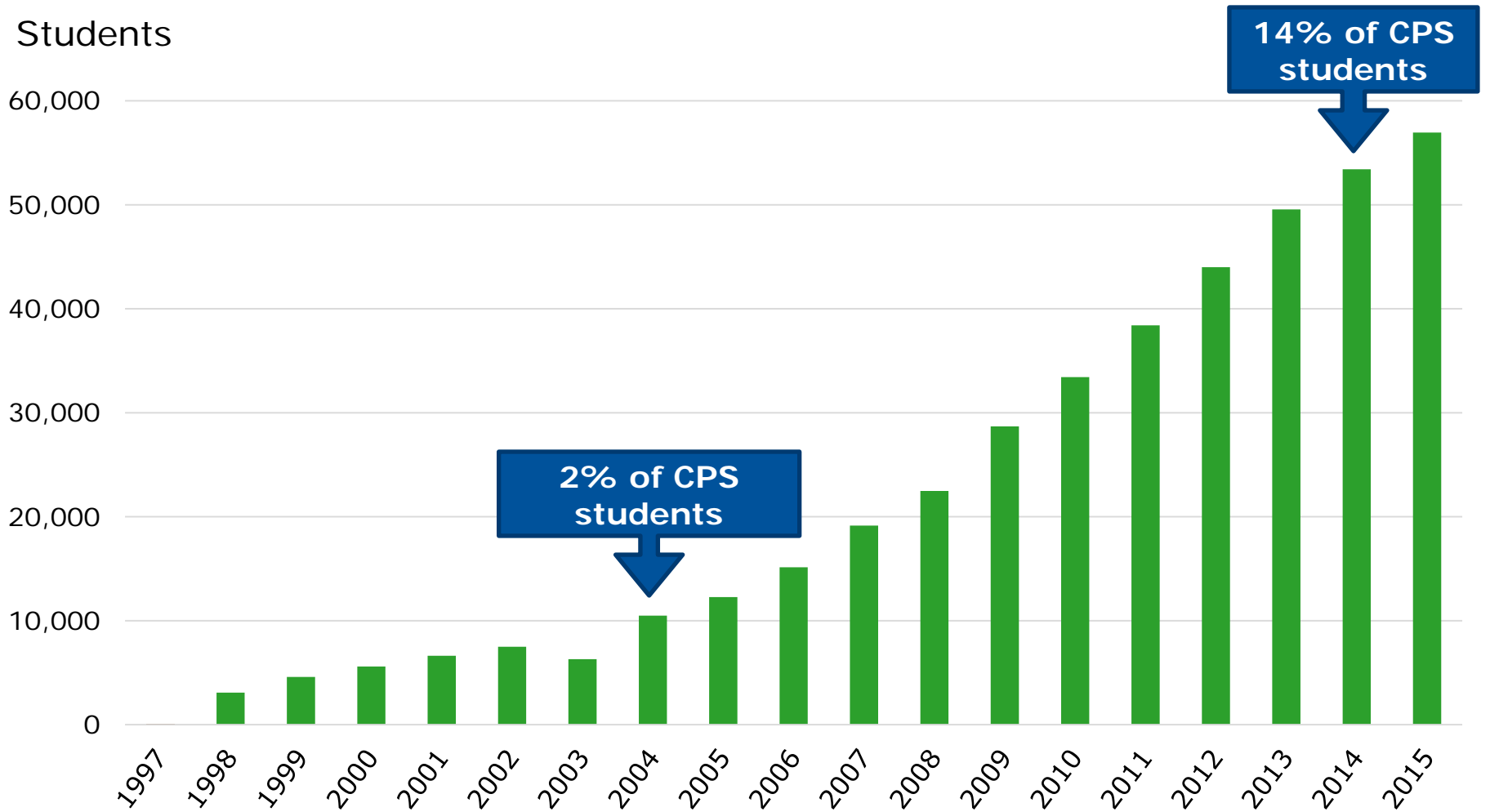
Parents Have Always Led the Fight for Education



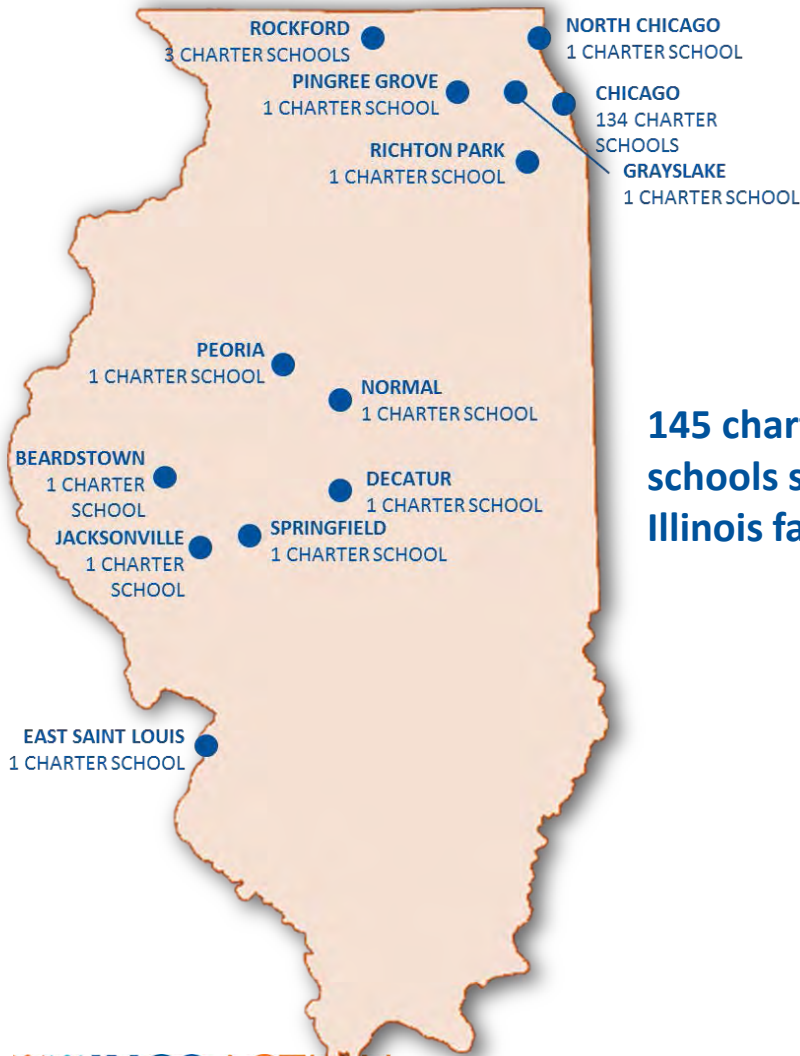
2004: Charter Schools Lead the Editorial Pages



Charter Enrollment in Chicago

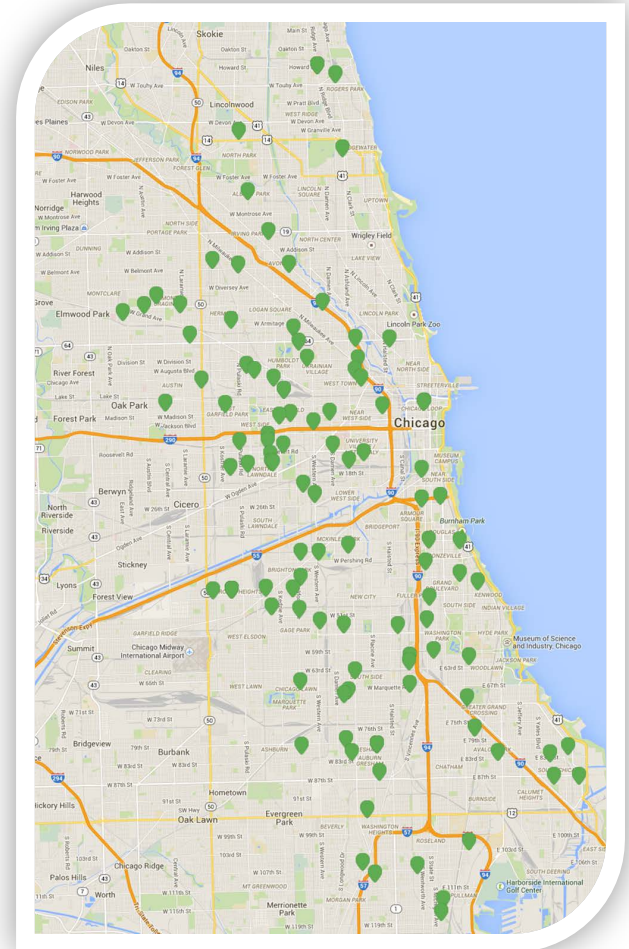


Where are Charter Schools?



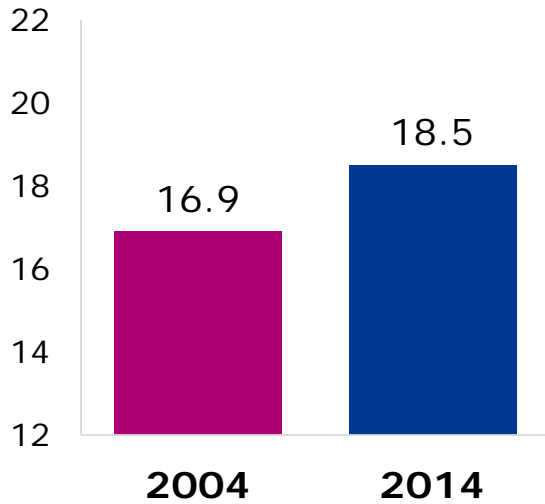
145 charter public schools serve 64,400 Illinois families

134 charter public school serve 58,000 Chicago families

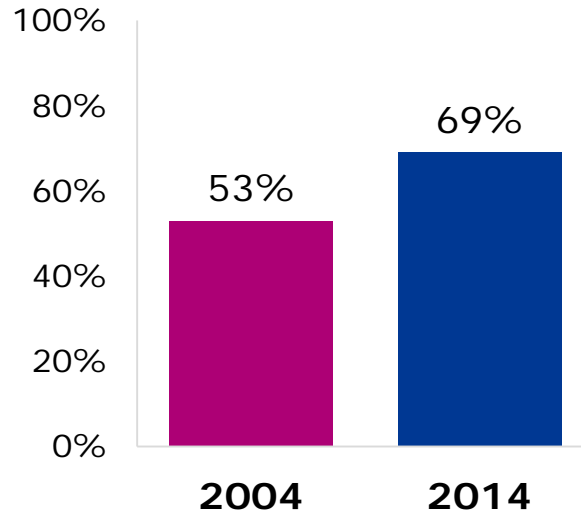


Progress in Chicago during the era of charter expansion

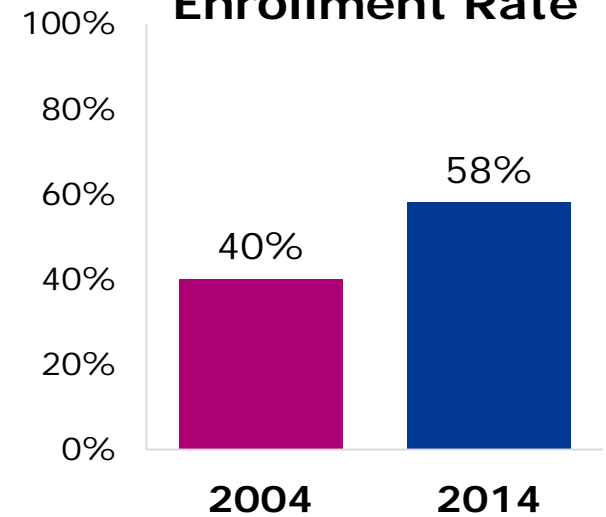
ACT Score



Graduation Rate



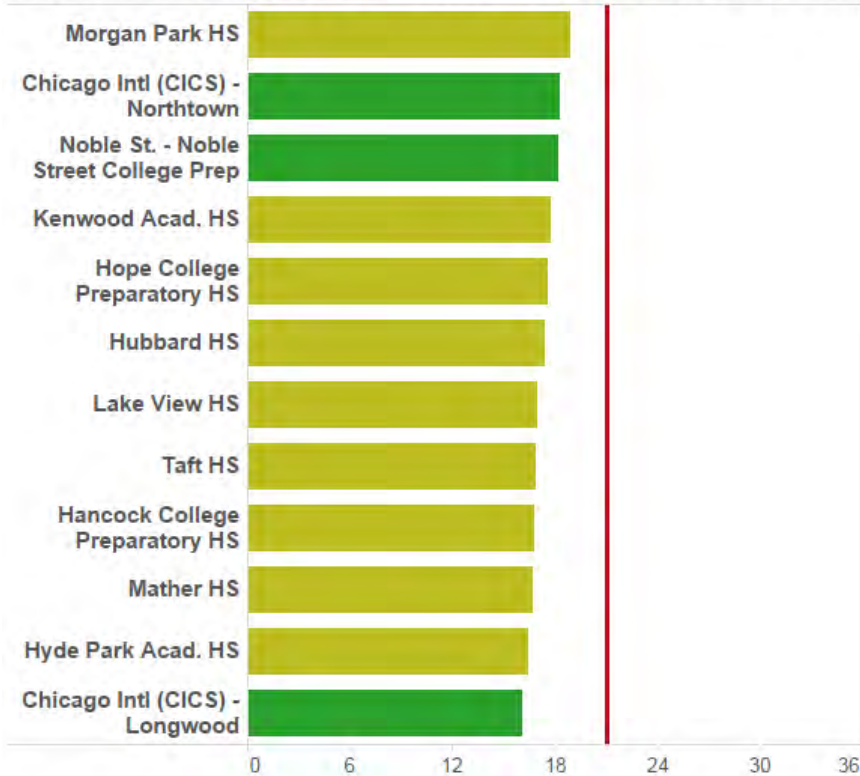
College Enrollment Rate



Charters lead on college-readiness

2004

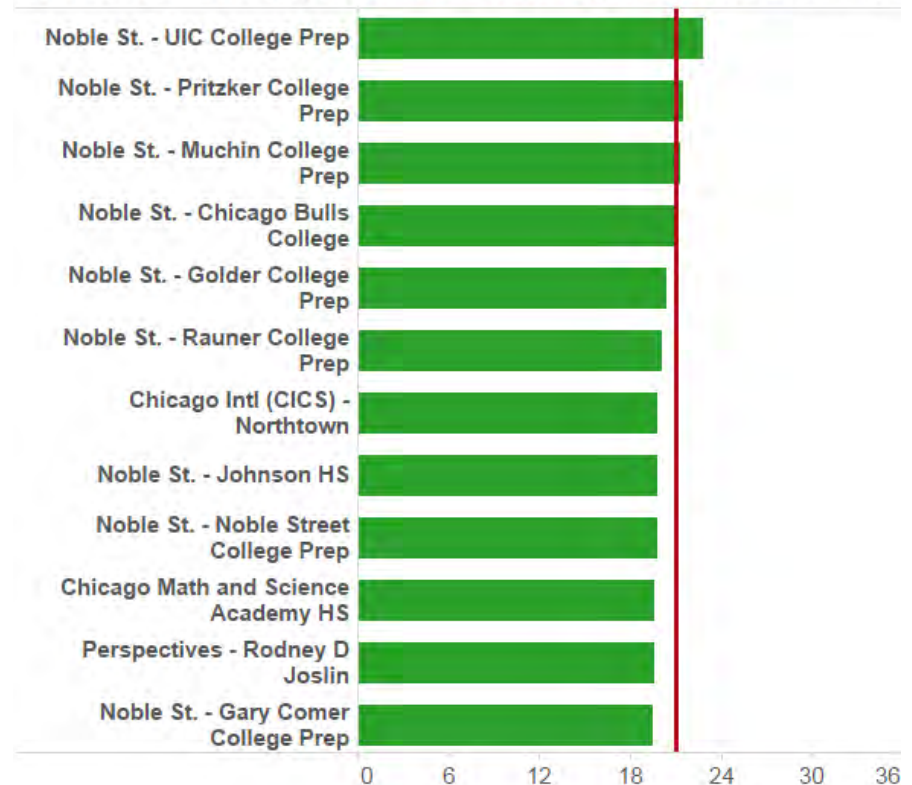
2004: 3 of the top 12 non-selectives are charter schools



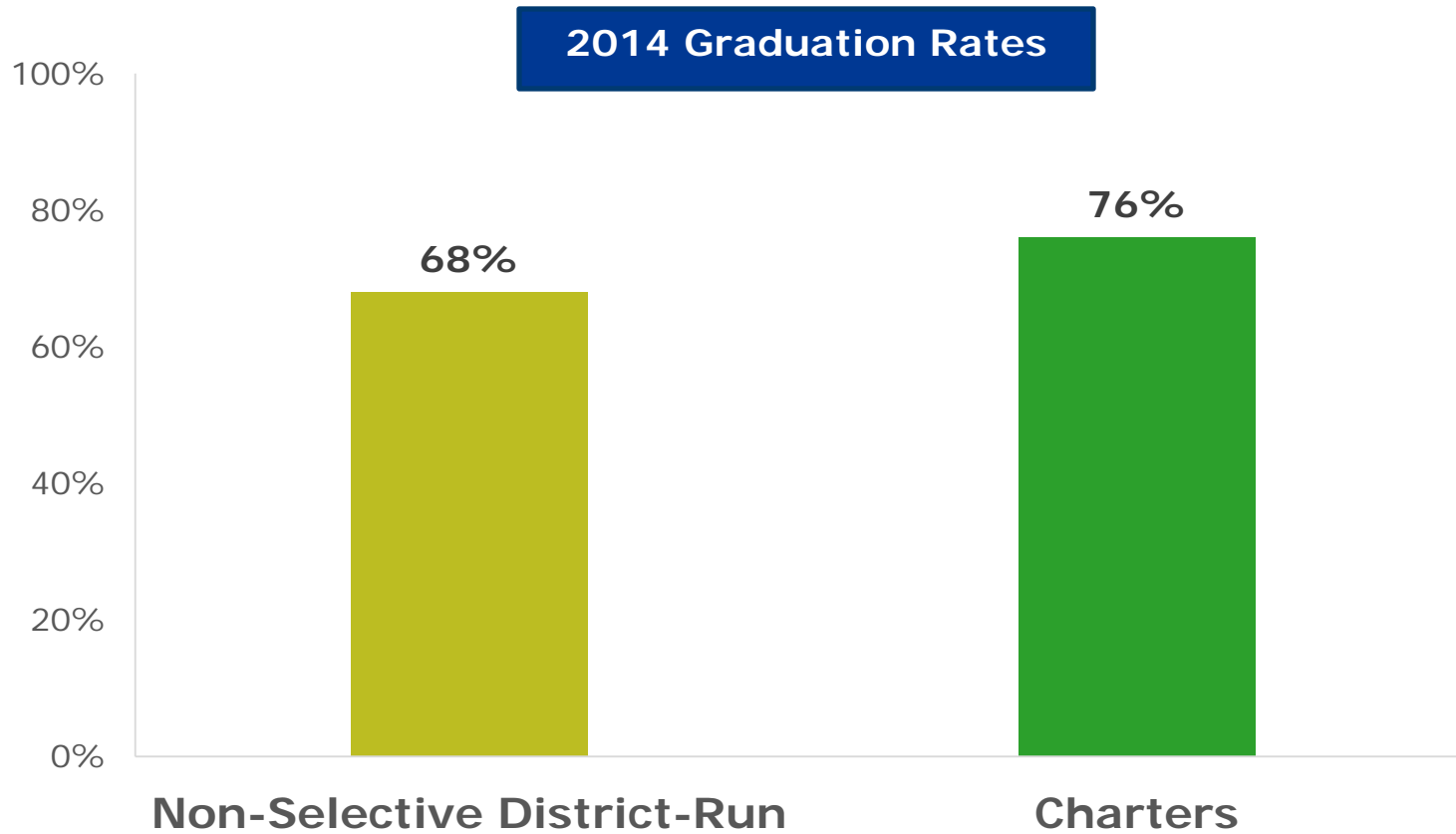
■ Charter
■ Non-selective, district-run

Today

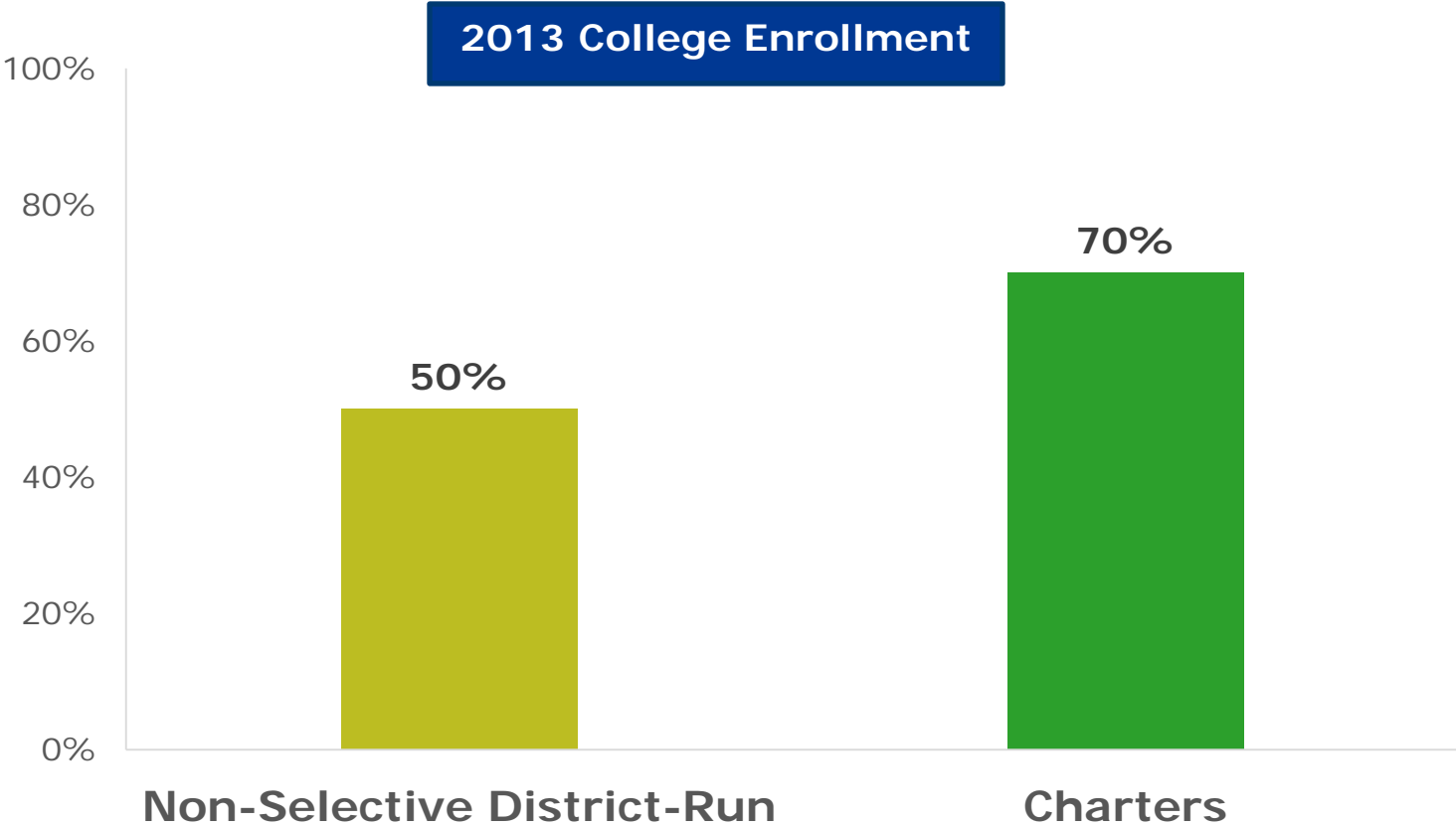
2014: 12 of the top 12 non-selectives are charter schools



Charters lead on graduation

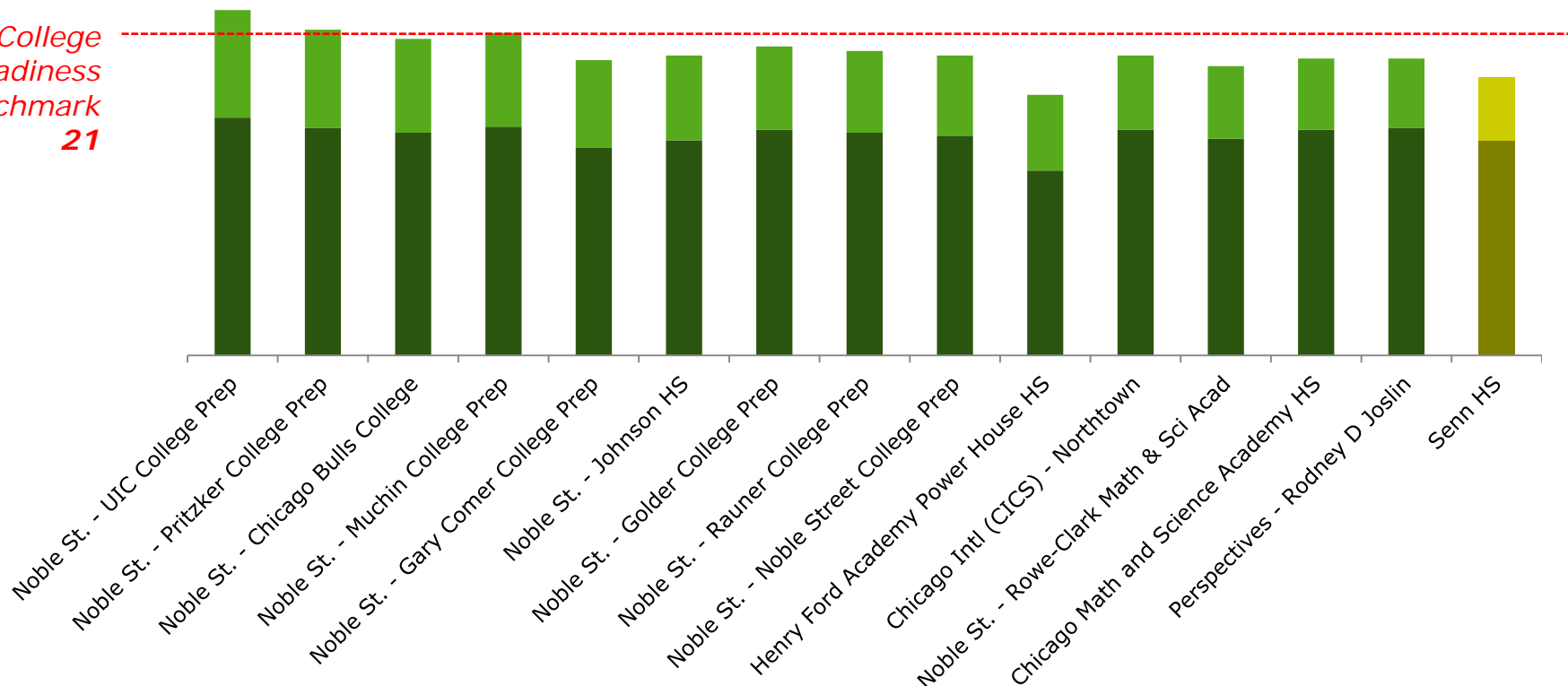


Charters lead on college enrollment



Fourteen of the top 15 open enrollment high schools in EPAS growth are charters.

ACT College
Readiness
Benchmark
21



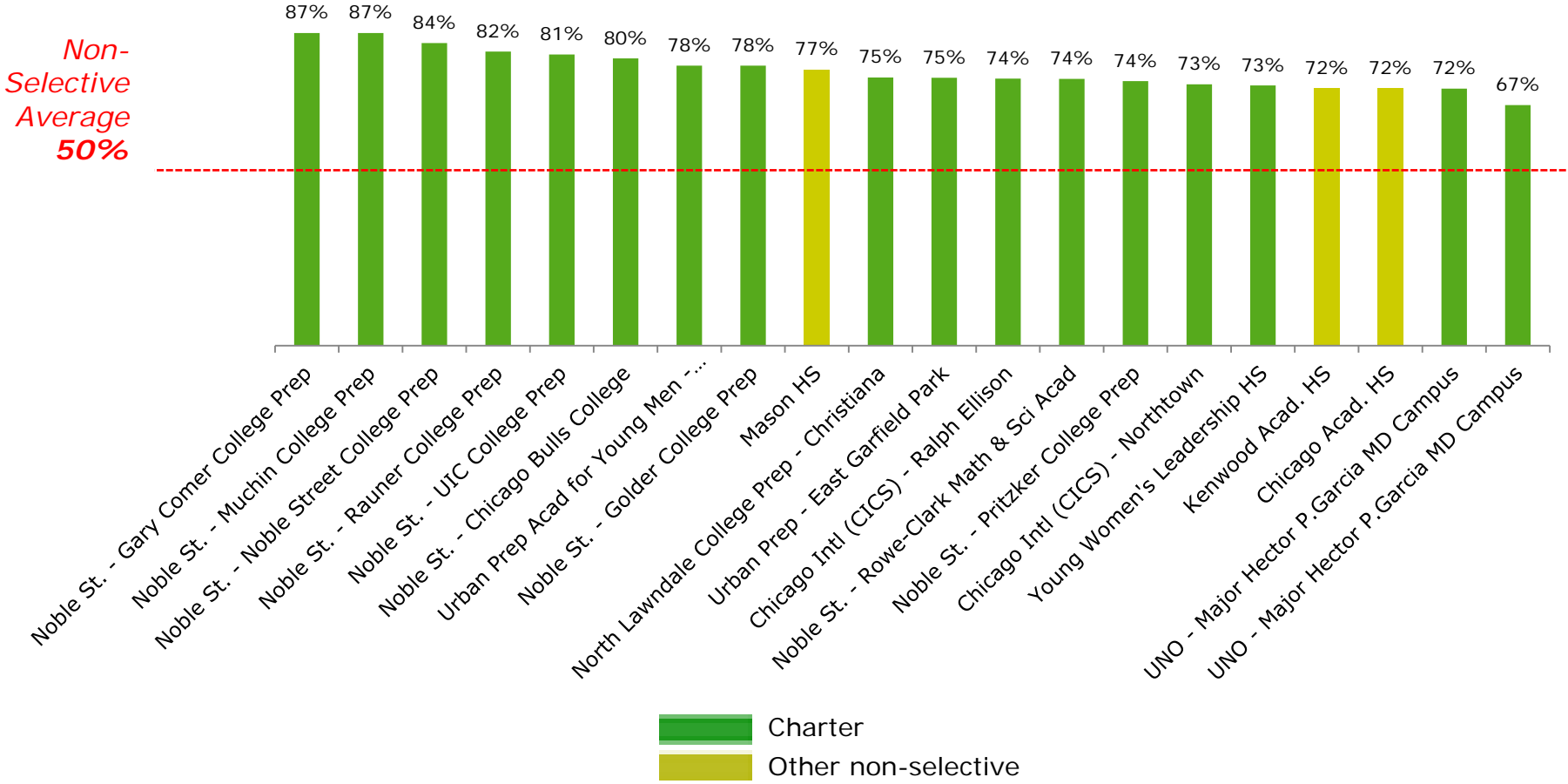
Charter

- ACT Growth
- Explore Score

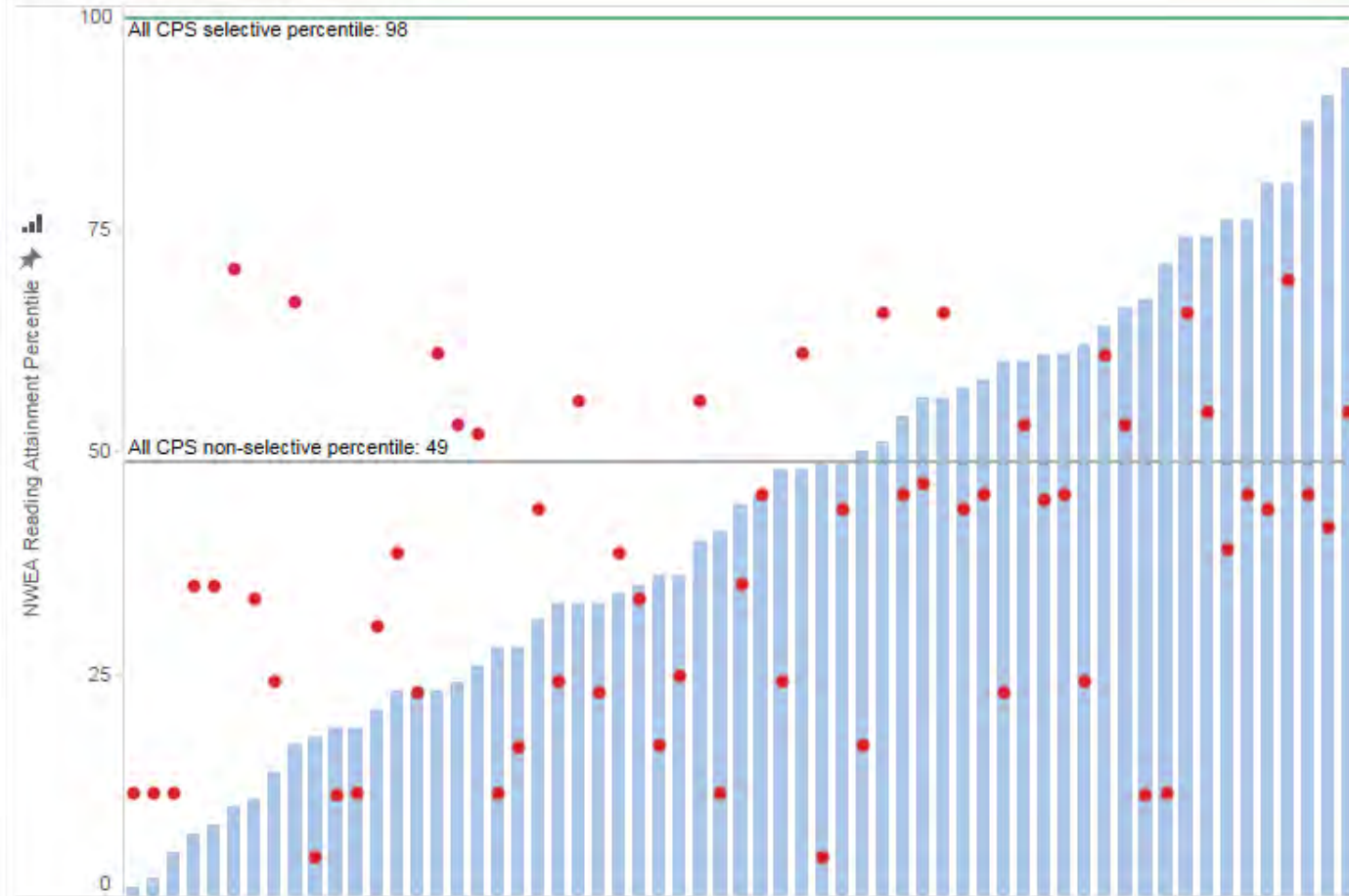
Other non-selective

- ACT Growth
- Explore Score

Seventeen of the top 20 open enrollment high schools in college enrollment are charters.



But performance is uneven: NWEA Reading



NWEA Reading Attainment

61 elementary charters
64% exceed neighborhood peers
44% exceed CPS average

Charters provide innovation and new models

Model	IL school examples
Alternative education	Youth Connections Instituto Justice Joshua Johnston (Prologue) YouthBuild Mclean County Beardstown Charter Learning Academy Tomorrow's Builders
Blended learning	Intrinsic Foundations ChicagoQuest, CICS 8 Points Chicago Virtual
Sustainability	AGC Polaris Prairie Crossing
Healthy living	Namaste AGC Perspectives UNO

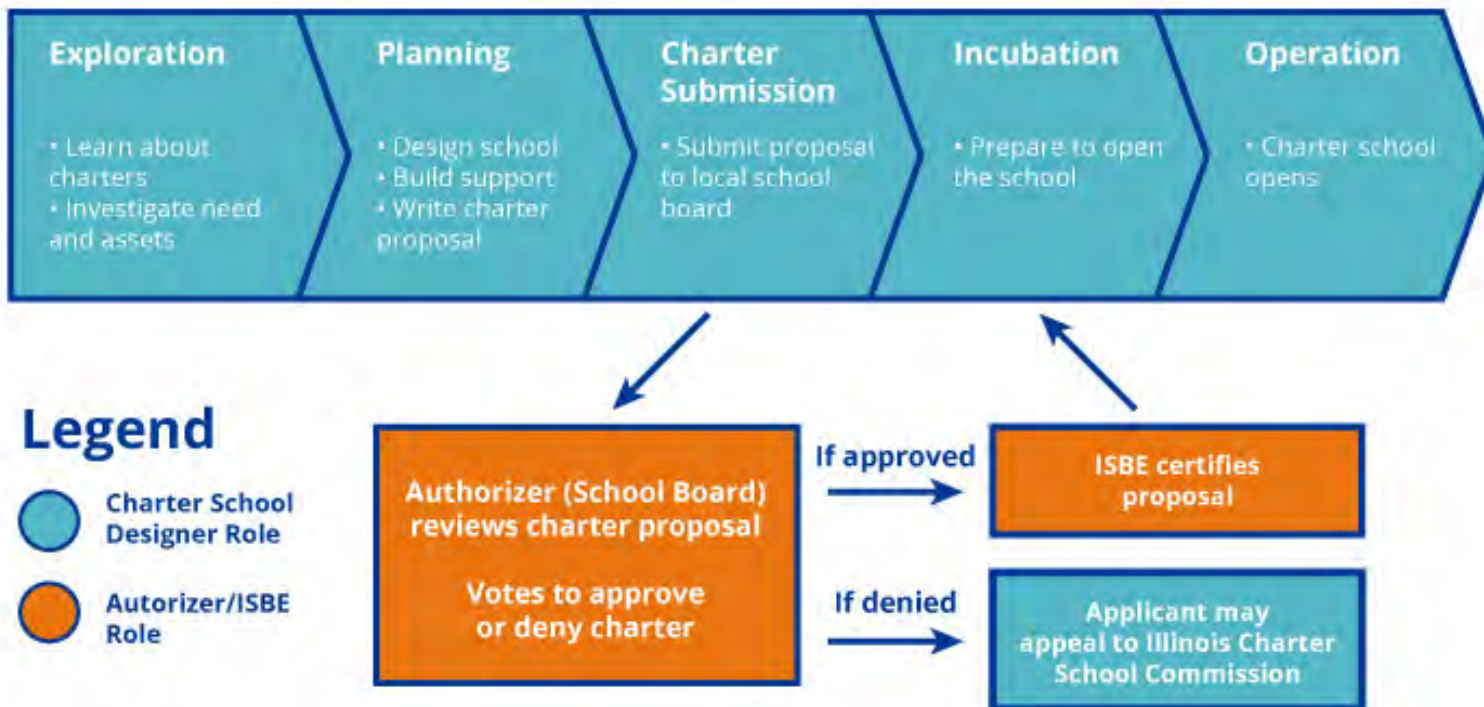
Model	IL school examples
STEM focus	Concept Schools Perspectives IIT Math Sci. Acad. Instituto – Health Sciences Noble – UIC, Rowe-Clark
Specific career focus	Instituto Health Sciences Career Academy Noble – specific campuses ACE Tech
Focus on specific student population	Urban Prep Young Women's Passages UNO Aspira Instituto
Arts focus	Joshua Johnston, Prologue Orange Bronzeville Lighthouse
Expeditionary learning	EPIC Academy Polaris Charter Academy

The Charter Commission

- National trend: Focused, single-purpose body
- Designed to allow for a merit-based appeal
- Should set a standard for high-quality authorizing
- Has a statewide focus on what models are needed/whether schools are needed in any particular area
- Rich Township story: Southland College Prep

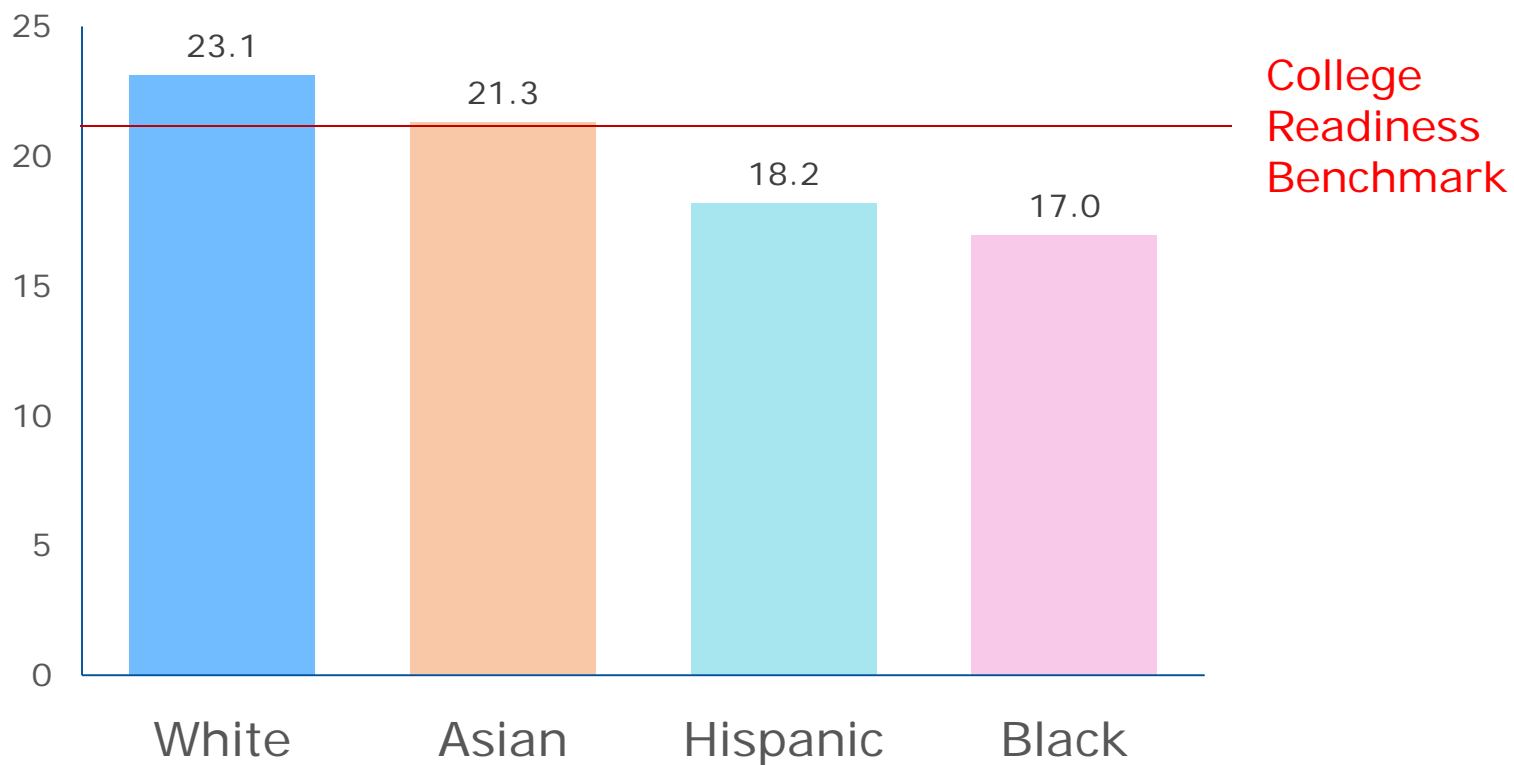
Charter School Development Process

Overview of Charter Public School Development Process – Individual School



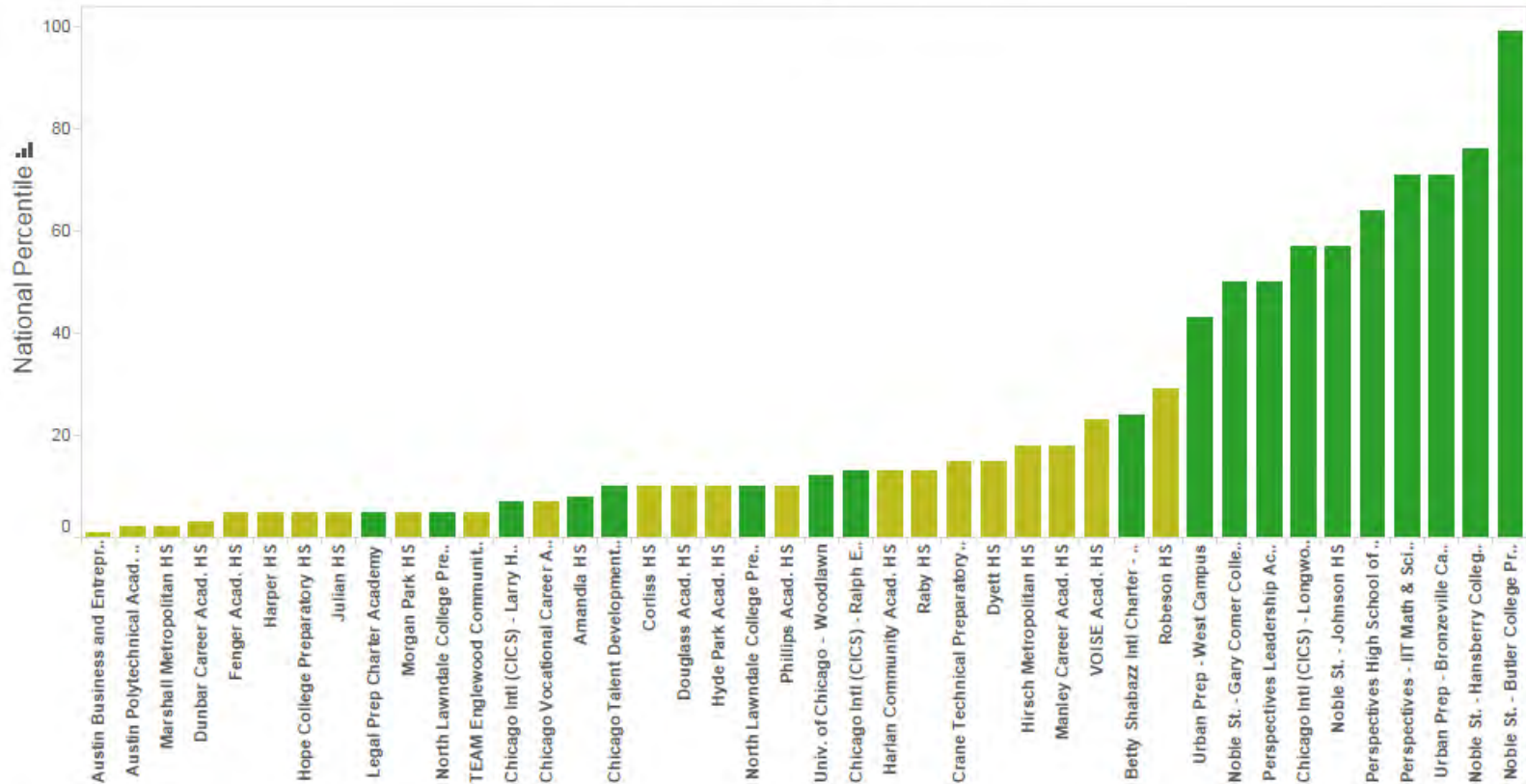
In the face of a distressing achievement gap in Chicago...

Average ACT Scores by Race in CPS Schools



...charter schools are closing the gap

Academic Growth
Relative to National Distribution



42 schools with 90% or more African-American students

Charter innovation is changing trajectories at the school level



Kirk Magnum
Urban Prep Bronzeville '15
Princeton University '19

Urban Prep Innovation

- Singular focus on African American young men
- Longer school day
- Spending flexibility
- Post-graduate support through college graduation
- Culture, creed, code of conduct

The Nation Knows

DNAinfo

CHICAGO ▾



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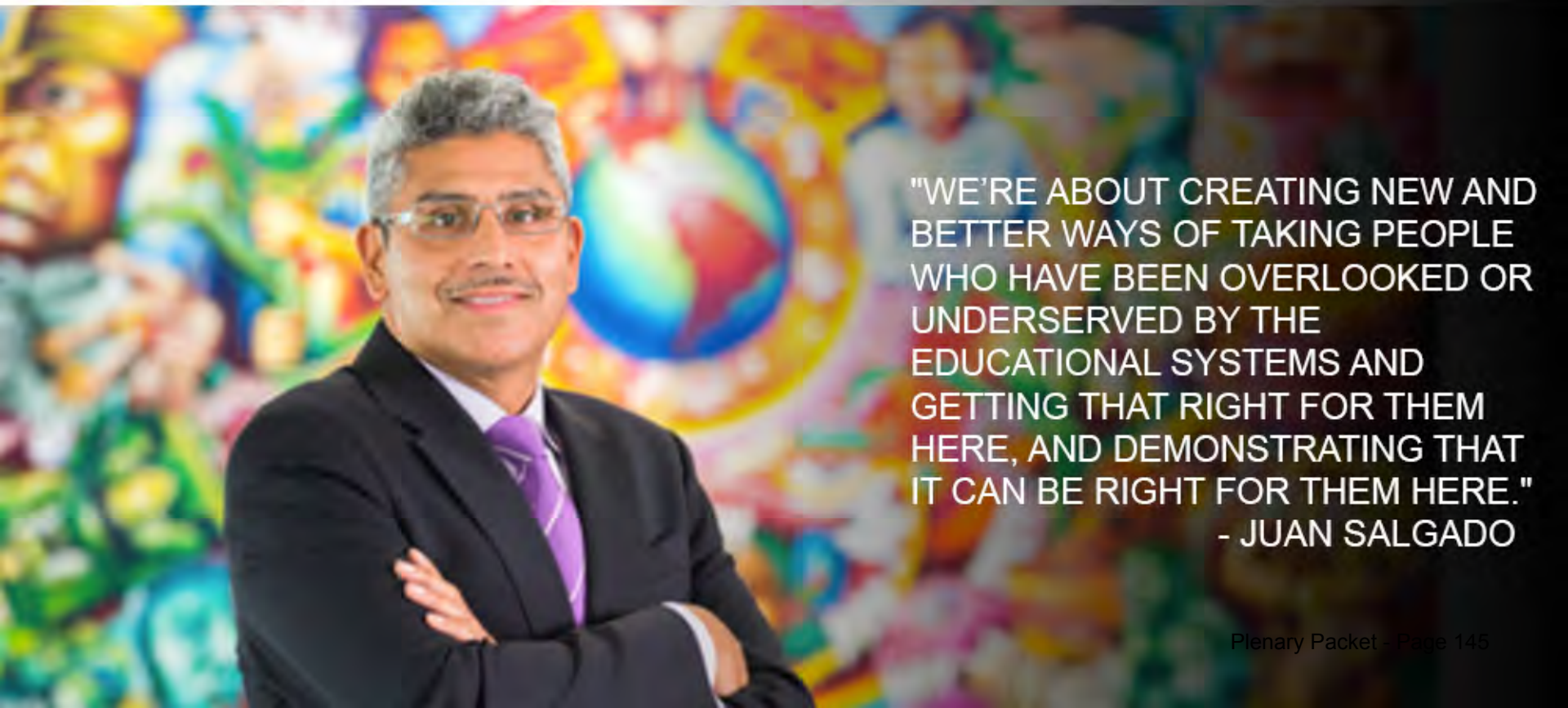
56° 





PILSEN, LITTLE VILLAGE, NEAR WEST SIDE Education

'Genius Grant' Winner from Little Village Works To Lift Up Latinos



"WE'RE ABOUT CREATING NEW AND BETTER WAYS OF TAKING PEOPLE WHO HAVE BEEN OVERLOOKED OR UNDERSERVED BY THE EDUCATIONAL SYSTEMS AND GETTING THAT RIGHT FOR THEM HERE, AND DEMONSTRATING THAT IT CAN BE RIGHT FOR THEM HERE."
- JUAN SALGADO

The Nation Knows



\$43,000,000
FOR CHARTER EXPANSION IN ILLINOIS

What Makes Charter Schools Effective?

Caroline Hoxby

Stanford University and the NBER

How do lottery-based studies of charter schools work?

- Most charter schools in the U.S. are oversubscribed and hold lotteries among applicants.
- In a lottery-based study, we follow the lotteried-in and lotteried-out students.
 - The lotteried-in attend charter schools.
 - The lotteried-out stay in regular public schools.

Why is lottery analysis the Gold Standard?

- Lotteries generate the ideal “control group” for charter school students
 - Lotteried-in and lotteried-out students are alike on every observable dimension: race, ethnicity, gender, poverty, disability, English learner status, etc.
 - They are *also* alike on dimensions we do not observe: motivation, aptitude, “fit” in the regular public schools
 - This is what randomization buys us.
 - With a lottery-based study, no one can claim a charter school’s effects are due to “cream-skimming”.

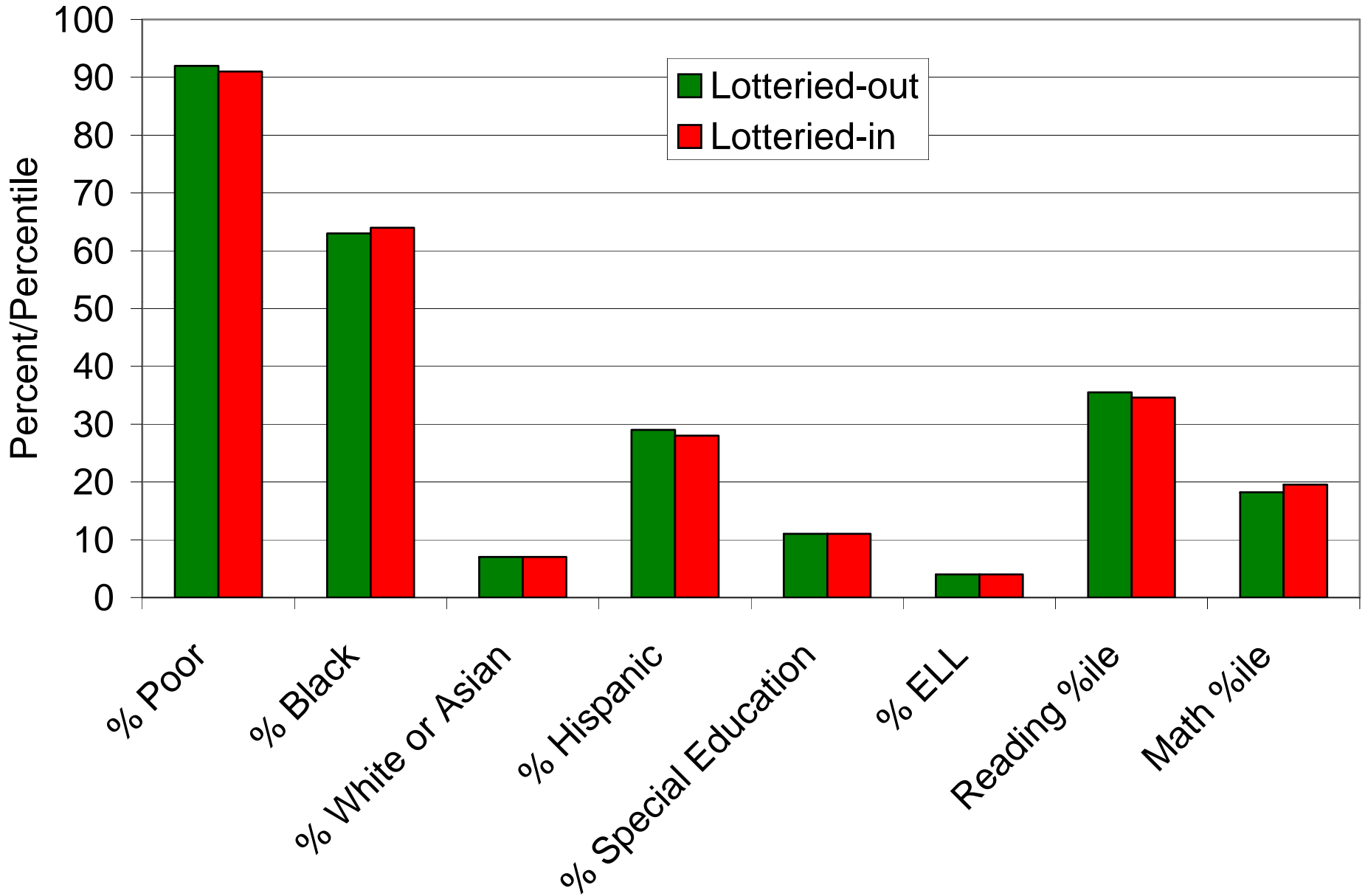
Why is lottery analysis vastly superior to other methods?

- Most methods of evaluating charter schools require the researcher to find control students he thinks are appropriate. There is no good way to do this and the “controls” are never like the charter school students on dimensions we do not observe: motivation, aptitude, etc.
 - This is why “matching” studies are unreliable.
- Pure value-added studies produce results that are very biased.

The lottery-based study we are currently conducting in NYC

- We study NYC charter schools from 2000 onwards
- 97% of their applicants participate in lotteries
- We focus on students' statewide exam scores and on high school graduation.
- We look for a per year effect.

The lotteries *are* random



NYC charter schools raise achievement by:

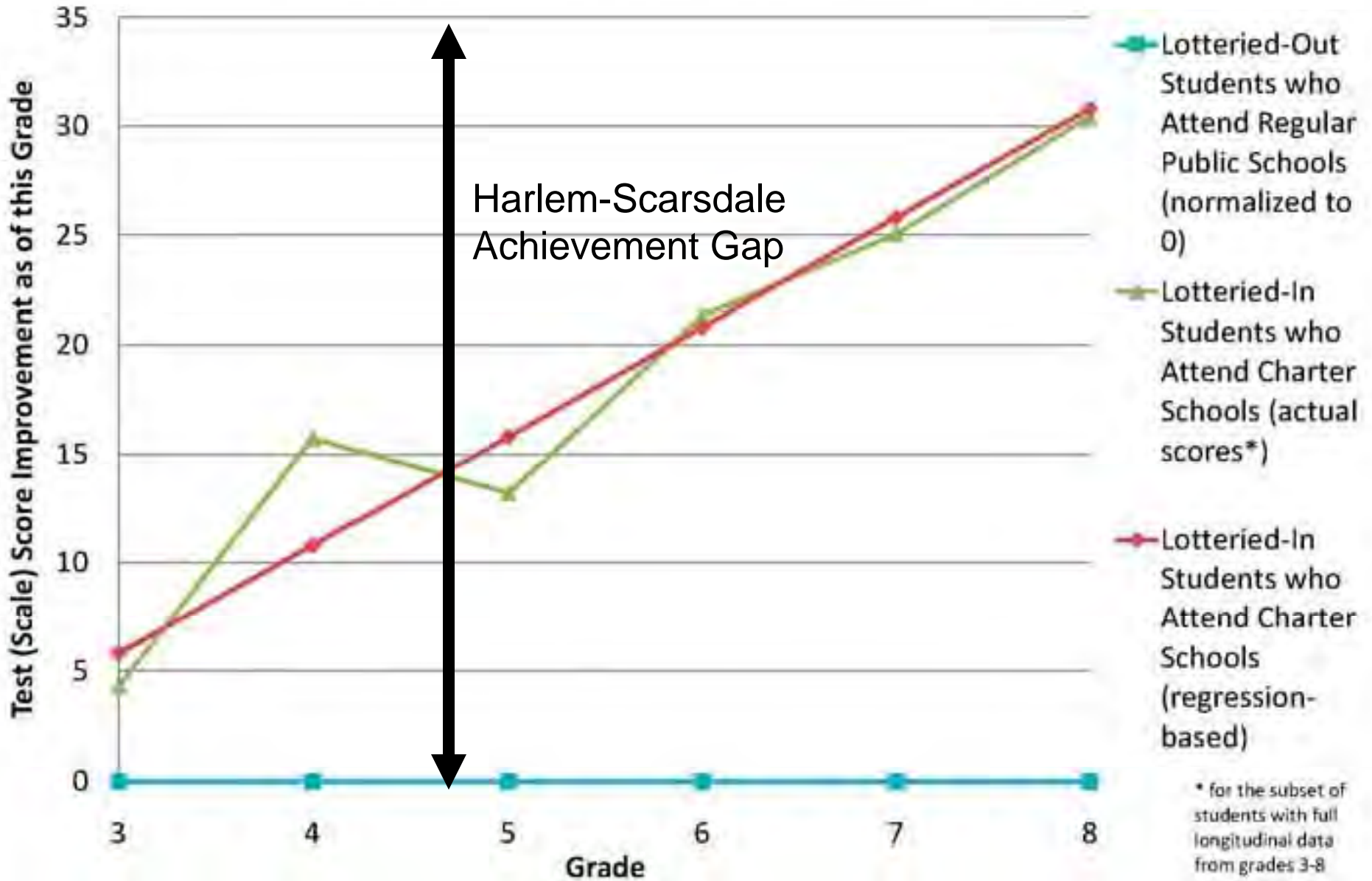
- About 0.09 standard score points *per year* in math
- About 0.06 standard score points *per year* in reading
- 3 to 4 points *per year* on Regents exams

- For every year they spend in charter school, NYC students are 7% more likely to graduate from high school.

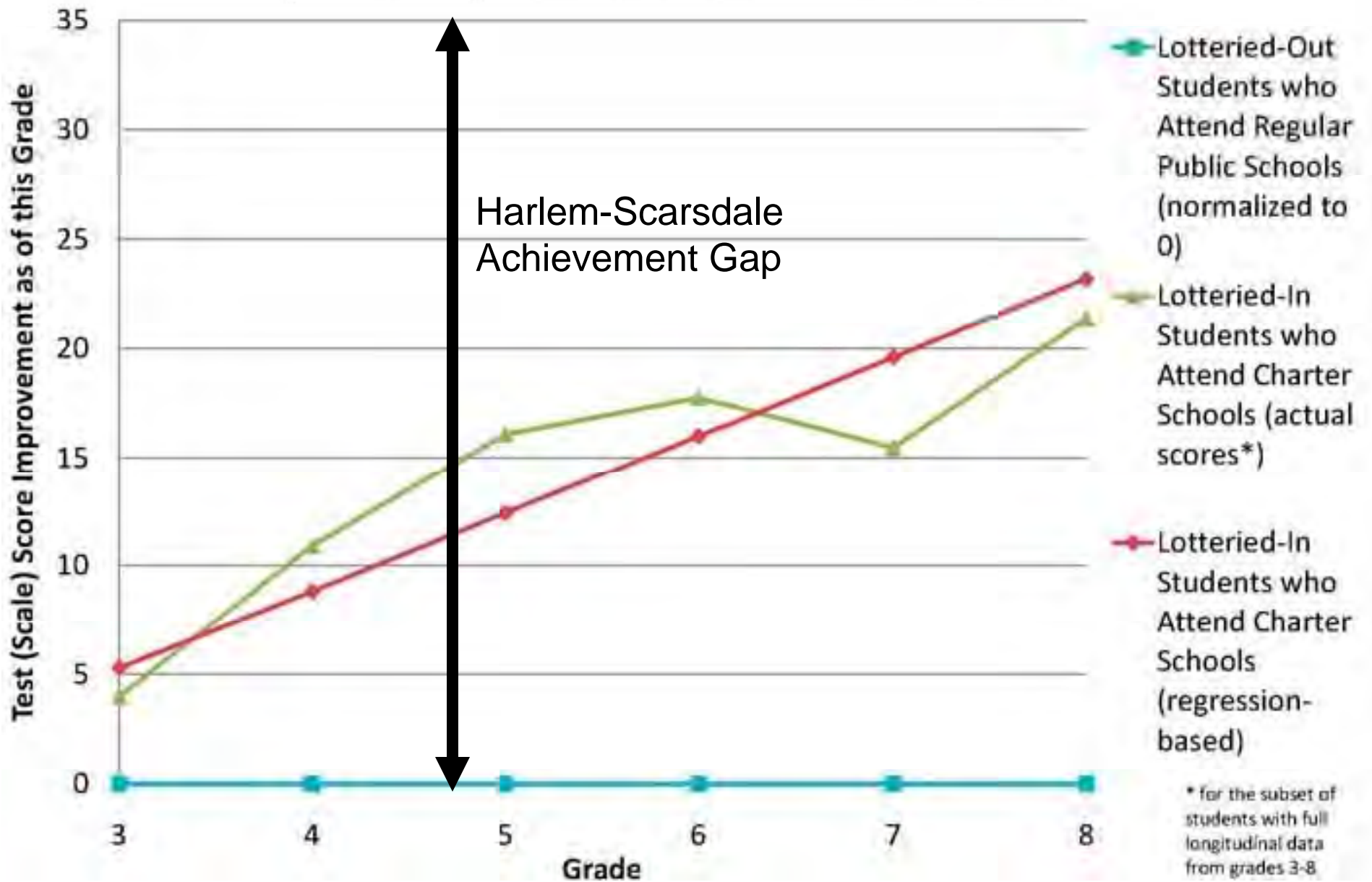
These effects are moderate if we think of a single year.

But attending charter school for multiple years can close the achievement gap.

Estimate-Based Math Progress of Lotteried-Out Students Versus (Lotteried-In) Students Who Attend Charter Schools



Estimate-Based ELA Progress of Lotteried-Out Students Versus (Lotteried-In) Students Who Attend Charter Schools



Lottery-based studies are robust

- The results are not affected by:
 - Attrition
 - Returning to the traditional public schools
 - Grade retention
 - Schools with various “win rates”
 - Students who decline a charter school place

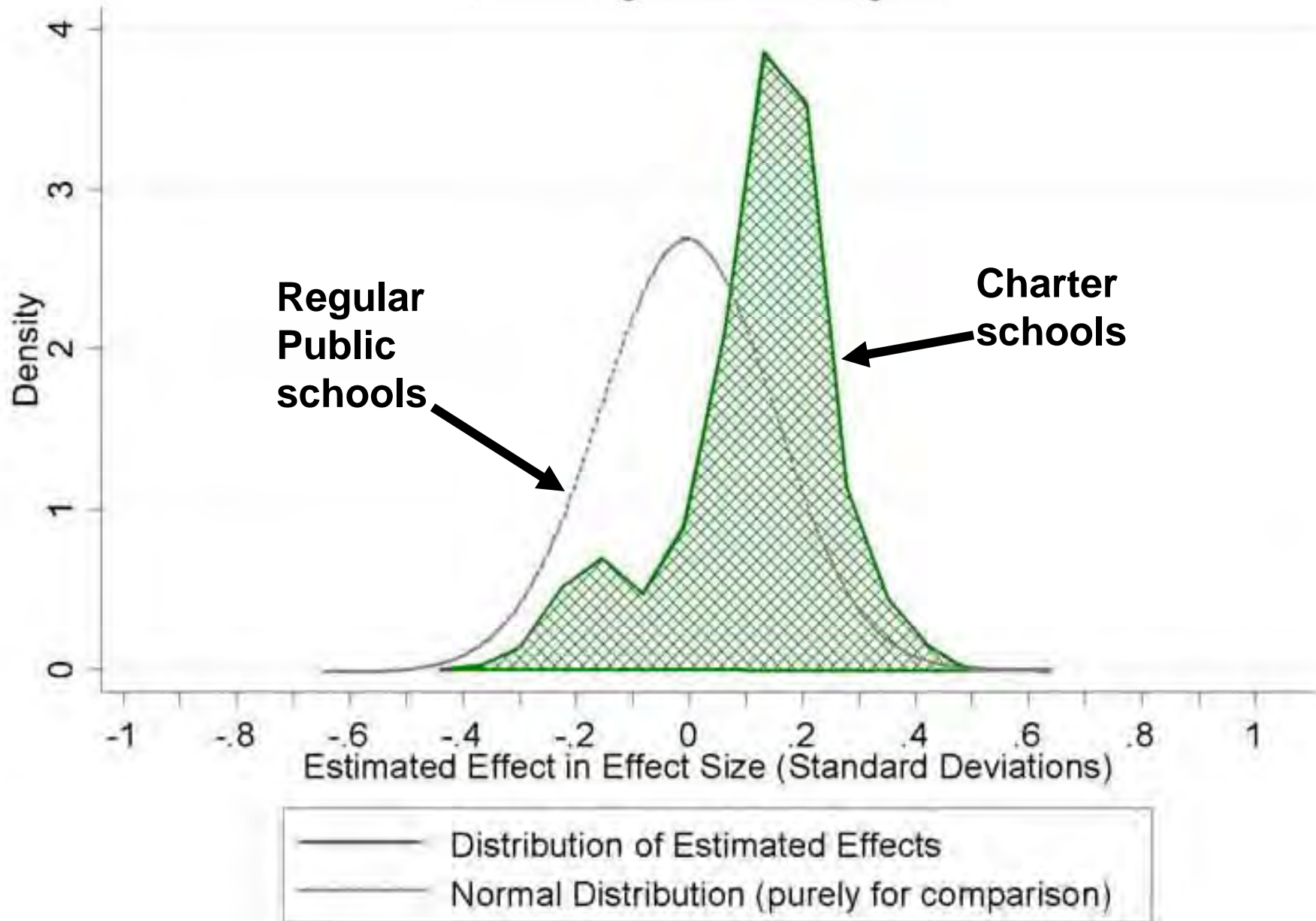
See the technical report for more.

What causes NYC charter schools' typical, positive effect on achievement?

- It's things that charter schools have in common:
 - Governance like that of non-profits, with authorizers and city/state/federal accountability layered on top
 - Families who don't have to stay (and who can take the budget with them)
 - Autonomous management
 - Discretion over hiring teachers
 - Discretion over which teachers leave
 - Routine diagnostic assessment of students
 - School uniforms/strict dress codes
 - Lack of union work rules

Of course, not all charter schools have the same effects.

Distribution of Charter Schools' Effects on Mathematics tests for grades 3 through 8



Can we learn from charter schools that are more successful?

Yes and no. We can get suggestions about what works, but we cannot learn the *causal* effects of schools' policies

Charter schools' policies *are* different

	Average for NYC Charter Students	Average for NYC Regular Public Students
Days in the school year	192	178
Hours in the school day	8	5.5
Saturday school	57%	0%
Minutes of reading each day	112	80
Long math period (90+ minutes)	50%	5% ?
Routine internal assessments	92%	10% ?
Parent contract	52%	0%
Small reward/punishment discipline	22%	?
Uniforms or strict dress code	89%	3% ?

Which policies show up in schools with strong positive effects?

- Long school year, long school day, Saturday school
- Long reading & math periods
- Small rewards/small punishments discipline
- Teacher pay based on performance & duties (not just seniority & credentials)
- A mission statement that emphasizes academic performance

Which policies do not necessarily show up in schools with strong positive effects?

- Years that the school has been in operation
- Type of operating agency
 - Educational Management Organization
 - Charter Management Organization
 - Community Grown Organization

Why are NYC charter schools successful, compared to other charter schools?

This question is based on a false premise.

We have no idea whether NYC charter schools are more successful than 97% of other charters.

- ***Our evidence base on charter schools is appallingly and unnecessarily poor***
 - Most charter schools are evaluated using such unreliable methods that we have no idea what their true effects are.

What explanations could explain good but not unusual charter success?

- A solid charter school law
 - NY law is good but not remarkable.
 - Funding for charter schools is good but not notably better than in a number of other states
- Authorizers are solid
 - NY authorizers conduct themselves in the way that good, pro-active authorizers do
- Moderate strategy for expansion
 - NY is neither “let a 1000 flowers bloom” nor “few but good”

What things are peculiarly propitious for NYC charter schools?

- A supportive Chancellor and Department of Education
- High density of charter schools that learn from one another

Fortunately, these factors are not in limited supply.

Lessons

- Unless we change the standard of evidence, we will still be here in 20 years, dependent on anecdotes about what works and why.
- Rigorously testing charter school-type policies in traditional public schools would help.
- No obvious reason why the supply of effective charter schools will run out or why other areas cannot achieve same success as NYC.

The New York City Charter Schools Evaluation Project

How New York City's Charter Schools Affect Achievement



September 2009

reporting on results through
the 2007-08 school year

Principal Investigators:
Caroline M. Hoxby, Sonali Murarka, Jenny Kang

HOW NEW YORK CITY'S CHARTER SCHOOLS AFFECT ACHIEVEMENT

Caroline M. Hoxby, Sonali Murarka, and Jenny Kang

Suggested Citation:

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Jenny Kang, National Bureau of Economic Research

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THE NEW YORK CITY CHARTER SCHOOLS EVALUATION PROJECT

The New York City Charter Schools Evaluation Project is a multi-year study in which nearly all of the city's charter schools are participating. This is the second report in the study and analyzes achievement and other data from the 2000-01 school year up through the 2007-08 school year. The next report in the study will analyze achievement up through the 2008-09 school year. The previous report (July 2007) and a technical report may be downloaded from the following site: www.nber.org/~schools/charterschoolseval.

This *report* (August 2009) analyzes the achievement of 93 percent of the New York City charter school students who were enrolled in test-taking grades (grades 3 through 12) in 2000-01 through 2007-08. The remaining students are not covered by this report for one of two reasons. 5 percent of charter school students in test-taking grades were enrolled in schools that opened from 2006-07 onwards. Their achievement will be covered by the next report of the New York City Charter Schools Evaluation Project. 2 percent of charter school students in test-taking grades were enrolled in schools that declined to participate in the study.

The most distinctive feature of the study is that charter schools' effects on achievement are estimated by the best available, "gold standard" method: lotteries. 94 percent of charter school students in New York City are admitted to a school after having participated in a random lottery for school places. This is because the city's charter schools are required to hold lotteries whenever there are more applicants than places, and the charter schools are routinely oversubscribed. In a lottery-based study like this one, each charter school's applicants are randomly divided into the "lotteried-in" (who attend charter schools) and the "lotteried-out" (who remain in the regular public schools. These two groups of students are essentially identical at the time of the lottery. They are not identical just on dimensions that we can readily observe, such as race, ethnicity, gender, poverty, limited English, and disability. They are also identical on dimensions that we cannot readily observe like motivation and their family's interest in education. The lotteried-in and lotteried-out students who participated in the same lottery are identical on these subtle dimensions because *they all applied* to the charter school. They are separated only by a random number.

We follow the progress of lotteried-in and lotteried-out students. We compute the effect that charter schools have on their students' achievement by comparing the lotteried-in students to their lotteried-out counterparts. This is a true "apples-to-apples" comparison. Lottery-based studies are scientific and reliable. There are no other methods of studying the achievement of charter school students that have reliability that is "in the same ballpark" (details below).

The New York City Charter Schools Evaluation Project reports on the city's charter schools *in the aggregate*. We do not identify individual charter schools with their individual results. However, we do describe the variation in charter schools' performance in this report, and we show the association between charter schools' policies and their effects on achievement. In general, it is important to remember that charter schools differ, and no charter school is a mirror image of the aggregate results.

The New York City Charter Schools Evaluation Project is funded by a grant from the Institute for Education Sciences, which is the research arm of the United States Department of Education. The study would not be possible without the generous cooperation and help of the New York City Department of Education, the New York City Charter School Center, and the charter schools located in New York City. More information about the project may be found in the Frequently Asked Questions.

EXECUTIVE SUMMARY

The distinctive feature of this study is that charter schools' effects on achievement are estimated by the best available, "gold standard" method: lotteries. 94 percent of charter school students in New York City are admitted to a school after having participated in a random lottery for school places. In a lottery-based study like this one, each charter school's applicants are randomly divided into the "lotteried-in" (who attend charter schools) and the "lotteried-out" (who remain in the regular public schools). These two groups of students are identical not just on dimensions that we can readily observe, such as race, ethnicity, gender, poverty, limited English, and disability. They are also identical on dimensions that we cannot readily observe like motivation and their family's interest in education. The lotteried-in and lotteried-out students who participated in the same lottery are identical on these subtle dimensions because *they all applied* to the charter school. They are separated only by a random number.

This is a true "apples-to-apples" comparison. Lottery-based studies are scientific and reliable. There are no other methods of studying the achievement of charter school students that have reliability that is in the same ballpark.

We follow the progress of lotteried-in and lotteried-out students. We compute the effect that charter schools have on their students' achievement by comparing the lotteried-in students to their lotteried-out counterparts. This is a true "apples-to-apples" comparison. Lottery-based studies are scientific and reliable. There are no other methods of studying the achievement of charter school students that have similar reliability.

The key findings of this report are as follows.

- Charter school applicants are much more likely to be black and much less likely to be Asian or white than the average student in New York City's traditional public schools. [Chapter II]
- Charter school applicants are more likely to be poor than the average student in New York City's traditional public schools. [Chapter II]
- Charter schools' lotteries appear to be truly random, as they are designed to be. Our tests for randomness are based on students' race, ethnicity, gender, prior test scores, free and reduced-price lunch participation, special education participation, and English Learner status. [Chapter II]
- Students who actually enroll in charter schools appear to be a random subset of the students who were admitted. [Chapter II]

EXECUTIVE SUMMARY, CONTINUED

● Lottery-based analysis of charter schools' effects on achievement is, by far, the most reliable method of evaluation. It is the only method that reliably eliminates "selection biases" which occur if students who apply to charter schools are more disadvantaged, more motivated, or different in any other way than students who do not apply. [Chapter III]

● On average, a student who attended a charter school for all of grades kindergarten through eight would close about 86 percent of the "Scarsdale-Harlem achievement gap" in math and 66 percent of the achievement gap in English. A student who attended fewer grades would improve by a commensurately smaller amount. [Chapter IV]

On average, a student who attended a charter school for all of grades kindergarten through eight would close about 86 percent of the "Scarsdale-Harlem achievement gap" in math and 66 percent of the achievement gap in English.

● On average, a lotteried-out student who stayed in the traditional public schools for all of grades kindergarten through eight would stay on grade level but would not close the "Scarsdale-Harlem achievement gap" by much. However, the lotteried-out students' performance does improve and is better than the norm in the U.S. where, as a rule, disadvantaged students fall further behind as they age. [Chapter IV]

● Compared to his lotteried-out counterpart, a student who attends a charter high school has Regents examination scores that are about 3 points higher for each year he spends in the charter school before taking the test. For instance, a student who took the English Comprehensive exam after three years in charter school would score about 9 points higher. [Chapter IV]

● A student who attends a charter high school is about 7 percent more likely to earn a Regents diploma by age 20 for each year he spends in that school. For instance, a student who spent grades ten through twelve in charter high school would have about a 21 percent higher probability of getting a Regents diploma. [Chapter IV]

● The following policies are associated with a charter school's having better effects on achievement. We emphasize that these are merely associations and do not necessarily indicate that these policies *cause* achievement to improve.

- a long school year;
- a greater number of minutes devoted to English during each school day;
- a small rewards/small penalties disciplinary policy;
- teacher pay based somewhat on performance or duties, as opposed to a traditional pay scale based strictly on seniority and credentials;
- a mission statement that emphasizes academic performance, as opposed to other goals.

[Chapter V]

CHAPTER I. NEW YORK CITY'S CHARTER SCHOOLS

When did New York City's charter schools open?

The New York State Charter Schools Act of 1998 authorized the establishment of charter schools in New York State. The first year of operation for charter schools in New York City was 1999-00, and twelve schools were operating by 2000-01. Four of these schools were converted from previously-existing public schools: Wildcat Academy, Renaissance, KIPP Academy, and Beginning with Children. By the 2005-06 school year, 36 more charter schools had opened (including one conversion school, Future Leaders Institute) and one charter school had closed.

As of the writing of the report, New York City has 78 charter schools operating and another 26 whose operations are scheduled to begin in fall 2009 or fall 2010.

Which New York City charter schools are participating in this study?

Nearly all of New York City's charter schools are participating in the *study*. The study contains multiple reports, including a technical report of July 2007 that we will mention several times. All the reports can be downloaded from the website listed on page i.

This *report* analyzes achievement data up through 2007-08, and it analyzes charter schools that were operating as of the 2005-06 school year. These data represent 93 percent of charter school students who were in test-taking grades (grade three through twelve) up through 2007-08.

There are a few schools that were operating in 2005-06 and that are not covered by this report. Two schools, UFT Elementary Charter School and South Bronx Charter School for International Cultures and the Arts, declined to participate in the study. Readnet Bronx Charter School closed in 2005-06. The NY Center for Autism Charter School is not included in the study because it serves a very special population and is not compatible with many elements of the study.

A full list of New York City's charter schools is in Table Id at the end of this chapter. They are listed by their year of opening. All of the schools that opened by 2005-06 are included in this report, with the exception of the four named above.

How are students admitted to New York City's charter schools?

Any student who lives in one of the five boroughs of New York City can apply to its charter schools. The typical charter school application simply asks for the student's name, his date of birth, the parent or guardian's contact information, and the grade to which the student is applying. Some applications ask for more information of this basic type but charter schools never ask students to provide their school transcript, write an essay, or otherwise demonstrate their academic performance. Think of a single sheet of paper, not a college application.

Charter schools are required to take all applicants if they have space for them. (Charter schools that specifically serve disabled students or drop-outs only consider applications from students who fit their service model.) If a charter school does not have enough space for all applicants, it is required to hold a random lottery among the applicants. *94 percent of students who apply to New York City charter schools are put into one of these lotteries.*

In this study, we are to check whether the lotteries are random, and we find no evidence that they are not.

A lottery is specific to a school and a grade. For example, Explore Charter School may hold one lottery for its kindergarten places, another for its first grade places, and so on. A student may apply to more than one charter school in a single year, but we find that this is not at all common. Much more detail on the lotteries can be found in our technical report.

Is New York City a typical environment for charter schools?

Nothing about New York City is typical! However, we shall see that its charter schools enroll a disadvantaged population of students that is very similar demographically to charter school students you would see in other cities in the U.S. Also, nearly all charter schools in the U.S. hold admissions lotteries, as New York City's schools do, when they are oversubscribed. Most urban charter schools are routinely oversubscribed, as are New York City's charter schools.

There are a few things that are distinctive about the city's charter school environment. The Chancellor of the New York City schools, Joel I. Klein, is supportive of charter schools, and his Department of Education has an Office of Charter Schools that performs important functions. Also, New York City charter schools often share buildings or campuses with traditional public schools.

What grades are served by New York City's charter schools?

Of the charter schools covered by this report, the majority serve elementary or middle school grades. Less than a quarter serve high school grades. We describe the grades served in more detail later in the report. (See Table IIIa.)

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A typical feature of charter schools in New York City is that they open with only their lowest grade, the “intake” grade, and add a grade each subsequent year. This is known as "rolling-up." For example, a charter high school may open with only ninth grade in its first year. In its second year, the ninth graders will roll up to become tenth graders and the school will welcome a new batch of ninth graders, thereby serving ninth and tenth graders. By its fourth year, the school will be serving all of the high school grades from nine to twelve. Because kindergarten and first grade are both traditional intake grades, charter elementary schools in New York City often open with both kindergarten and first grade and then add one grade each year. Thus, they serve kindergarten through grade five by their fifth year of operation. The logic of rolling-up is that it gives schools a manageable way to grow and to instill the school’s culture in students.

Charter schools do not always roll up, however. Some open by admitting students into intake and non-intake grades alike. This makes their first year of operation different from subsequent years in which their admissions will be dominated by the intake grades. Typically, non-intake grades admit only a small number of students to fill places that open up when students depart. Conversion charter schools in New York City typically convert to charter school status with their full complement of grades.

Table Ia shows that kindergarten alone accounts for a third of all applicants, and kindergarten and first grade by themselves accounts for about half of all applicants. In general, higher grades account for fewer applicants. (Grades five and six are intake grades for middle schools so they have somewhat more applicants than grades four and seven.)

Table Ia	
	<i>Grade accounts for this percentage of all applicants</i>
Kindergarten	31.6%
Grade 1	16.5%
Grade 2	9.7%
Grade 3	7.6%
Grade 4	5.4%
Grade 5	13.9%
Grade 6	6.9%
Grade 7	2.4%
Grade 8	1.0%
Grade 9	2.5%
Grade 10	1.8%
Grade 11	0.4%
Grade 12	0.2%

Note: Table includes the New York City charter schools covered by this report.

Where are New York City's charter schools located?

New York City's charter schools are generally concentrated in Harlem and the South Bronx. They are scattered throughout Brooklyn, and there are a few in Queens. Starting in the 2009-10 school year, Staten Island will have a charter school. Figure Ia shows a map of New York City with the locations of the charter schools that were operating as the 2008-09 school year. The schools covered by this report are indicated by a red star. The others are indicated by a blue dot.



What are the charter schools' neighborhoods like?

When a charter school locates in a neighborhood, it can expect to serve students who are disproportionately from that neighborhood. This is especially true for schools that serve elementary grades. Thus, it is important to know something about the neighborhoods where charter schools locate. We use tract data from the U.S. Census to describe these neighborhoods. (A Census tract is a small, fairly homogeneous neighborhood with about 4000 people living in it.)

Comparing the average charter school's census tract to New York City as a whole, we see that charter schools locate in neighborhoods that have unusually low proportions of white non-Hispanic and Asian residents and unusually high proportions of black and Hispanic residents. For instance, charter schools' neighborhoods are about 40 percent black non-Hispanic whereas New York City as a whole is only about 22 percent black non-Hispanic. Charter schools' neighborhoods are about 38 percent Hispanic whereas New York City as a whole is only about 25 percent Hispanic.

Charter schools' neighborhoods are also economically disadvantaged. For instance, the average household income in charter schools' census tracts is \$37,639 while it is \$59,743 in New York City overall. 43.7 percent of households in charter schools' neighborhoods have incomes less than \$20,000, but only 28.4 percent of New York City households have such low incomes.

Table 1b
Charter School Neighborhoods Compared to New York City as a Whole

<i>Neighborhood Characteristic</i>	<i>Neighborhoods of the charter schools covered by this report</i>	<i>New York City as a Whole</i>
% White (non-Hispanic)	14.3%	38.7%
% Black (non-Hispanic)	39.6%	22.4%
% Hispanic	37.7%	24.8%
% Asian	5.2%	11.0%
% Other races/ethnicities	3.3%	2.1%
Average household income	\$37,639	\$59,743
% households with income less than \$20,000	43.7%	28.4%
% of adults who have no high school diploma or GED	41.0%	28.0%
% of adults with bachelor's degree or higher	15.2%	27.9%
% of families with children are single parent families	57.0%	39.2%

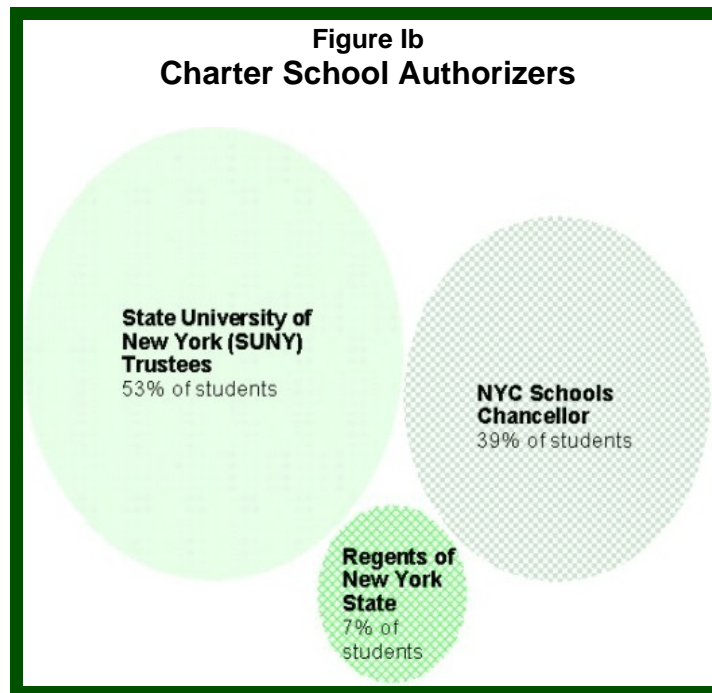
Source: Authors' calculations based on Geolytics 2008 estimates of U.S. Census of Population and Housing data.

Finally, charter schools' neighborhoods are educationally and socially disadvantaged. 41.0 percent of their adults have no high school diploma or GED. In contrast, only 28 percent of New York City adults have such a low level of education. Only 15.2 percent of adults in charter school neighborhoods have a four-year college degree, whereas 27.9 percent of New York City adults have such a degree. Perhaps most dramatic is the difference in the share of families that are headed by single parents. 57.0 percent of families with children are headed by single parents in charter schools' neighborhoods, whereas only 39.2 percent of such families are headed by single parents in New York City as a whole.

Wildcat Academy charter school is located in an affluent neighborhood but is exclusively targeted at high school drop-outs. Its downtown Manhattan location makes sense not because its students reside near the school but because they do internships with nearby firms as part of their education.

Who authorizes New York City's charter schools?

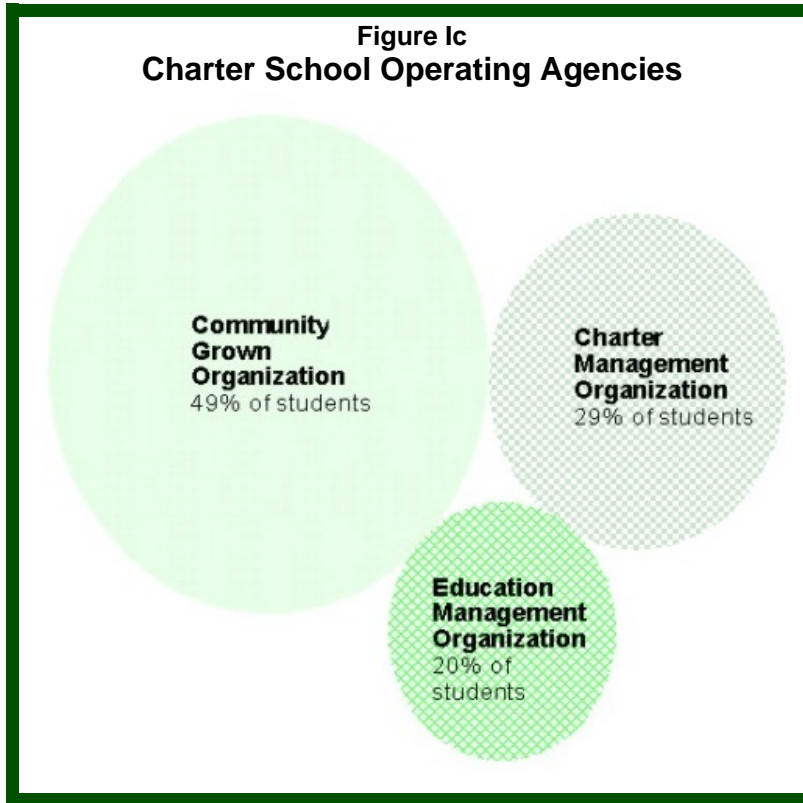
There are three agencies that have the power to authorize new charter schools in the city: the State University of New York (SUNY) trustees, the Chancellor of the New York City Schools, and the New York State Board of Regents. When a group of individuals decides to form a charter school, they submit a proposal to only one authorizer at a time. As Figure 1b shows, most of the charter schools covered by this report were authorized by SUNY or the Chancellor. The Board of Regents authorized only three of the schools. However, the Board of Regents authorizes many charter schools in New York State outside of the city.



Who operates New York City's charter schools?

Distinct from the authorizer is the operating agency. There are three broadly-defined types of operating agencies in New York City: non-profit Community Grown Organizations (CGOs), non-profit Charter Management Organizations (CMOs), and for-profit Education Management Organizations (EMOs). CMOs and EMOs are formal organizations that exist to manage charter schools. Some larger ones in New York City are the KIPP Foundation (CMO), Achievement First (CMO), and Victory Schools (EMO), all of which operate multiple schools in the city. CGOs, on the other hand, are much more varied. They may consist of a group of parents and teachers, or a community organization that already provides social services to local residents, or an individual from the business world who partners with people working in education. Some CGOs operate multiple schools--for instance, Harlem Children's Zone and Harlem Village Academies. As Figure 1c shows, a little over half of the charter schools covered by this report are CGOs. A smaller

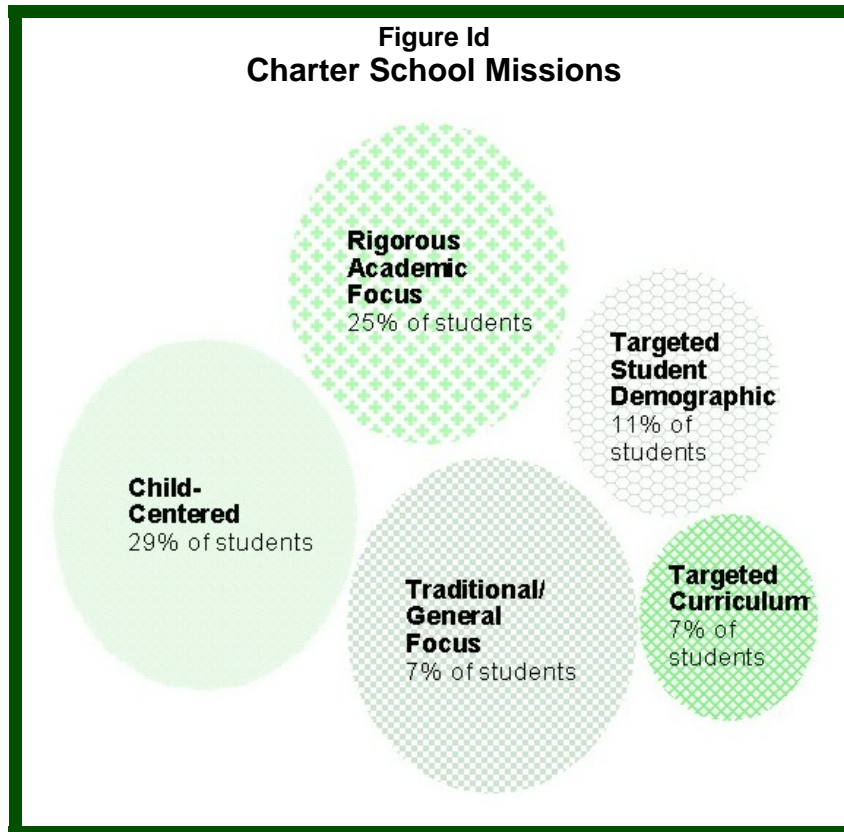
proportion are CMOs and even smaller proportion are EMOs, though the EMOs enroll more students than the CMOs. Conversion charter schools have been grouped under CGOs because many of them were started as non-traditional public schools by groups of parents and teachers or community organizations.



Do all charter schools have the same mission?

Charter schools craft a mission statement that describes their overall vision and focus as a school. Schools with the same operating agency sometimes share the same mission statement, but they do not always do so. A school's mission statement is a strong indicator to parents, students, school staff members, and the public of the school's educational philosophy. In New York City, there are several broad educational philosophies held by clusters of schools. Obviously, there is no way to summarize the schools' carefully crafted mission statements in a simple framework, and we encourage people to read each statement for itself. They reveal a variety of thoughtful educational strategies and policies.

While we cannot reduce mission statements to simple variables, we can categorize them roughly. Using the statements, we grouped charter school into five broad missions (in descending order of prevalence): a child-centered or progressive philosophy (29 percent of students), a general or traditional educational mission (28 percent of students), a rigorous academic focus (25 percent), a mission to serve a targeted population of students (11 percent of students), and a mission to offer a specific curriculum (7 percent of students). Figure 1d shows the proportions of students and schools in each category.



While clearly there is much overlap in schools' missions, there are a few key features of schools' statements that helped us categorize them. Child-centered or progressive schools typically seek to develop students' love of learning, respect for others, and creativity. Such schools' mission statements may also focus on helping students realize their potential and on building strong connections between students and their families and communities. Schools with a general or traditional educational mission typically seek to develop students' core skills and would like to see their students meet or exceed New York State academic standards. Schools with a rigorous academic focus are characterized by mission statements that almost exclusively mention academic pursuits such as excelling in school and going to college. These schools also frequently state that they would like students to become leaders. Schools with a mission to serve a targeted population of students use their statement to describe their target: low-income students, special needs students, drop-outs, male students, female students. The targeted curriculum category contains schools that use a special focus, such as science or the arts, to structure their whole curriculum.

Does each charter school have its own policies and practices?

We cannot emphasize too often that charter schools are not all alike. In fact, there are many reasons to expect charter schools to differ. They are independent and fairly autonomous. Their founding groups or agencies have a variety of histories. They are most often start-ups and therefore more likely to experiment with new policies than are established schools. On the other hand, there are some reasons to think that charter schools will share certain policies. We have seen that they commonly serve disadvantaged students; they are all under pressure to attract parents and to satisfy their authorizers; they may imitate one another consciously (as when they purposely adopt another school's policy that seems to be working) or unconsciously (as when teachers who have worked at

one school are hired by another and bring their knowledge with them).

It is no surprise, therefore, that charter schools in New York City exhibit a variety of policies, but that there are still distinguishable patterns. Table Ic shows the policies of the charter schools covered by this year's report. Of course, we are only able to include characteristics that can be measured objectively with data that are available for most schools. Schools have many characteristics that plausibly affect student achievement but that are not measurable. For instance, the leadership style of the school head is important, but it is very difficult to measure in a way that is consistent across schools.

There are two things to take away from an examination of charter schools' policies, as shown in Table Ic. First, we can gauge what policy innovations the charter schools have made. Second, we can appreciate the *range* of policies pursued by charter schools. In Chapter V, we will show that different charter schools have different effects on achievement, and we will attempt to see which policies are associated with more positive effects on achievement.

There are a few policies that the vast majority of charter schools in New York City have adopted but that are uncommon in the traditional public schools. 89 percent of charter school students wear school uniforms or follow a strict dress code. 92 percent of charter school students take approximately two internal evaluations each year. An internal evaluation is a test that used to track students' progress and to identify students who need extra or different instruction. Popular tests include Terra Nova, the Iowa Test of Basic Skills, and the Stanford 9. Such evaluations are not required by the state or city. *All* charter schools administer the New York State standardized exams.

89 percent of students who attend charter schools that serve middle or high school grades experience an advisory system. In an advisory system, a teacher or pair of teachers is assigned to a group of students for an entire school year. Teachers meet frequently (daily or weekly) with their students and are responsible for making sure that each student is making progress and is not "falling through the cracks." Because elementary schools typically assign students to a single teacher for most of the school day, advisory systems would be duplicative and are therefore not used by them.

The average charter school student experiences a school year that is 192 days long. In other words, they attend school for an extra two and a half weeks each year. (A 180-day school year is used by the traditional public schools.) It is interesting to note that a small number of charter schools have very extended school years of 200 to 220 days (four to eight extra weeks). The average charter school student experiences a school day that is 8 hours long.

The average charter school student experiences a school year that is 192 days long. In other words, they attend school for an extra two and a half weeks each year.

This is about 90 minutes more per day than the traditional public schools. The average charter school student learns English language arts (reading) for 112 minutes per day. 90 minutes is the length of the literacy block mandated for elementary school grades by the Children First initiative in New York City. Half the charter school students learn math for ninety or more minutes per day, where regular public elementary schools in New York City are required to have between 60 and 75 minutes of math instruction daily, depending on the grade. The majority of charter school students attend a school that offers Saturday School (sometimes mandatory, sometimes optional), and the

vast majority attend a school that has an after-school program.

There are no dominant math or English language arts curricula in the New York City charter schools although substantial minorities of students experience Saxon Math, Everyday Math, SRA reading, or Open Court reading. About a quarter of students experience a curriculum developed by their own school or its operating agency. See the Frequently Asked Questions for short descriptions of each curriculum. Two-thirds of charter school students learn via a direct instruction teaching style in at least their math class. Direct instruction is a method of teaching that emphasizes the explicit introduction of skills through lectures, scripted exercises, or demonstrations. It is often contrasted with methods in which a student learns by doing. These other methods are variously known as exploratory learning, discovery learning, or inquiry-based learning.¹

The average class size experienced by charter school students is 23. We are wary of comparing this number to the numbers for traditional public schools that are reported in New York City's annual class size report. Our caution is due to the fact that the charter school number is based on schools' informal self-reports and the traditional public school numbers are based on registers. We conclude that class size is in about the same range for the same grades in the charter and traditional public schools.

At least 22 percent of charter school students experience a "small rewards/small punishments" disciplinary strategy. This strategy is based on the idea that rewarding small courtesies and penalizing small infractions is important. Such discipline is usually carried out in the classroom and sometimes employs an explicit system of points. This is in contrast to disciplinary strategies that focus more on preventing or punishing large infractions and that are carried out mainly by administrators above the classroom level. A school may call its disciplinary policy by a variety of names but we classified it as "small rewards/small punishments" if it clearly fit the description given above. Since we erred on the side of not classifying a school if its strategy was hard to characterize, we believe that the 22 percent number understates the share of charter schools with small rewards/small punishments.

About half of charter schools students attend a school where parents are asked to sign a contract. These contracts are not legally enforceable, but they may help to set parents' beliefs about what the school expects of them. A typical parent contract specifies expectations about attendance, on-time arrival at school, homework, and similar issues.

For about 60 percent of charter school teachers, some of their pay is based on their performance and duties they undertake. The standard pay scale experienced by teachers in the traditional public schools is largely based on seniority and credentials, such as whether a teacher has a master's degree. The standard scale does allow pay to depend a little on duties but it does not

For about 60 percent of charter school teachers, some of their pay is based on their performance and duties they undertake.

allow pay to depend on performance, such as whether a teacher raises her students' achievement. Although a small minority of New York City charter schools do have unionized teachers, this phenomenon is not as interesting as it seems at first glance. The vast majority of the unionized charter school teachers are in the conversion charter schools, all of which converted with

unionization in place. Since all the conversion schools were experimental and fairly autonomous *before* they converted, it is not clear that they have ever had typical unionized environments.

Many of the policies just described tend to appear in “packages.” For example, it is very common for schools with a long school year also to have a long school day. Because such packages exist, charter schools do fall into types that parents and authorizers should be able to recognize. We discuss the association between schools' policies and their effect on achievement in Chapter V.

Table 1c
Policies and Characteristics of New York City Charter Schools

	<i>average for NYC charter school students</i>
Years that school has been operating	6
Operated by a Charter Management Organization (CMO)	29%
Operated by an Education Management Organization (EMO)	21%
Operated by a Community Grown Organization (CGO)	49%
Number of days in the school year	192
Number of hours in the school day	8
Saturday school (mandatory for all or certain students)	57%
Optional after-school program available	80%
Number of minutes of English language arts per day	112
Long mathematics period (90 minutes or more)	50%
Saxon math curriculum	39%
Scott Foresman math curriculum	8%
Everyday Math curriculum	30%
SRA reading curriculum	15%
Scott Foresman reading curriculum	10%
Open Court reading curriculum	25%
Core Knowledge curriculum	17%
School's/operating agency's own math and language arts curriculum	28%
Direct instruction style of teaching	66%
Class size	23
Internal evaluations regularly administered	92%
Number of internal evaluations per year	2
Student-faculty advisory (middle and high schools)	82%
School uniforms or strict dress code	89%
Small rewards/small punishments disciplinary philosophy	22%
Parent contract	52%
Seat on the Board of Trustees reserved for a parent	58%
Teacher pay based on performance/duties (not just seniority and credentials)	59%
Number of school leaders	2

Notes: Table describes the schools covered by this report. Schools' characteristics are weighted by their 2007-08 enrollment, so the table represents the experience of New York City charter school students.

**Table 1d
New York City Charter Schools, in order of when they opened**

<i>School Name</i>	<i>Year Opened</i>	<i>Grades Offered as of 2008-09</i>	<i>Grades the School Plans to Offer</i>
Sisulu-Walker CS	1999	K-5	K-5
Amber CS	2000	K-6	K-6
Bronx Preparatory CS	2000	5-12	5-12
Brooklyn CS	2000	K-5	K-5
Community Partnership CS	2000	K-5	K-5
Harbor Sciences and Arts CS	2000	1-8	1-8
John V. Lindsay Wildcat Academy CS	2000	9-12	9-12
Kipp Academy CS	2000	5-8	5-9
Merrick Academy CS	2000	K-6	K-6
Renaissance CS, The	2000	K-12	K-12
Beginning with Children CS	2001	K-8	K-8
Carl C. Icahn CS	2001	K-8	K-8
Family Life Academy CS	2001	K-5	K-5
Harlem Day CS	2001	K-5	K-5
Harriet Tubman CS	2001	K-8	K-8
Explore CS	2002	K-8	K-8
Our World Neighborhood Charter	2002	K-8	K-8
Bronx CS for Better Learning	2003	K-5	K-5
Bronx CS for the Arts	2003	K-6	K-6
Brooklyn Excelsior CS	2003	K-8	K-8
Harlem Village Academy CS	2003	5-10	5-12
KIPP S.T.A.R. College Preparatory CS	2003	5-8	5-9
Bronx CS for Children	2004	K-5	K-5
Bronx CS for Excellence	2004	K-5	K-5
Bronx Lighthouse CS, The	2004	K-6	K-12
Excellence CS of Bedford Stuyvesant	2004	K-5	K-8
Grand Concourse CS of New York	2004	K-5	K-5
Opportunity CS, The	2004	6-11	6-11
Peninsula Preparatory Academy CS	2004	K-5	K-5
Williamsburg Charter High School	2004	9-12	9-12
Achievement First Crown Heights CS	2005	K-3, 5-7	K-9
Achievement First East New York CS	2005	K-3	K-7
Future Leaders Institute CS	2005	K-8	K-8
Girls Preparatory CS of New York (Lower E Side)	2005	K-4	K-5
Harlem Children's Zone/ Promise Academy CS	2005	K-5, 8-9	K-10
Harlem Children's Zone/ Promise Academy II	2005	K-4	K-5
Harlem Link CS	2005	K-4	K-5
Harlem Village Academy Leadership CS	2005	5-8	5-9

Table 1d, continued
New York City Charter Schools, in order of when they opened

<i>School Name</i>	<i>Year Opened</i>	<i>Grades Offered as of 2008-09</i>	<i>Grades the School Plans to Offer</i>
Harlem Village Academy Leadership CS	2005	5-8	5-9
Hellenic Classical CS	2005	K-7	K-7
Kipp AMP (Always Mentally Prepared) CS	2005	5-8	5-9
Kipp Infinity CS	2005	5-8	5-9
Manhattan CS	2005	K-4	K-5
South Bronx CS for Int'l Culture & the Arts	2005	K-4	K-5
UFT CS	2005	K-4	K-12
Williamsburg Collegiate CS	2005	5-8	5-9
Achievement First Bushwick CS	2006	K-6	K-8
Achievement First Endeavor CS	2006	5-7	5-8
Community Roots CS	2006	K-3	K-5
Democracy Prep CS	2006	6-8	6-9
East New York Preparatory CS	2006	K-3	K-8
Harlem Success Academy 1 CS	2006	K-3	K-4
Hyde Leadership CS	2006	K-2, 6-8	K-12
International Leadership CS	2006	9-11	9-12
Leadership Prep CS	2006	K-3	K-4
New Heights Academy CS	2006	6-7, 9-11	5-12
Ross Global Academy CS	2006	K-3, 6-8	K-12
South Bronx Classical CS	2006	K-3	K-5
Carl C. Icahn Bronx North CS II	2007	K, 2-3	K-5
Kings Collegiate CS	2007	5-6	5-8
Achievement First Brownsville CS	2008	K-1	K-7
Bedford Stuyvesant Collegiate CS	2008	5	5-12
Bronx Academy of Promise CS	2008	K-2	K-8
Bronx Community CS	2008	K-1	K-8
Bronx Global Learning Institute for Girls CS	2008	K-1	K-5
Brooklyn Ascend CS	2008	K-2	K-12
Carl C. Icahn South Bronx CS III	2008	K, 1	K-5
DREAM CS	2008	K-1	K-8
Green Dot NY CS	2008	9	9-12
Harlem Success Academy 2 CS	2008	K-1	K-5
Harlem Success Academy 3 CS	2008	K-1	K-5
Harlem Success Academy 4 CS	2008	K-1	K-5
La Cima CS	2008	K-1	K-5
Mott Haven Academy CS	2008	K-1	K-8

Table 1d, continued
New York City Charter Schools, in order of when they opened

<i>School Name</i>	<i>Year Opened</i>	<i>Grades Offered as of 2008-09</i>	<i>Grades the School Plans to Offer</i>
NYC Charter High School for Architecture, Engineering, & Construction Industries	2008	9	9-12
PAVE Academy CS	2008	K-1	K-5
St. HOPE Leadership Academy CS	2008	5-7	6-12
VOICE CS of New York	2008	K-1	K-8
Academic Leadership CS	2009		K-5
Believe Northside CS	2009		9-12
Believe Southside CS	2009		9-12
Brooklyn Prospect CS	2009		6-12
Brooklyn Scholars CS	2009		K-8
Brownsville Ascend CS	2009		K-6
Brownsville Collegiate CS	2009		5-9
Carl C. Icahn CS IV	2009		K-6
Coney Island Prep CS	2009		5-12
Crown Heights Collegiate CS	2009		5-8
Equality CS	2009		6-11
Equity Project CS, The	2009		5-8
Ethical Community CS	2009		K-12
Excellence CS for Girls	2009		K-8
Explore II CS	2009		K-8
Fahari Academy CS	2009		5-12
Girls Preparatory CS of East Harlem/Bronx	2009		K-4
Growing Up Green CS	2009		K-5
Hebrew Language Academy CS	2009		K-5
John W. Lavelle Preparatory CS	2009		6-12
Leadership Prep. East New York/Brownsville CS	2009		K-8
Summit Academy CS	2009		6-12
Achievement First North Crown Heights CS	2010		not yet known
East New York Collegiate CS	2010		not yet known
Leadership Preparatory Brownsville CS	2010		not yet known
Leadership Preparatory Flatbush CS	2010		not yet known

CHAPTER II. THE STUDENTS OF NEW YORK CITY'S CHARTER SCHOOLS

In this chapter, we look at who applies to New York City charter schools. How do they compare to New York City students as a whole? How do they compare to the students who were lotteried-in? Finally, how do they compare to the students who ultimately chose to enroll in charter schools?

There are no right or wrong answers to these questions. There is no group of students who is supposed to apply to charter schools and there is no group of students who is not supposed to apply. Furthermore, students are not *supposed* to attend just because they apply and are offered a place.

This report analyzes achievement results up through 2007-08 and includes 93 percent of all applicants who were taking tests in that year or a previous year. However, this report does not include students who applied to a charter school in 2006 or 2007, most of whom were kindergarteners, first, or second graders in 2007-08. Thus, throughout this chapter, when we refer to the "most recent year of applicants," we are referring to 2005-06.

The race, ethnicity, and gender of New York City's charter school applicants

Before looking at statistics on the race and ethnicity of charter school applicants in New York City, it is important to discuss a fact that often causes confusion. As will be seen, New York City's charter schools draw from a student population that is overwhelmingly black and Hispanic. Therefore, if a school's applicants are disproportionately more black, they will automatically be disproportionately less Hispanic. If a school's applicants are disproportionately more Hispanic, they will automatically be disproportionately less black. This is somewhat confusing because, in most areas of the U.S., when we hear that a school is more black or more Hispanic, we (correctly) assume that this means that the school is less white. However, in the neighborhoods from which New York City charter schools draw, this assumption would be incorrect. The white share of these neighborhoods is so small that a school cannot become much more black or much more Hispanic by becoming much less white.

The bottom line is that when we say that a charter school is more black, we are automatically saying that it is less Hispanic, and vice versa. If a school is more black and less Hispanic, these are *not* two separate findings: they are two ways of stating the same finding.

Table IIa shows the race, ethnicity, and gender of students who applied to New York City's charter schools, students who were lotteried-in, and students who actually enrolled in the charter schools. The table also shows a column for New York City as a whole. By comparing charter school applicants to this column, we learn how the presence of charter schools is changing the population of students who attend the city's whole system traditional public schools.

To ensure that the columns of Table IIa can be compared, we used data from the same school years (2000-01 to 2005-06) to construct each column.

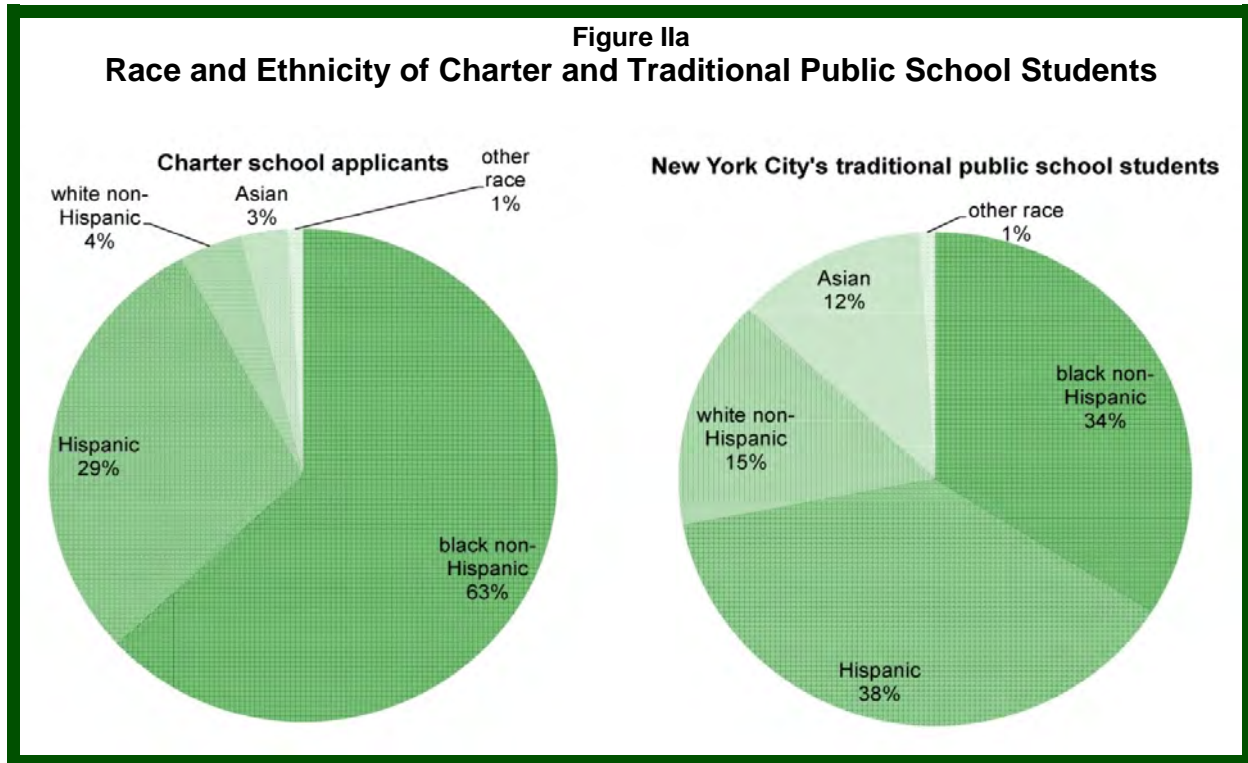
Table IIa
The Race, Ethnicity, and Gender of Charter School Applicants and Students in the Traditional Public Schools

	<i>All applicants to charter schools</i>	<i>Applicants who were lotteried-in</i>	<i>Applicants who enrolled in charter schools</i>	<i>New York City's traditional public schools</i>
% black non-Hispanic	63	64	61	34
% white non-Hispanic	4	4	4	15
% Hispanic	29	28	29	38
% Asian	3	3	4	12
% other race	<1	<1	<1	<1
% female	50	50	52	50

Note: The table includes data for all years of applicants covered by this report: 2000-01 to 2005-06.

Table IIa shows that New York City's charter school applicants were very largely black (63 percent) and Hispanic (29 percent). Only a few percent were white, Asian, or another race. (Because percentages are rounded to the nearest whole number, the race and ethnicity percentages may not add up to 100.) The lotteried-in applicants look just like the applicants as a whole. Formally, there are no statistically significant differences between the lotteried-in applicants and lotteried-out applicants. This confirms that the lotteries were indeed random. The students who enrolled in charter schools also look like a random subset of applicants. They were nearly all black (61 percent) or Hispanic (29 percent). Formally, the students who enrolled are not statistically significantly different than those who applied.

New York City's charter school applicants were very largely black (63 percent) and Hispanic (29 percent). Only a few percent were white, Asian, or another race.



Comparing the charter school students to traditional public schools citywide (Figure IIa), we see that charter school applicants were almost twice as likely to be black as the average traditional public school student. As already discussed, saying that a student is more likely to be black is roughly equivalent to saying that he is less likely to be Hispanic, and this is indeed true. Because they were more likely to be black, charter school applicants in our study were about 10 percentage points less likely to be Hispanic than the average traditional public school student.

Summing up, New York City's charter school students are disproportionately black and disproportionately not white or Asian. The existence of charter schools in the city therefore leaves the traditional public schools less black, more white, and more Asian.

The existence of charter schools in the city leaves the traditional public schools less black, more white, and more Asian.

Charter school applicants, lotteried-in applicants, and charter school enrollees are all about equally likely to be male and female. So too are students in New York City's traditional public schools.

Prior test scores of New York City's charter school applicants

People are often interested in the prior test scores of students who apply to charter schools because they would like to know whether a district's high-achievers or low-achievers are disproportionately applying to charter schools.

Unfortunately, there is a serious problem with studying the prior test scores of charter school applicants. Because students do not take tests until grade three, we only have prior test scores for students who apply to grades four or higher from another New York City public school. This gives us prior test scores for only 22 percent of applicants. There is just no guarantee that such applicants are typical of charter school applicants. Logically we expect them to be *atypical* because they are disproportionately students who are not applying to an intake grade.

It would be unwise to use data on only 22 percent of applicants to draw conclusions about how charter schools affect the student population that attends traditional public schools. It is simply impossible to compare the prior test scores of the *average* charter school applicant to the *average* student in New York City.

We *can*, however, compare the prior test scores of charter school applicants to those who are lotteried-in and to those who enroll in charter schools. These are apples-to-apples comparisons, and they show that the lotteries are random.

With these caveats in mind, examine Table Iib. It shows the prior test scores of charter school applicants, lotteried-in students, and students who enroll in charter schools. All of the scores are expressed as *standard scores*. A standard score is created by subtracting the New York City-wide mean score from a student's score and dividing the resulting difference by the New York City-wide standard deviation. This procedure puts all scores on the same basis. (The New York City-wide means and standard deviations are specific to each grade tested and each year of testing.)

Standard scores are very commonly used in education studies. They are also called z-values, z-scores, normal scores, and standardized variables. Expressing an achievement change in standard scores or standard deviations is often called the "effect size."

Standard scores are ideal for studies like this, where we follow students over several grades and several school years. With the standard scores, we can make computations that are unaffected by superficial changes in the way New York State scored tests. Also, effects that are expressed in standard scores can be compared to the effects of any other policy that might affect achievement.

If a standard score changes by 1, that means that a student's score has changed by a whole standard deviation. A standard deviation is a *large* difference in achievement. On most tests it corresponds to more than a grade's worth of learning and more than a performance level.

Because the New York City-wide mean and standard deviation are used to create the standard scores, the traditional public school system will always have an average standard score of zero.

**Table IIb
Prior Test Scores of Charter School Applicants
and Students in the Traditional Public Schools**

	<i>All applicants to charter schools</i>	<i>Applicants who were lotteried-in</i>	<i>Applicants who enrolled in charter schools</i>	<i>New York City's traditional public schools</i>
Math standard score	-0.002	-0.014	-0.012	0
English language arts standard score	-0.007	-0.006	-0.007	0

Note: None of the standard scores shown in three applicant-based columns of the table is statistically significantly different from any of the other standard scores shown in these columns. The data are for all years of applicants covered by this report: 2000-01 to 2005-06. Because about 80 percent of charter school applicants have not taken a prior test when they apply, the above table is not representative of New York City charter school applicants. It is accurate for the subset of applicants who do have a prior test score.

The main conclusion to draw from Table IIb is that, *as regards the lotteries for which prior test scores are available*, the lotteries were indeed random. Also, the students who actually enrolled in charter schools were a random subset of those who were lotteried-in. The math standard score of applicants is -0.002, which is not statistically significantly different from the math standard score of lotteried-in students (-0.014), which is again not statistically significantly different from the math standard score of students who enrolled in charter schools (-0.012). The same can be said for the English language arts scores.

For the reasons given above, it is not possible to draw conclusions about how charter school applicants' achievement compares to that of students in New York City's traditional public schools.

Free and reduced-price lunch, special education, and English Learner services participation of New York City's charter school applicants

It is also interesting to know whether charter school applicants participate in the National School free and reduced-price Lunch program, special education, and/or services for English Learners. (Participation in the National School Lunch Program is often used a rough proxy for income because a student generally cannot participate if his family's income is higher than 185 percent of the federal poverty line. This threshold is currently \$40,792 for a family of four.)

It would be nice if schools had some objective, consistent way of recording whether students were *eligible* for these programs because we would then know which students were poor, which were disabled, and which were not native English speakers. Unfortunately, eligibility is not what is recorded. Instead, schools record whether students participate in the programs. Participation is not the same thing as eligibility, and participation is influenced by the school the student attends. Our previous report describes, in detail, the numerous ways in which participation measures are problematic when some students are attending traditional public schools and other students are

attending charter schools. The problem boils down to the fact that the traditional public schools and charter schools not only do not record eligibility, they do not even record participation in the same way.

Because of these measurement difficulties, we will look at charter school applicants' program participation *at the time they applied*. By focusing on the time when they applied, we can see how participation was recorded by the traditional public school system. This allows us to perform comparisons on data that were recorded in a consistent manner.

Unfortunately, although examining program participation at the time students applied to charter schools is helpful to some extent, we are left with the problem that the modal charter school applicant does not have a history of program participation. This is because he is applying to kindergarten or first grade (see Table Ia) and therefore has little or no history in the traditional public schools. In short, the data on program participation is not representative of charter school applicants, and we will not be able to say what the *average* charter school applicant was like. The problem is akin to the problem of not having prior test scores for all applicants.

We present information on students' program participation at the time they applied, making a simple adjustment for the fact that charter schools have a disproportionate number of students in their early grades. (For instance, a charter school that is "rolling-up" may only have students in kindergarten through grade three. We need to compare the program participation of its applicants to students who are in the same grades in the traditional public schools. The adjustment is easily accomplished by weighting the data on charter school applicants so that they have the same grade composition as the traditional public schools.²)

Table IIc
Prior Program Participation of Charter School Applicants and Students in the Traditional Public Schools

	<i>All applicants to charter schools</i>	<i>Applicants who were lotteried-in</i>	<i>Applicants who enrolled in charter schools</i>	<i>New York City's traditional public schools</i>
% who participated in the Free or Reduced-Price lunch program (at the time they applied if applicants)	92	91	91	72
% who participated in special education (at the time they applied if applicants)	11	11	11	13
% who used services for English Learners (at the time they applied if applicants)	4	4	4	14

Note: For the columns dealing with charter school applicants, the participation information is recorded at the time the applicant applied to a charter school. The data are reweighted so that the charter school applicants have the same grade composition as students in the traditional public schools. The table includes data for all years of applicants covered by this report: 2000-01 to 2005-06.

The main conclusion to draw from Table IIc is that, *as regards applicants for whom a program participation history existed at the time they applied*, the lotteries were indeed random. Also, the students who actually enrolled in charter schools were a random subset of those who were lotteried-in. For instance, 92 percent of applicants participated in the free or reduced-price lunch program, 91 percent of the lotteried-in participated in the same program, and 91 percent of students who enrolled in charter schools participated in the same program. These numbers are not statistically significantly different from one another. Similarly, the same percentage of applicants, lotteried-in students, and charter school enrollees participated in special education (11 percent) and in services for English Learners (4 percent).

For the reasons given above, it is not possible to draw firm conclusions about how charter school applicants' program participation compares to that of students in New York City's traditional public schools. However, the data suggest that--if anything-- charter school applicants were poorer than the average student in New York City's traditional public schools or the composite feeder school. It appears that they had about the same probability of participating in special education, and they were less likely to be participating in services for English Learners. This last conclusion makes sense because we know that they were less likely to be Hispanic, and most English Learners in the New York City schools are Hispanic. However, all of the above conclusions are tentative because they are not based on representative data.

Summing up: charter school applicants

The data indicate that charter school applicants are much more likely to be black (and, thus, somewhat less likely to be Hispanic) than the average student in New York City's traditional public schools. Charter school applicants are also much less likely to be white or Asian than the average student in the city's traditional public schools. It is safe to conclude that charter school applicants were poorer than the traditional public school students. However, on prior test scores, special education, and English learner services, it is impossible to make firm comparisons between the average charter school applicant and the average traditional public school student. The numbers suggest that the charter school applicants and traditional public school students are fairly similar on these grounds, and it is not possible to be more exact because there are no data that accurately represent the average charter school applicant.

The data indicate that the charter schools' lotteries were indeed random. See the study's previous report and technical report for more detail on this point.

The data also indicate that the students who actually enrolled in the charter schools were a random subset of the students who were lotteried-in.

Charter school applicants are poorer than the average New York City public school student.

The data indicate that the charter schools' lotteries were indeed random. The data also indicate that the students who actually enrolled in the charter schools were a random subset of the students who were lotteried-in.

CHAPTER III. THE SUPERIORITY OF LOTTERY-BASED ANALYSIS

Why is lottery-based evaluation the gold standard?

Lottery-based analysis is *by far* the best way to determine the effect of a charter school on the achievement of the sort of students who tend to apply to charter schools. In fact, lottery-based analysis produces results that are so much more reliable than those of any other method that no other results should be given any credence when lottery-based results are available. Only when lottery-based results are unavailable should one turn to other methods--and even then only with caution. If a charter school runs a lottery, its effects on achievement should be evaluated via the lottery method, even if this involves gathering some data.

Guaranteeing an "apples to apples" comparison

While students at traditional public schools normally attend the school closest to where they live, students attending charter schools have specifically chosen to apply to them. Thus, if we simply compare students who attend a charter school to students who attend traditional public schools, we may be comparing "apples to oranges." We will almost certainly confuse evidence on the *effects* of the charter school with evidence on who *selects into* the charter school. This is known as selection bias.

Lottery-based analysis completely eliminates this bias so long as a charter school holds a random lottery among applicants and has a sufficient number of lotteried-in and lotteried-out students. Intuitively, the reason why lottery-based analysis eliminates bias is that *both* the lotteried-in and lotteried-out students have applied to the same charter school, so there is no difference in selection between the two groups.

What about students who are offered a charter school place via a lottery but who decide not to attend?

We conduct a lottery-based analysis that accounts for the fact that some students who are lotteried-in decide not to attend the charter school after all. The basic intuition is this: we adjust the achievement differences between lotteried-in and lotteried-out students to take account of the fact

that only some percentage of lotteried-in students enroll in charter schools. For instance, if 90 percent of lotteried-in students actually enroll in charter schools, the adjustment factor would be 90 percent. This adjustment is the standard procedure in lottery-based studies, including medical trials.

Readers who have some technical expertise will want to know that, formally, we estimate treatment-on-the-treated effects by using lotteried-in status as an instrument for enrollment. This gives us the same results as we would get using the Wald method (described in the previous paragraph), but it allows us to test the robustness of the results by controlling for covariates. More information is available in our technical report.

What about other evaluation methods, for occasions when lottery-based analysis is not available?

When lottery-based analysis is not available, researchers usually compare charter school students to students in traditional public schools, most of whom did not apply to charter schools. These comparisons are usually biased. Researchers may be able to remedy some of the bias by using statistical methods to adjust for differences that we can readily observe between students who do and do not apply to charter schools. Unfortunately, a researcher does not really know when the statistical adjustments are making the bias better and when they are making the bias worse! The only way to know for sure is to compare the statistically adjusted results to results from a lottery-based study of the same data. However, if we have lottery-based results, there is really no point in computing statistically adjusted results.

How about analyzing gains in achievement?

Lottery-based analysis automatically analyzes gains since we start with two groups who are identical (lotteried-in and lotteried-out) and follow their progress.

However, when people say that they are doing "gains analysis," they usually are not referring to lottery-based analysis. As a rule, they are talking about comparing the *gains* made by charter school students to the *gains* made by traditional public school students. Comparing gains can be helpful, just as statistical adjustments can be helpful. Unfortunately, like statistical adjustments, comparing gains can make the selection bias worse.

We have just described a couple of methods that *can* work well but do not reliably work well. These two methods (statistical adjustment and comparison of gains) tend to work better when used by a really expert researcher, but it is not easy for people to judge who is expert and who is not. Even in the hands of an expert researcher, these methods can go wrong.

Are there any evaluation methods that should not be used?

There are a couple of methods that should not be used because, instead of making the selection bias better, they make it dramatically worse. These methods are: (1) pure value-added and (2) matching based on students' prior history in the traditional public schools ("TPS-history-matching"). Both methods have been used by a variety of researchers. We describe them below.

First, let us understand the basic problem, something that requires no technical expertise. Think about applying to charter school from the family's point of view. If a family decides to apply for a kindergarten place in a charter school, it is probably thinking that the charter school provides a better

environment than the traditional public school its child would otherwise attend. Families that make such decisions might be more motivated or might be more disadvantaged, and this is one form of selection bias.

However, a family that puts its kindergarten-aged child in a lottery is probably *not* doing so because it detects that the child has started in struggle in school or does not fit in at his traditional public school. In fact, since the child has never yet attended school, the family really could not detect such things. Thus, there is *not* selection bias of the type that would come from students applying only if their families already detected that they were on a bad trajectory.

Thus, with the kindergarten applicant, we have one form of selection bias (families who apply are different) but not the second form of selection bias (students who apply are known by their families to be on a bad trajectory). Let us call the second type of selection bias "switcher bias" to make it memorable.

Now, let us think about a family who decides that its child should apply for a fourth grade place in a charter school. Fourth grade is not an intake grade and it is not an early grade, so the family is deciding that its child should be separated from classmates and a school that he or she knows well. This is not a decision that a family would take lightly. When we see a family do this, we should immediately suspect that the family has detected that the child is going off the trajectory it expected him or her to be on. Perhaps something is wrong with his traditional public school experience; perhaps something is wrong with his classmate interactions; perhaps something is wrong at home. Whatever the cause, we now have a serious problem of switcher bias.

In general, switcher bias is less of a problem when a student is applying to an earlier grade because, the earlier the grade, the less their families are detaching them from a familiar school and classmates. Switcher bias is also somewhat lower for intake grades than non-intake grades, especially if lots of students change schools at a certain intake grade. For instance, if nearly all students have to go to an unfamiliar school with unfamiliar classmates in the ninth grade *anyway*, the family is not making a very dramatic decision when it decides that its prospective ninth grader should apply to a charter school. The bottom line is that switcher bias is worse in grades that are higher and grades in which few students *have* to switch to an unfamiliar school with unfamiliar classmates.

Fortunately, switcher bias is solved by lottery-based methods because the applicants to--say--a certain charter school's fourth grade lottery have the same switcher bias on average. Thus, when we compare lotteried-in and lotteried-out students from the same lottery, the switcher bias nets out.

Unfortunately, switcher bias is nearly impossible to solve with statistical methods. This is well known. In fact, the problem has spawned a whole literature.³ Assuming that he or she cannot use a lottery-based method, the best thing for a researcher to do is minimize switcher bias by avoiding data on students who switch schools in later grades. For instance, a researcher who was forced to rely on statistical adjustments would probably be best off if he or she focused on students who applied to charter schools as kindergarteners or first graders.

The pure value-added method and the TPS-history-matching method do exactly the opposite. They

rely on students who apply to charter schools in later grades, ignoring students who apply as kindergarteners and so on. Thus, they exacerbate whatever switcher bias exists!

Let us walk through how this happens. To do pure value-added analysis, a researcher finds students who were tested at least twice in the traditional public schools, who then switched to a charter school, and who subsequently tested at least twice in the charter school. All other students' data is thrown out because the pure value-added method will not work on them. The researcher takes the student's two test scores from the traditional public schools and computes the student's gain in the traditional public schools. The researcher then takes the two test scores from the student's charter school experience and computes the student's gain in the charter school. The researcher compares these gains. Unfortunately, he is now comparing gains for those students, and only those students, who apply to charter schools in late grades. In New York City, the youngest students who could be in a pure value-added analysis would be those who applied to the fifth grade. The oldest students would be those who applied to the seventh grade.

To do the TPS-history-matching (as in the recent CREDO study), a researcher finds students who are currently in charter school but who were previously enrolled in traditional public schools long enough to establish a program participation history (free lunch participation, special education, English Learner services). Then, the researcher matches the charter school student to one or more students in his or her previous traditional public school. The match is based on whether the students have the same race and ethnicity, the same program participation, and similar prior test scores. The researcher compares each student to his or her matched counterparts. Also, a researcher can use the switchers' histories to find matches for the charter school classmates of switchers, even if these classmates are not themselves switchers. The point is that the entire matching process is based on those students, and only those students, who apply to charter schools in late grades. These switchers are non-representative students and are precisely the students for whom switcher bias is most serious. (The CREDO study also has a serious statistical problem that causes its estimates of charter schools' effects to be negatively biased. An explanation of this problem can be found in a memo posted on the website for this study: www.nber.org/~schools/charterschoolseval.)

In short, although they are different methods, pure-value analysis and TPS-history-matching share the same problem: they focus on the students who are most likely to have switcher bias. They not only do not remedy selection bias: they systemically exacerbate it. This makes them worse methods than statistical adjustment or comparison of gains, which at least do not *systemically* make bias worse.

Value-added and matching methods are used in many other contexts where they work perfectly well. There is nothing wrong with these methods *in general*. What is wrong is that, in this context, they generate estimates that are driven by a peculiarly selected group of students: the switchers.⁴

How do we *know* which evaluation methods work well?

Lottery-based results serve as a gold standard as long as they are available. We can use data like New York City's to test the different methods because each method can be used: lottery-based, statistical adjustment, comparison of gains, pure value-added, and matching-on-previous-history. When we conduct such tests, we find that statistical adjustment and comparison of gains *sometimes* work but do not reliably do so. Value-added analysis and matching-on-previous-history produce

systemically biased results, as we would logically expect them to do.⁵

What is the bottom line on methods?

Methods do matter, and some methods consistently produce misleading results. By sticking with lottery-based analysis whenever possible, you are most likely to end up with accurate results. An advantage of lottery-based analysis is that it is also easy to understand. You do not need to be an expert in statistics to see why comparing lotteried-in and lotteried-out students generates accurate estimates of the effects of charter schools.

How exactly do we use lottery-based data to estimate charter schools' effects?

Using lottery data to estimate effects is logically simple. We compute average achievement for lotteried-in students, compute average achievement for lotteried-out students, and compare them.

For the technically inclined

Some notes follow for readers who interested in knowing some technical details but who do not want to read the whole technical report.

We carry out the comparison using linear regression. The basic regression model computes the average achievement of the lotteried-out students and the difference between the achievement of the lotteried-in and lotteried-out students:

$$\textit{standard test score}_{it} = \alpha + \beta I_{it}^{\textit{lotteried-in}} + \dots + \epsilon_{it}$$

In the equation, the subscript i keeps track of individual students, the subscript t keeps track of the year that the test was taken, $I_{it}^{\textit{lotteried-in}}$ is an indicator that a student was lotteried-in, and the last term is the error term.

There are a few things we add to the equation. First, we include an indicator variable for every lottery (for example, the kindergarten lottery in Renaissance Charter School). These indicator variables must be included because, while randomization makes the lotteried-in and lotteried-out students in any given lottery comparable, there is no guarantee that applicants to one charter school/grade combination are like the applicants to any other charter school/grade combination. Second, when a student's prior year test score is available, we control for it. This is not important and does affect the results much. (When a prior test score is not available, we use the standard procedure of including an indicator of its lack of availability and setting the missing test score to zero.) Third, we include indicator variables for the grade of the test and the year of the test. These variables are also not important because we have already standardized students' test scores.

There are reasonable arguments to be made in favor of using only balanced lotteries (those where the lotteried-in and lotteried-out students are statistically similar on all covariates) and in favor of using all lotteries. We favor using balanced lotteries where balance is determined by Hotelling's T^2 test. However, we obtain similar results when we use all lotteries.

We conduct a variety of robustness tests by adding covariates such as a student's race, ethnicity, gender, and program participation at the time of application (free lunch and so on). These also do

not affect the results much because randomization makes the lotteried-in and lotteried-out students have very similar covariates.

We estimate standard errors that are clustered at the level of the student.

As mentioned above, we used instrumental variables to estimate treatment-on-the-treated effects so that, in fairly standard notation, our estimating equations end up being:

first stage:

$$I_{it}^{attend\ charter\ school} = \delta_1 + \delta_2 I_{it}^{lotteried-in} + I_i^{lottery} \delta_3 + I_{it}^{grade} \delta_4 + I_t^{school\ year} \delta_5 + \delta_6 standard\ test\ score_{i,t-1} + v_{it}$$

second stage:

$$standard\ test\ score_{it} = \gamma_1 + \gamma_2 I_{it}^{attend\ charter\ school} + I_i^{lottery} \gamma_3 + I_{it}^{grade} \gamma_4 + I_t^{school\ year} \gamma_5 + \gamma_6 standard\ test\ score_{i,t-1} + \epsilon_{it}$$

A wealth of other detail is available in our technical report (July 2007), which is written for readers with technical expertise.

CHAPTER IV. THE EFFECTS OF NEW YORK CITY'S CHARTER SCHOOLS ON ACHIEVEMENT

A Preview of the Main Findings

If you are a reader who wants to know quickly the bottom line on achievement effects and what it all means, you may want to skip ahead to the section entitled: "What do these results mean for a child, in everyday terms?" You can then return here to learn more. We do not mind giving away the main findings right away. They are:

- *On average, a student who attended a charter school for all of grades kindergarten to eight would close about 86 percent of the achievement gap in math and 66 percent of the "Scarsdale-Harlem" achievement gap in English. A student who attended fewer grades would improve by a commensurately smaller amount.*
- *On average, his lotteried-out counterpart who stayed in the traditional public schools for all of grades kindergarten to eight would stay on grade level but would not close the "Scarsdale-Harlem" achievement gap by much. However, the lotteried-out students' performance does improve and is better than the norm in the U.S. where, as a rule, disadvantaged students fall further behind as they age.*
- *Compared to his lotteried-out counterparts, a student who attends a charter high school has Regents examination scores that are about 3 points higher for each year he spends in the charter school before taking the test. For instance, a student who took the English Comprehensive exam after three years in charter school would score about 9 points higher.*
- *A student who attends a charter high school is about 7 percent more likely to earn a Regents diploma by age 20 for each year he spends in that school. For instance, a student who spent grades ten through twelve in charter high school would have about a 21 percent higher probability of getting a Regents diploma.*

WHY TEST SCORES AND REGENTS DIPLOMAS?

Test scores and graduating with a Regents Diploma are *not* the only outcomes that we would like study when we evaluate charter schools or any schools. In fact, in future reports, we hope to study outcomes such as post-graduation pursuits (college, jobs, and so on).

For this report, however, test scores are the most practical outcome to study. This is because New York State has a fairly comprehensive system of testing, and test performance is recorded in the same way for lotteried-in students who attend charter schools and lotteried-out students who attend traditional public schools.

Math and English language arts tests are taken every year by nearly all students in grades three through eight. Fourth and eighth graders take science exams, and fifth and eighth graders take social studies exams.

Regents Examinations, which are offered in a variety of subjects, are taken by nearly all students in grades nine through twelve. To earn a Regents Diploma, a student must pass exams in Living Environment, Mathematics, Global History, Comprehensive English, and U.S. History. Students are recommended to take the examinations in a certain grade, but need not do so. The recommended exam/grade pairings are as follows: Living Environment (biology), grade 9; Math A, grade 10; Global History, grade 10; Comprehensive English, grade 11; U.S. History, grade 11.

Outcomes that are more subjective than test scores, such as disciplinary incidents or grades, may not be recorded in completely uniform manner across charter schools and traditional public schools. They would therefore furnish a more problematic basis of comparison.

We plan to study post-graduation outcomes when a larger number of charter school applicants have reached the twelfth grade. As of now, only a small share of applicants have reached this grade level, giving us insufficient statistical power to study how charter schools affect events that occur after secondary school.

ARE THE ESTIMATES REPRESENTATIVE OF NEW YORK CITY'S CHARTER SCHOOLS?

How does this study represent New York City's charter schools?

The current report covers 93 percent of New York City's charter school students who were in test-taking grades between 2000-01 and 2007-08. It is worth noting that this study is representative of New York City's charter school *students*: the more students a school has enrolled, the more influence it will have on the results of this study. Schools that have affected more students are commensurately more important in the study.

What years of achievement test results are covered by this study?

This report evaluates achievement test results from the school years starting in 2000-01 and ending in 2007-08. These are the years that are currently available in the New York City database. The next report will evaluate test results up through 2008-09.

Who has taken the statewide achievement tests at New York City's charter schools?

Most New York City charter schools open with only a subset of their planned grades. They typically add grades as their students are promoted into them. For instance, a school that plans to serve kindergarten through grade five might open with kindergarten and grade one, and then add a grade each subsequent year, ending up with its full complement of grades in its fifth year of operation.

Thus, each year of testing adds to our knowledge of charter schools in three ways. First, each year has seen the introduction of additional schools. Second, each year has seen existing schools add new grades. Third, each year has seen existing schools add test data in their existing grades. This means that this study will become stronger and more informative with each passing year.

These facts are summarized in Table IVa. The test-taking grades (third through twelfth grades) are highlighted. By 2007-08, the final year for which we currently have test data, the third grade tests are administered by 32 charter schools, the fourth grade tests are administered by 25 charter schools, the fifth grade tests by 31 schools, the sixth grade tests by 23 schools, the seventh grade tests by 20 schools, and the eighth grade tests by 15 schools. Grades nine through twelve are much more lightly represented, with ninth grade being operated by only 6 schools and twelfth grade being operated by only 4 schools.

**Table IVa
Number and Grades of Charter Schools**

school year	# of schools open and covered by this report	Number of schools offering grade...												
		K	1	2	3	4	5	6	7	8	9	10	11	12
1999-00	2	1	1	1	1	0	1	1	1	1	0	0	0	0
2000-01	10	6	7	4	3	2	4	4	2	2	2	2	2	2
2001-02	15	10	12	10	6	4	5	5	5	3	2	2	2	2
2002-03	17	12	13	14	12	7	7	5	5	6	2	2	2	2
2003-04	22	16	17	15	16	13	11	6	5	6	3	2	2	2
2004-05	31	23	24	20	15	16	17	12	7	6	4	3	2	2
2005-06	43	33	35	26	22	17	26	18	11	9	4	4	3	2
2006-07	43	32	34	34	25	21	27	23	16	12	5	4	4	3
2007-08	43	32	34	34	32	25	31	23	20	16	6	5	4	4

Notes: The table shows the grades offered by the New York City charter schools that are covered by this report (more are participating in this study and will be covered by future reports). Highlighted areas mark years in which students take New York State tests for which we have data.

Were the vast majority of New York City's charter schools students admitted via a lottery?

Yes. 94 percent of the students covered by this report were admitted to a charter school through a lottery. This prevalence of admissions lotteries makes lottery-based evaluation very appropriate for New York City's charter schools.

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The small percentage of students who were not admitted through a lottery fall into one of two categories. They applied for a place that was not oversubscribed. Or, they are disabled or a drop-out. Both types of students are served by particular charter schools that do not hold lotteries for some of their places because they offer an environment designed for students with special conditions.

Are there enough data to analyze achievement?

See Table IVb for the number of students covered by this report who took each test in each school year from 2000-01 to 2007-08. The numbers shown include both the lotteried-in and lotteried-out students, and the numbers largely reflect how many charter schools offered each grade in each school year (Table IVa).

There are thousands of students who took the third through eighth grade tests. There are at least one thousand students who took each Regents exam. These numbers of observations give us sufficient statistical power to determine whether charter schools are affecting students' achievement.

Table IVb	
Number of Students Available for Assessing the Achievement Effects of New York City's Charter Schools	
Charter school applicants who took this test	
Grade 3 math/English tests	14903
Grade 4 math/English tests	12917
Grade 5 math/English tests	13290
Grade 6 math/English tests	12192
Grade 7 math/English tests	10068
Grade 8 math/English tests	7190
Math A Regents exam	2250
Comprehensive English Regents exam	1521
Living Environment Regents exam	2590
Global History Regents exam	1950
U.S. History Regents exam	1557

Notes: The table shows the number of students who took each test between 2000-01 and 2007-08 and who participated in admissions lotteries held by New York City charter schools. If a student took a test before applying to a charter school, that observation is not counted in the table.

LOTTERY-BASED RESULTS: THE EFFECTS OF NEW YORK CITY'S CHARTER SCHOOLS ON MATH AND ENGLISH TEST SCORES IN GRADES 3 THROUGH 8

The Bottom Line

On average, a student who attended a charter school for all of grades kindergarten to eight would close about 86 percent of the achievement gap in math and 66 percent of the achievement gap in English. A student who attended fewer grades would improve by a commensurately smaller amount.

What is the main result for the grade 3-8 tests?

The lotteried-in students who attend New York City's charter schools start out with the same level of achievement as the lotteried-out students who attend the city's regular public schools. By the third grade, which is the first time they are all tested on statewide tests, charter school students' standard math scores are 0.14 units higher and their standard English scores are 0.13 units higher than those of their lotteried-out counterparts. In grades four through eight, the average charter school student gains 0.12 *more* units *each year* in math and 0.09 *more* units *each year* in English than his lotteried-out counterpart. Remember, these gains are in addition to whatever gains the students would have made if they had been lotteried-out and remained in the regular public schools.

These results are shown in Table IVc, and they are statistically significant with confidence of more than 90%. That is, we are very confident that the effects of New York City's charter schools on math and English language arts are not zero or negative. (P-values are shown in parentheses. For an explanation of statistical confidence and p-values, see Frequently Asked Questions.)

What is a standard score and how big is a change of 1 unit?

We described how standard scores are constructed in Chapter II. Recall that we use standard scores so that tests from all years and grades are put on the same basis.

A change of 1 unit in a standard score is a *large* change in achievement because it means that the student's performance has risen by a whole standard deviation. Suppose that a student started out at performance level 1 ("not meeting learning standards") on the New York State tests. If his standard score rose by 1 unit, he would leap up to performance level 3 ("meeting learning standards") in English. In math, he would leap even higher: well into performance level 3.⁶

Table IVc
Lottery-Based Estimates of the Effect of Attending New York City's Charter Schools on Math and English Language Arts Scores in Grades 3 through 8 (shown in standard score units)

Estimated Effect of Attending New York City's Charter Schools, shown in standard score units		
	effect on Math	effect on English
Extra gain up though Grade 3 (cumulative)	0.14 [statistically significant] (p-value = 0.04)	0.13 [statistically significant] (p-value = 0.07)
Extra gain <i>each year</i> in Grades 4 through 8	0.12 [statistically significant] (p-value < 0.01)	0.09 [statistically significant] (p-value < 0.01)
<u>Average</u> extra gain per year spent in charter school	0.09 [statistically significant] (p-value < 0.01)	0.06 [statistically significant] (p-value < 0.01)

Notes: The table shows the effect of attending New York City's charter schools. An effect is judged to be statistically significant if it is statistically significantly different from zero with 90% confidence.

Estimation Details: The results are based on all balanced lotteries. The results are treatment on the treated results--that is, the estimation takes account of which lotteried-in students do and do not actually attend charter schools. The results also account for students who attend school only part of the year, students' grade at the time they take the test, and differences associated with the school year of the test. The estimation includes a full set of lottery fixed effects, and the standard errors are robust and clustered at the student level. Similar results are obtained if the estimation accounts for students' characteristics: race, gender, pre-lottery eligibility for school meals program, pre-lottery participation in special education, pre-lottery limited English proficiency. Similar results are also obtained if all lotteries, not just balanced lotteries, are included in the estimation.

To estimate "treatment on the treated" estimates, an indicator for being lotteried-in is used as an instrument for attending the charter school.

Sources: Student test scores and characteristics are from the New York City Basic Educational Data System (BEDS). Student applicant and lottery lists are from the charter school.

How do I translate the results into scale scores or performance levels?

Table IVd shows the results translated into 2007-08 scale score points.

Again, the lotteried-in students who attend New York City's charter schools start out with the same level of achievement as the lotteried-out students who attend the city's regular public schools. By the third grade, the average charter school student is 5.8 points ahead of his lotteried-out counterpart in math and 5.3 points ahead in English Language Arts. In grades four through eight, the average charter school student gains 5.0 *more* points *each year* in math and 3.6 *more* points *each year* in English than his lotteried-out counterpart. Remember, these gains are in addition to whatever gains the students would have been expected to make in the regular public schools, had they been lotteried-out.

To give you a sense of how much a scale score point is worth, consider that, in grade three, the difference between "not meeting learning standards" (Performance Level 1) and "meeting learning standards" (Performance Level 3) is 26 points in math and 32 points in English. In grades four through eight, the difference between "not meeting learning standards" and "meeting learning standards" is about 31 points in math and 44 points in English.

Appendix Figures 1 and 2 show how scale scores and performance levels are related for math and English Language Arts.

Table IVd
Lottery-Based Estimates of the Effect of Attending New York City's Charter Schools on Math and English Test Scores for Grades 3 through 8
(shown in scale score points)

Estimated Effect of Attending New York City's Charter Schools, shown in scale score points		
	effect on Math	effect on English
Extra gain up though Grade 3 (cumulative)	5.8 [statistically significant] (p-value < 0.01)	5.3 [statistically significant] (p-value < 0.01)
Extra gain <i>each year</i> in Grades 4 through 8	5.0 [statistically significant] (p-value < 0.01)	3.6 [statistically significant] (p-value < 0.01)
<u>Average</u> extra gain per year spent in charter school	3.6 [statistically significant] (p-value < 0.01)	2.4 [statistically significant] (p-value < 0.01)

For notes, see the text that follows Table IVc.

What do these results mean for a child, in everyday terms?

Figures IVa and IVb will help you understand the implications of the results. The figures should also give you a clear sense of what we are doing when we estimate the effects of charter schools on achievement.

Look at Figure IVa first. The horizontal axis has grades three through eight on it. The vertical axis registers the test score improvement that charter schools have caused as of each grade. The bottom blue line represents the achievement of lotteried-out students who attend the regular public schools. It is set at zero for all grades because this figure shows how much charter school students' achievement improves *relative* to the lotteried-out students' achievement. Later, we will examine the gains that the lotteried-out students themselves are making, but--for now--let us think of them purely as a control group.

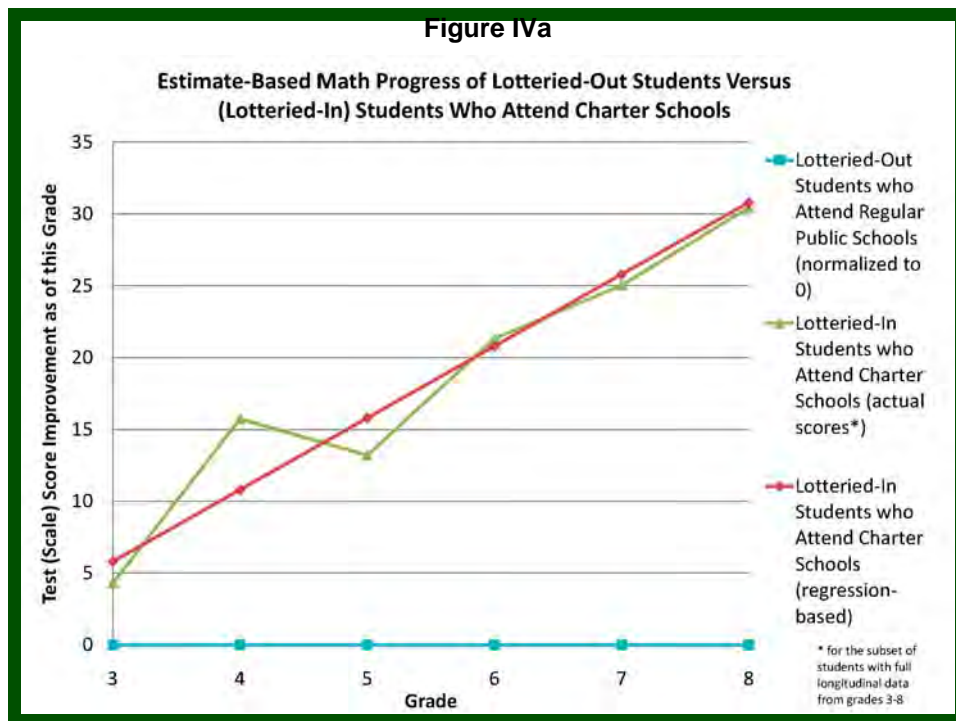
The green line on Figure IVa shows the actual, raw data for lotteried-in students who attended charter schools throughout the third through eighth grades.⁷ You can see that, by the end of third grade, the charter school students' scores are just about 5 points higher than those of their lotteried-out counterparts. By the end of the sixth grade, their scores are about 21 points high than those of their lotteried-out counterparts. And so on up to the eighth grade, at which time their scores are about 30 points higher than those of their lotteried-out counterparts.

The red line on Figure IVa is based on our estimates. It is a regression line or trend line through the data, and you can see that it is just a smooth version of the raw data. In other words, when we estimate the effect of charter schools on their students' achievement, we are really just computing an average effect over the grades we study. (This is the logic of what we are doing. See Chapter III for more technical detail.)

The bottom line of Figure IVa is that, by the time a charter schools student has reached the end of eighth grade, our estimates indicate that he will be scoring about 30 points higher in math than he would have been scoring if he had been lotteried-out and remained in the regular public schools.

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How much is 30 points? Students in Scarsdale, New York, one of the most affluent suburbs of New York City, routinely score between 35 and 40 points higher than students in Harlem,



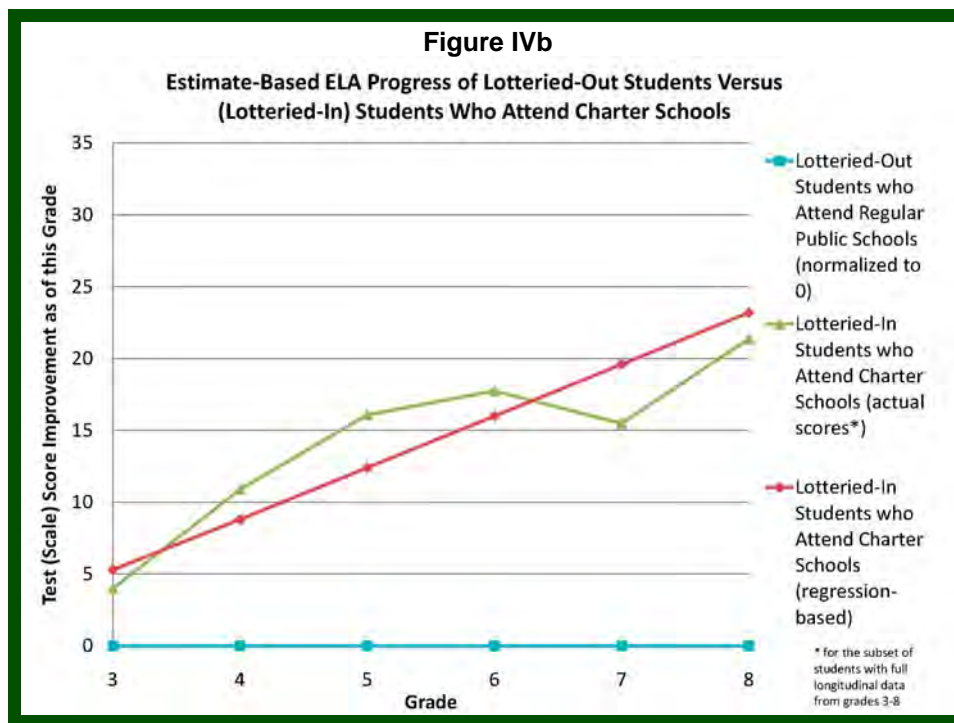
where many of the city's charter schools are located. So, let's call 35 points the "Scarsdale-Harlem achievement gap" to make it memorable. If charter schools in New York City improve their students' scores by 30 points, then their students will have made up about 86% of the Scarsdale-Harlem achievement gap. (The test score gap between Scarsdale and Harlem varies from grade to grade and year to year, so the 35 points is only approximate. We have used Scarsdale not because we want to analyze that district's achievement, but simply as a mnemonic.)

In short, Figure IVa shows that charter school students' gains are meaningful in real world terms. Even through their extra gain in each grade may not seem large, the gains can add up to a substantial closing of the achievement gap over the span of kindergarten through grade eight.

What about the English Language Arts results, in real word terms?

Figure IVb is just like the previous figure, except that it shows English Language Arts instead of math. The bottom line is that our estimates indicate that, by the end of eighth grade, lotteried-in students who attend charter schools are about 23 points ahead of their lotteried-out counterparts. This means that they close about 66 percent of the Scarsdale-Harlem achievement gap.

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Are New York City's charter schools' effects larger in fourth through eighth grade than in kindergarten through third grade?

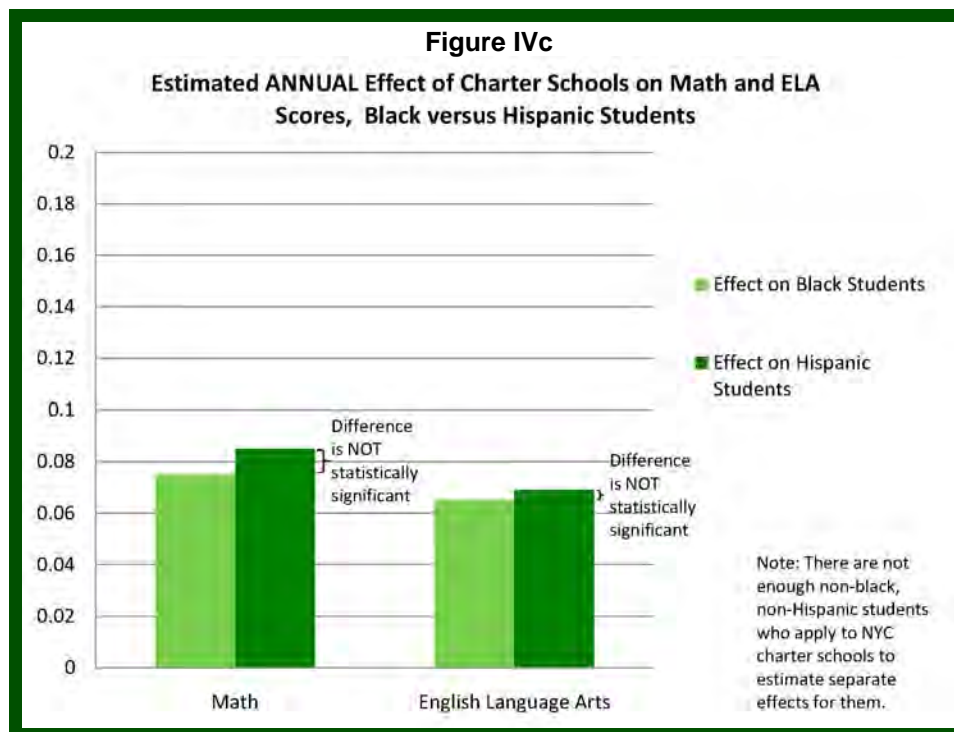
The estimates do suggest that charter schools' effects are somewhat larger in grades four through eight than in kindergarten through grade three. However, we are unwilling to draw a conclusion on this point because students are not tested in kindergarten, grade one, or grade two. Therefore, we cannot control for the previous year's test score when we compute the effect of charter schools on third graders' achievement. This means that we are not computing the cumulative effect though third grade in exactly the same way as we compute the effects for fourth through eighth grade, where we control for the previous year's test score. (That is, for grades four through eight, we are computing the charter school's effect on that year's achievement, given the previous year's achievement.) In short, we do *not* conclude that charter schools have a greater effect on the achievement of fourth through eighth graders.

However, we can confidently say that there is no evidence that charter schools' positive effect on achievement dies out as students reach higher grades.

EFFECTS OF NEW YORK CITY'S CHARTER SCHOOLS ON STUDENTS OF DIFFERENT TYPES

Do charter schools have different effects on students of different race or ethnicity? On students of different gender?

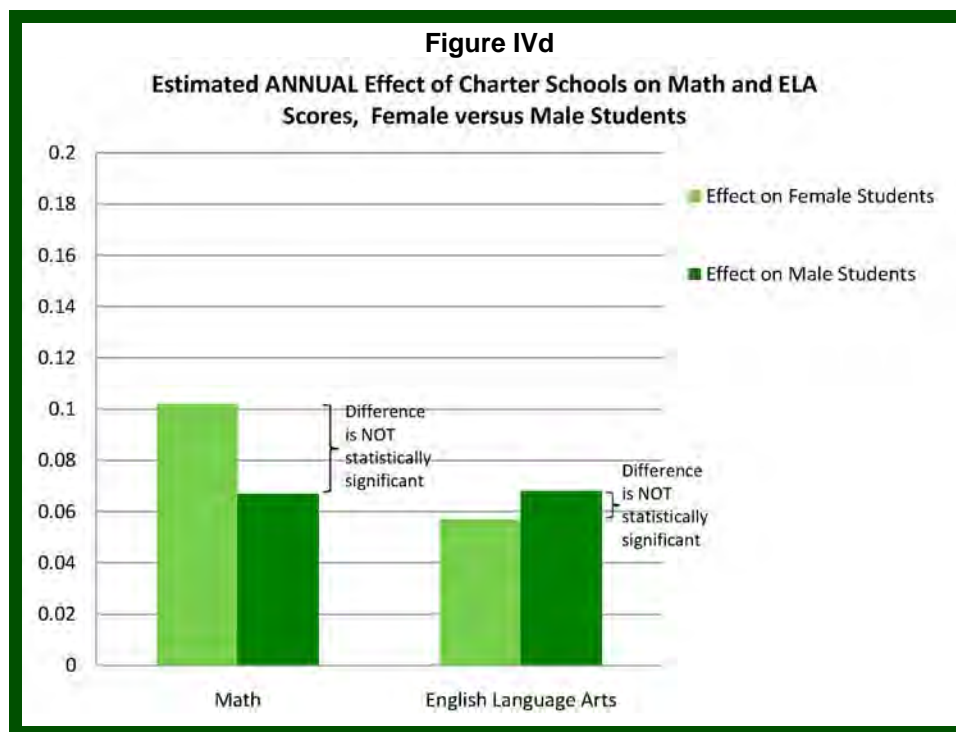
Figure IVc shows the effects of charter schools on black students' achievement and on Hispanic students' achievement. It turns out that, both in math and English Language Arts, the estimated effect of charter schools is about the same for black and for Hispanic students. Formally, the difference in the effect by race/ethnicity is statistically indistinguishable from zero.



There are not enough white, Asian, or native American students who apply to charter schools to compute effects separately for them.

Figure IVd shows the effects of charter schools on female students' achievement and on male students' achievement. For math standard scores, the estimated effect of charter schools is 0.07 units per year for males and 0.10 units per year for females. This difference may seem large, but it is not statistically distinguishable from a zero difference at conventional levels of confidence. In English Language Arts, the estimated effect of charter schools is about the same for female and for male students. That is, the difference in the effect by gender is statistically indistinguishable from zero.

Summing up, charter schools have about the same effect on achievement regardless of the student's race, ethnicity, or gender.



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We have tried breaking down the estimated achievement effects of charter schools in several other ways. We looked for patterns based on the grade at which the student had entered the charter school: Were students who entered as kindergarteners affected differently from, say, students who entered as fifth graders? We looked for patterns that suggested

that students might first experience a positive effect and then plateau. We looked for patterns that suggested that students might first experience a negative effect and then a positive effect. We did not see statistically significant evidence of any of the patterns mentioned above.

The main reason why we do not see such patterns is probably that students with a particular entry timing in New York City's charter schools have much less in common than students in a particular charter *school* regardless of their entry timing. Given the differences among the charter schools in their intake grades, the grades they have offered in each school year, and the policies they employ, there is little reason to think that there would be much commonality among students who have similar entry timing but who attend different schools.

WHAT IS THE ACHIEVEMENT OF THE LOTTERIED-OUT STUDENTS?

The Bottom Line

On average, his lotteried-out counterpart who stayed in the traditional public schools for all of grades kindergarten to eight would stay on grade level but would not close the "Scarsdale-Harlem" achievement gap by much. However, the lotteried-out students' performance does improve and is better than the norm in the U.S. where, as a rule, disadvantaged students fall further behind as they age.

How do lotteried-out students fare on the grade 3-8 tests?

So far, we have been treating the lotteried-out students purely as a control group. That is, we have measured all of the gains for the charter school students *relative* to learning gains made by the lotteried-out students. Doing this is helpful if we want to know what effects the charter schools are having, but it does not tell us how the lotteried-out students themselves are doing.

Historically, American students who are as disadvantaged as New York City's charter school applicants have fallen further and further behind the average student as they age. This pattern has somewhat changed recently as districts have enacted reforms, but this is the backdrop against which you should judge New York City's lotteried-out students.

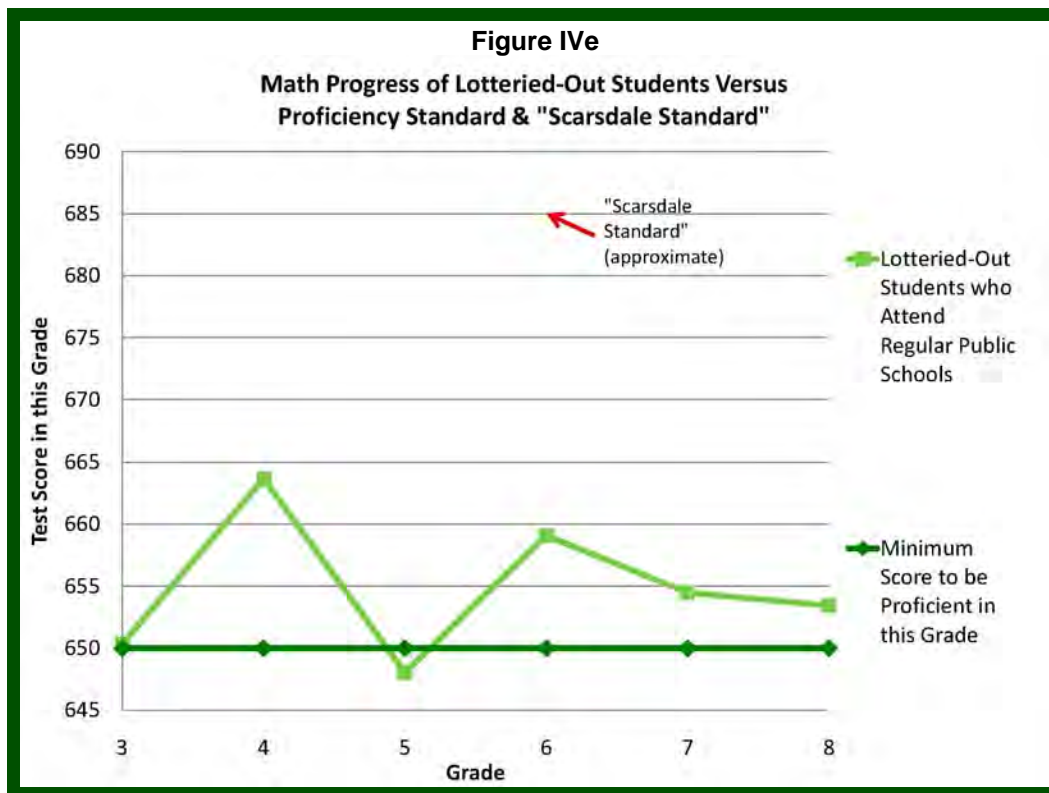
It is fairly easy to summarize how the lotteried-out students are doing. At the end of third grade, the average lotteried-out student is just at the proficiency threshold in math and about 10 points below the proficiency threshold in English Language Arts. As they ascend to higher grades, the lotteried-out students continue to be a little above or a little below the proficiency threshold for each grade that they are in. In other words, they make enough progress to keep up with the rise in the proficiency threshold that occurs as they ascend into higher grades. At the end of eighth grade, they are about 4 points above the proficiency threshold in math and at the proficiency threshold in English Language Arts.

All in all, the lotteried-out students start out on or somewhat below proficiency threshold, and they make enough progress to end up a little above or on the proficiency threshold. Indeed, relative to the proficiency threshold, *they improve slightly in both subjects*. They are *not* falling further behind other students, as we might expect. On the other hand, they are not closing the achievement gap by much: their achievement starts out quite far below that of the average Scarsdale student and the gap stays quite wide.

Now that we have summarized the achievement of lotteried-out students, let us look at the data.

New York State exams are scored so that a score of 650 means that a student has just reached the proficiency threshold. This is equally true of each exam from the third through the eighth grades. Thus, if a student scores 650 in every grade, he or she is making regular progress--just keeping at the proficiency threshold, in fact. This is a bit tricky since it may seem as though a student who makes the same score every year is not making any progress whereas, in fact, he or she is making about a grade's worth of progress every year.

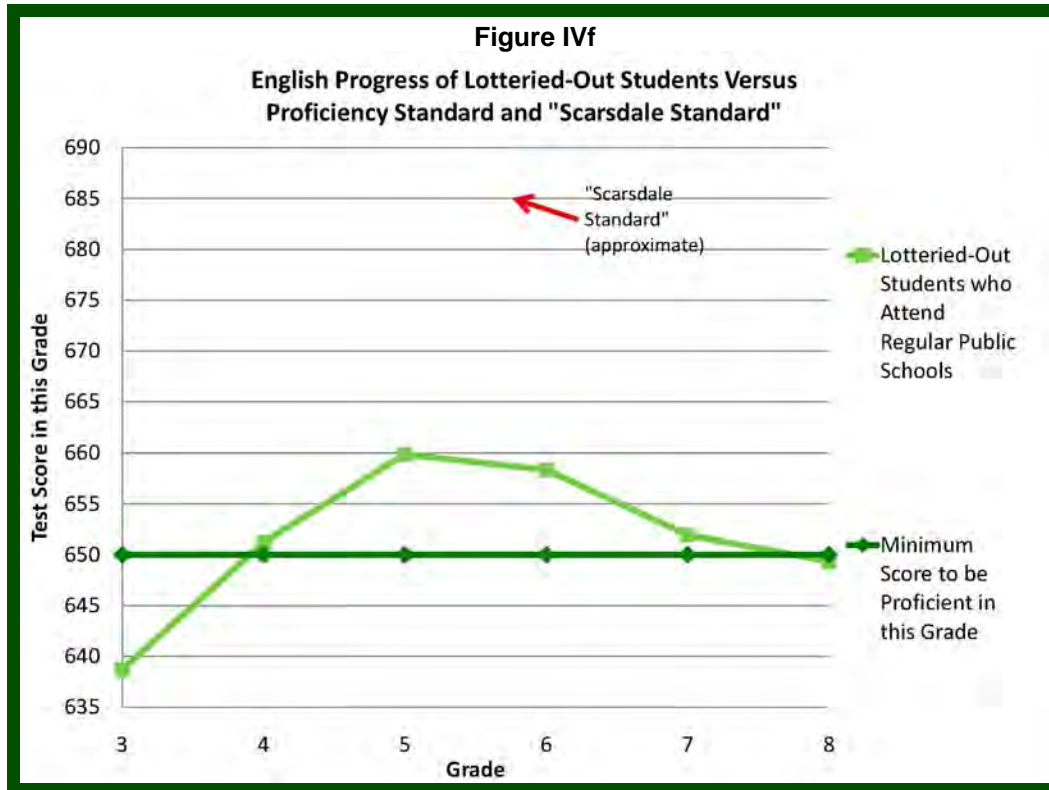
Figure IVe shows the math progress of students who entered lotteries for kindergarten through grade three, were lotteried-out, and who subsequently attended the regular public schools for all of grades three through eight. Their scores are shown by the light green line. The minimum score to be proficient in each grade (650) is shown by the dark green line. The approximate level at which the average Scarsdale student scores is indicated by the red arrow.



You can see that lotteried-out students score right at the proficiency threshold in grade three. They score higher than it in grade four, a bit below it in grade five, somewhat above it in grade six, and just a bit above it in grades seven and eight.

Figure IVf shows the English Language Arts progress of students who entered lotteries for kindergarten through grade three, were lotteried-out, and who subsequently attended the regular public schools for all of grades three through eight. Their scores are shown by the light blue line. The minimum score to be proficient in each grade (650) is shown by the dark blue line. The approximate level at which the average Scarsdale student scores is indicated by the red arrow.

You can see that lotteried-out students score about 11 points below the proficiency threshold grade three. They score just at the threshold in grade four, and they score somewhat above the threshold in grades five and six. However, in grades seven and eight, they are scoring just on the threshold again.



LOTTERY-BASED RESULTS: THE EFFECTS OF NEW YORK CITY'S CHARTER SCHOOLS ON SCIENCE AND SOCIAL STUDIES TEST SCORES IN GRADES 4, 5, AND 8

What is the main result on how charter schools affect science and social studies scores in grades up through eight?

Charter schools have a positive effect on students' achievement in science and social studies. The effects are large in magnitude. This statement is based on effect sizes greater than 0.15 *per year* of attending charter school. However, the effects are not estimated with much precision. This is because we have only about one quarter as many observations for science and social studies as we have for math and English. This is simply because students in most grades do not take the science and social studies test.

Let us look at the estimates more closely. See Table IVe. By the fourth grade, which is the first time students are tested in science, the average charter school student's standard science score is 0.17

units ahead of his lotteried-out counterpart's. In grades five through eight, the average charter school student gains 0.23 *more* units *each year* in science than his lotteried-out counterpart. Remember, these gains are *in addition* to whatever gains the students would have made if they had been lotteried-out and remained in the regular public schools.

Table IVe
Lottery-Based Estimates of the Effect of Attending New York City's Charter Schools on Science and Social Studies in Grades 4 through 8
(shown in standard score units)

Estimated Effect of Attending New York City's Charter Schools, shown in standard score units		
	effect on Science	effect on Social Studies
Extra gain up though Grade 4 (Science, cumulative) or Grade 5 (Social Studies, cumulative)	0.17 [marginally statistically significant] (p-value = 0.15)	0.03 [not statistically significant]
Extra gain <i>each year</i> in Grades 5 through 8 (Science) or Grades 6 through 8 (Social Studies)	0.23 [marginally statistically significant] (p-value = 0.14)	0.17 [marginally statistically significant] (p-value = 0.15)

For notes, see the text that follows Table IVc.

In the fifth grade, which is the first time students are tested in social studies, the average charter school student's social studies standard score is almost exactly the same as that of his lotteried-out counterpart. Thus, it looks as though there is no charter school effect on social studies up through the fifth grade. However, in grades six through eight, the average charter school student gains 0.17 *more* units *each year* in social studies than his lotteried-out counterpart. Remember, these gains are *in addition* to whatever gains the students would have made if they had been lotteried-out and remained in the regular public schools.

The confidence on our science and social studies estimates is only about 85%. In other words, we are less certain that charter schools' effects on science and social studies are positive. Also, the estimates may somewhat understate or overstate the true effects.

LOTTERY-BASED RESULTS: THE EFFECTS OF NEW YORK CITY'S CHARTER SCHOOLS ON REGENTS EXAMINATION SCORES

The Bottom Line

Compared to his lotteried-out counterparts, a student who attends a charter high school has Regents examination scores that are about 3 points higher for each year he spends in the charter school before taking the test. For instance, a student who took the English Comprehensive exam after three years in charter school would score about 9 points higher.

What is the main result for the Regents Examinations?

New York City's charter schools have a strong positive effect on the Regents Examination scores of ninth through twelfth graders. See Table IVf, which shows results for the five examinations required for a high school diploma in New York State: Mathematics A, Comprehensive English, Living Environment, Global History, and U.S. History. Compared to lotteried-out students, charter school students have Mathematics A standard scores that rise by 0.19 units more *per year* spent in charter school. Similarly, compared to lotteried-out students, charter school students have Comprehensive English standard scores that rise by 0.18 units more *per year* spent in charter school. Charter schools raise students' Living Environment standard scores by 0.25 units per year spent in charter school. They raise students' Global History standard scores by 0.13 units per year spent in charter school. Finally, compared to lotteried-out students, charter school students have U.S. History standard scores that rise by 0.14 units more per year spent in charter school.

Table IVf
Lottery-Based Estimates of the Effect of Attending New York City's Charter Schools on Regents Examination Scores
(shown in standard score units)

	Estimated Effect of Attending New York City's Charter Schools				
	effect on Math A	effect on Comprehensive English	effect on Living Environment	effect on Global History	effect on U.S. History
Extra gain each year from Grade 9 through the date on which the Regents exam was taken	0.19 [statistically significant] (p-value=0.02)	0.18 [statistically significant] (p-value<0.01)	0.25 [statistically significant] (p-value<0.01)	0.13 [statistically significant] (p-value=0.01)	0.14 [statistically significant] (p-value=0.02)

Notes: See notes to Table IVg.

All of these estimated effects are statistically significant. It is worth noting that, when we compute these estimated effects, we not only have the "apples to apples" comparison of students who were lotteried-in and lotteried-out of charter schools. We also control for how students scored on the eighth grade examination in the same subject (math for Mathematics A, English Language Arts for Comprehensive English, and so on). Thus, we comparing charter school students to lotteried-out students who scored similarly in the eighth grade.

What are these positive effects when translated into scale score points?

Although showing the effects in standard score units is best for making comparisons between the Regents Examinations and other measures of achievement, readers may wish to know what the estimated effects are in scale score points. On each Regents Examination, a student must have 65 scale score points to pass and must have 85 scale score points to pass with distinction.

Table IVg shows the estimated effects of charter schools on Regents Examination scale score points. Compared to lotteried-out students, charter school students have Mathematics A scores that rise by 3.0 points more *per year* spent in charter school. In other words, if a student entered a charter school at the beginning of ninth grade and took the Mathematics A examination at the end of eleventh grade, he could expect to score 9 points (3.0 points times 3 years) higher than a similar student who was lotteried-out.

Similarly, compared to lotteried-out students, charter school students have Comprehensive English scores that rise by 3.0 points more *per year* spent in charter school. Charter schools raise students' Living Environment scores by 3.7 points per year spent in charter school. They raise students' Global History scores by 2.3 points per year spent in charter school. Finally, compared to lotteried-out students, charter school students have U.S. History scores that rise by 2.5 points more per year spent in charter school.

How do we interpret the magnitude of these effects?

The average student who applies to a New York City charter school that includes grades nine through twelve has eighth grade test scores that suggest he or she will be close to the passing grade (65 points) if he or she continues in the regular public schools. Therefore, by raising a student's scores by 2 to 3 points *per year*, charter schools make it more likely that students will pass their Regents examinations.

In the next section, we test whether students are more likely to get a Regents diploma if they attend a charter school. We will see that they *are* more likely to do so. This evidence confirms the importance of charter school students' getting higher scores on Regents examinations.

Table IVg
Lottery-Based Estimates of the Effect of Attending New York City's Charter Schools on Regents Examinations Scores
(shown in scale score points)

	Estimated Effect of Attending New York City's Charter Schools, shown in scale score points				
	effect on Math A	effect on Comprehen- sive English	effect on Living Environment	effect on Global History	effect on U.S. History
Extra gain <i>each year</i> from Grade 9 through the date on which the Regents exam was taken	3.0 [statistically significant] (p-value = 0.02)	3.0 [statistically significant] (p-value < 0.01)	3.7 [statistically significant] (p-value < 0.01)	2.3 [statistically significant] (p-value = 0.01)	2.5 [statistically significant] (p-value = 0.02)

Notes: The table shows the effect of attending New York City's charter schools on a student's Regents Examination scores. An effect is judged to be statistically significant if it is statistically significantly different from zero with 90% confidence. The examinations shown are those that are required for a Regents diploma. Students are recommended to take the examinations in a certain grade, but need not do so. The exam/grade combinations are as follows: Comprehensive English, grade 11; Math A, grade 10; Living Environment (biology), grade 9; Global History, grade 10; U.S. History, grade 11. . A student needs 65 scale score points to pass a Regents Examination and needs 85 points to pass it with distinction.

Estimation Details: The results are treatment on the treated results--that is, the estimation takes account of which lottery-in students do and do not actually attend charter schools. The results also account for students who attend school only part of the year, students' grade at the time they take the test, and differences associated with the school year of the test. The estimation includes a full set of lottery fixed effects, and the standard errors are robust and clustered at the student level. Similar results are obtained if the estimation accounts for students' characteristics: race, gender, pre-lottery eligibility for school meals program, pre-lottery participation in special education, pre-lottery limited English proficiency.

Sources: Student test scores and characteristics are from the New York City Basic Educational Data System (BEDS). Student applicant and lottery lists are from the charter school.

LOTTERY-BASED RESULTS: THE EFFECTS OF NEW YORK CITY'S CHARTER SCHOOLS ON GRADUATING WITH A REGENTS DIPLOMA

The Bottom Line

A student who attends a charter high school is about 7 percent more likely to earn a Regents diploma by age 20 for each year he spends in that school. For instance, a student who spent grades ten through twelve in charter high school would have about a 21 percent higher probability of getting a Regents diploma.

Do charter schools make a student more likely to graduate with a Regents Diploma?

New York City's charter schools have a strong positive effect on the probability that a student graduates with a Regents diploma of some form (regular, advanced, or honors). See Table IVh. Compared to lotteried-out students, charter school students are 7 percent more likely to graduate with a Regents Diploma for every year they spend in charter school in grades 9 through 12. This means that a student who was lotteried-in in grade 10 and enrolled in charter school through grade 12 would have a 21 percent higher probability of earning a Regents Diploma than a student who was lotteried-out in grade 9 and enrolled in regular public schools thereafter.

Unfortunately, because we have only a limited number of observations on students who have reached the age of 20, the estimated effect is statistically significant with only 85 percent confidence. This means that the 7% estimate may somewhat overstate or understate the true effect.

Keep in mind that we are comparing charter school students to lotteried-out students who scored similarly in the eighth grade.

Table IVh Lottery-Based Estimate of the Effect of Attending New York City's Charter Schools on Graduating with a Regents Diploma by the Age of 20	
	Estimated Effect of Attending New York City's Charter Schools on Probability of Graduating with a Regents Diploma by Age 20
Extra gain in probability for each year spent in charter schools from Grade 9 through Grade 12	7% [marginally statistically significant] (p-value = 0.15)

Notes: The table shows the effect of attending New York City's charter schools on the probability that a student graduates with a Regents diploma (Regents, Regents Honors, Regents Advanced) by the end of the school year in which he is 20 on or before December 31 of the school year. For other notes, see notes to Table IVg.

DO ALL OF NEW YORK CITY'S CHARTER SCHOOLS HAVE SIMILAR EFFECTS?

In this section, we investigate the *range* of effects that we found on test scores for grades three through eight. We do so in a way that does not identify individual charter schools; however, what we show would allow a reader to say what *share* of charter school students are experiencing a strong positive effect, a weak positive effect, no apparent effect, and so on.

There are reasons to expect the effects of New York City's charter schools to differ

Although New York City's charter schools operate under a single New York state charter school law, they have different authorizers, different school leaders, different mission statements, different policies, and somewhat different curriculums (for example, different math textbooks). New York City's charter schools also have different histories: some have been in operation for a considerable time (especially the schools that converted to charter status); some had been open only a couple of years. In short, there are many reasons to expect that New York City's charter schools might have effects that are not all alike.

There are reasons to expect the effects of New York City's charter schools to converge

All of New York City's charter schools are under pressure to perform, and the pressure comes from three sources. First, they are subject to formal accountability systems: New York City's, New York State's, and No Child Left Behind. Second, they can be held accountable by their authorizers and boards of trustees. The authorizers wield especially great power when the schools' charters are up for renewal. Third, the charter schools need to attract parents. This necessity imposes an indirect accountability to parents. In short, there are some commonalities in pressure to perform among the charter schools.

Although the charter schools are not forced to learn from one another, they may choose to do so when under similar pressures. They may learn from one another informally (for instance, by hiring staff who have worked at other charter schools) or more formally (by consciously adopting a policy that seems to be working well for another school). The density of New York City's charter schools--which are especially dense in Harlem and the South Bronx--promotes opportunities for learning.

In short, there are reasons why New York City's charter schools might have different effects and reasons why they might have convergent effects. The data must speak for themselves.

Thinking about the *range* of effects among New York City's charter schools

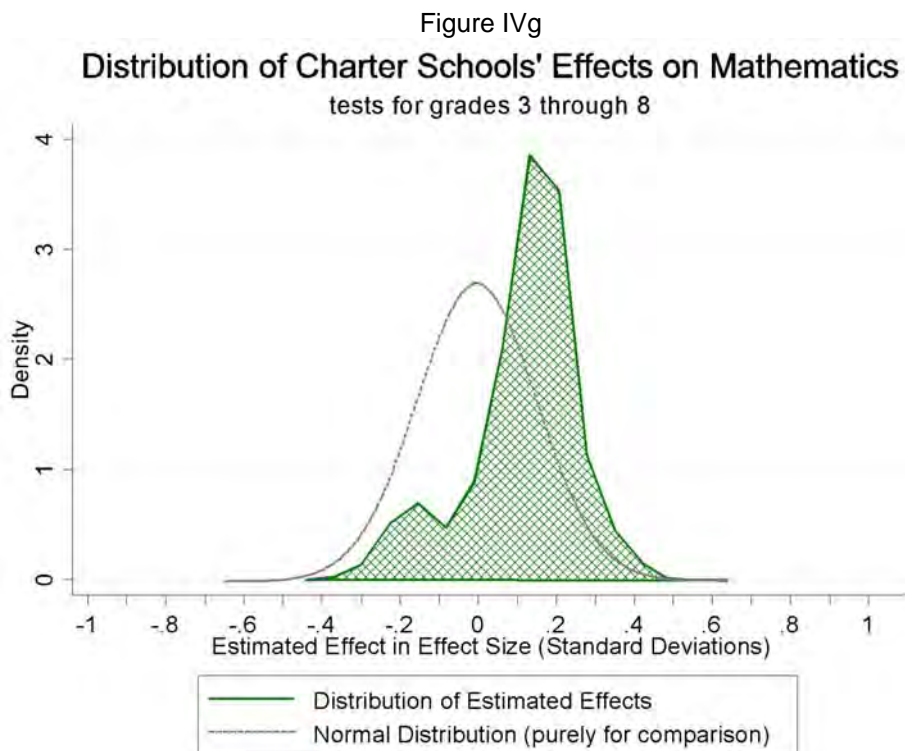
Recall that the *average* effect of New York City's charter schools is 0.09 standard score units in math and 0.06 units in English, *per year*, for kindergarden through eighth grade. In other words, students improve by about 0.9 units in math and by about 0.6 units in English for each year they spend in the charter schools, relative to the gains they would have attained in the traditional public schools. These average effects are statistically significant and are based on all students who apply to charter schools through a balanced lottery. See the bottom row of Table IVc.

How do math effects differ among New York City's charter schools?

See Figure IVg for the range of estimated effects of New York City's charter schools on math in grades three through eight. We created this figure by estimating an effect on math for each school separately. Then we plotted the distribution of the schools' effects, taking care that schools were represented according to the number of students they enroll. Thus, the distribution of effects is representative of the charter school *students* of New York City. We smoothed the distribution slightly so that readers could not pick out the effects of individual charter schools.⁸

People are most familiar with bell-shaped distributions like the well-known Normal Distribution, and--just for comparison--we've shown a Normal Distribution with a mean effect of zero. The Normal Distribution is there to help you think about the control group. There is (by construction) a zero effect for students in the control group *on average*, but control group students experience a range of achievement effects. Some experience a positive effect in their traditional public school; some experience a negative effect.

When you look at the distribution of estimated math effects of New York City's charter schools (the shaded area), the first thing you see is that it is shifted to the right, relative to the Normal Distribution. This means that the average effect of attending a charter school is positive--something you already know. You should then notice that most charter school students attend a school that has a positive effect on math. A small fraction of students attends a charter school that has a negative effect on math.



Notes: The shaded area shows the distribution of estimated effects of charter schools on math (grades three through eight) that are sufficiently precise that they are either statistically significantly different from zero with 85 percent confidence or that an effect of 0.1 standard deviations would be statistically significantly different from zero with 85 percent confidence. See preceding text for shares of students in various intervals within the distribution. The normal distribution is centered on a zero effect is shown purely for comparison.

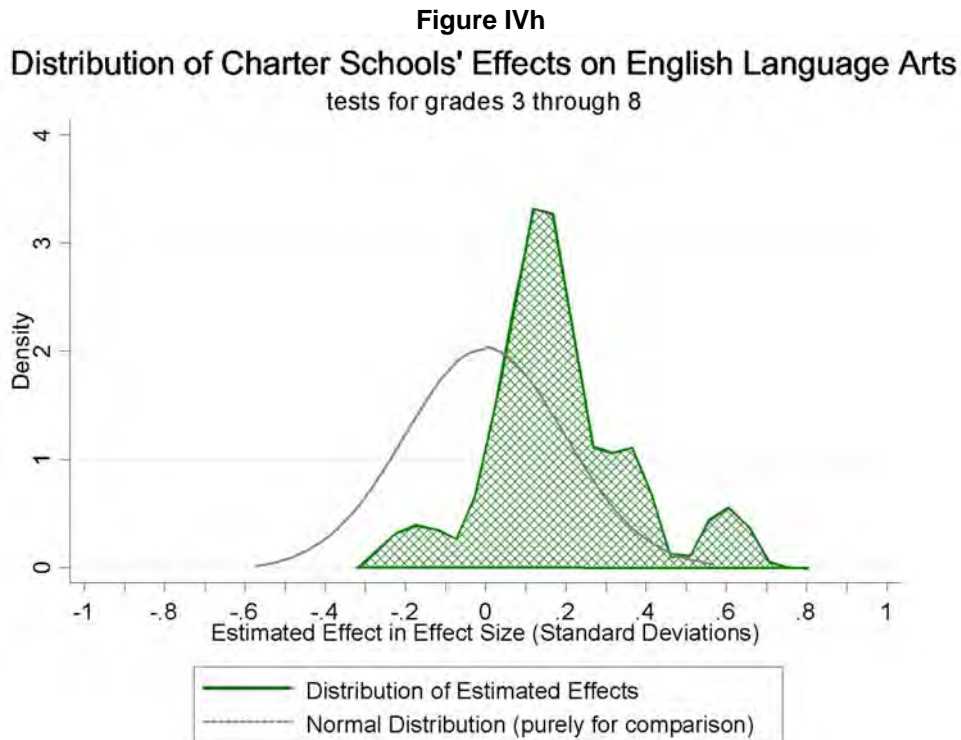
Let us make these statements precise. About 10 percent of charter school students attend a school that is estimated to have a positive effect on math that is greater than 0.2 standard deviations. About 59 percent of charter school students attend a school that is estimated to have a positive effect on math that is between 0.1 and 0.2 standard deviations. About 17 percent of charter school students attend a school that is estimated to have a positive effect on math between 0 and 0.1 standard deviations. Finally, the remaining 14 percent of students attend a school that is estimated to have an effect on math that is negative. (Percentages do not add up to 100 because of rounding.)

The Normal Distribution may help you remember that some charter school students would have experienced a negative effect and some would have experienced a positive effect anyway, even if they had remained in the traditional public schools.

How do English effects differ among New York City's charter schools?

See Figure IVh, which is constructed like the previous figure, except that it shows English.

When you look at the distribution of estimated English effects of New York City's charter schools (the shaded area), you can see that the vast majority charter school students attend a school that is having a positive effect on English. A very small fraction of students attends a charter school that has a negative effect on English.



Notes: see notes for Figure IVg.

Let us make these statements precise. About 31 percent of charter school students attend a school that is estimated to have a positive effect on English that is greater than 0.2 standard deviations. About 45 percent of charter school students attend a school that is estimated to have a positive effect on English that is between 0.1 and 0.2 standard deviations. About 16 percent of charter school students attend a school that is estimated to have a positive effect on English between 0 and 0.1 standard deviations. Finally, the remaining 8 percent of students attend a school that is estimated to have an effect on English that is negative. (Percentages do not add up to 100 because of rounding.)

Summing up

The vast majority of charter schools for which an individual school estimate can be computed with reasonable precision are having a positive effect on their students' math and English achievement in the third through eighth grades. Some schools in this majority have a strong positive effect (more than 0.2 standard deviations per year) and others have a modest positive effect (less than 0.1 standard deviations per year). Most have an effect that is in-between (0.1 to 0.2 standard deviations per year). A small share of students attend a school

The vast majority of charter schools for which an individual school estimate can be computed with reasonable precision are having a positive effect on their students' math and English achievement in the third through eighth grades.

that is estimated to have a negative effect. Keep in mind that all of these statements are relative to the *average* experience of a lotteried-out students. Some charter school students would have experienced a positive effect and some would have experienced a negative effect anyway, if they had attended traditional public schools.

None of this is too surprising. Any effect that is positive on average is going to be a combination of greater and lesser effects. What would be useful to know, however, is whether there are any characteristics of charter schools that make them more likely to have a strong positive effect?

CHAPTER V. ASSOCIATING CHARTER SCHOOLS' EFFECTS WITH THEIR POLICIES

In Chapter I, we showed that New York City's charter schools differ amongst themselves on a number of dimensions--how long they have been in operation, the type of organization that manages them, the length of the school year and school day, curriculum, disciplinary policy, and so on. In this chapter of the report, we investigate whether certain school characteristics are routinely associated with positive effects on achievement.

What method do we use for this investigation?

We do this investigation using regression, a statistical method of examining the correlation between variables. We follow normal statistical procedure by giving weight to a school's estimated effect that is commensurate with the number of observations used to estimate it.

We use *one-variable* regression to examine one characteristic of a school at a time. For instance, we can compute the association between a charter school's effect on achievement and its having a long school year. Then we can move on to computing the association between achievement and a long school day. And so on, taking the schools' characteristics one by one.

We use *multiple-variable* regression to examine several characteristics of a school simultaneously. The idea of multiple-variable regression is that we can compute the association of, say, a charter school's effect on achievement and its having a long school year, *while holding other characteristics constant*.

Associations, not causation

We cannot make causal claims about charter schools' characteristics and their effects on achievement. We can only describe associations between characteristics and achievement effects. This may seem like a subtle distinction, but it is in fact an important one. An example will illustrate the difference.

Suppose that charismatic school leaders were a key cause of positive achievement effects, and suppose that charismatic leaders just happened to like long school years. We cannot measure

charisma, but we can measure the length of the school year. Therefore, we might find an *association* between a long school year and positive achievement effects even if the charisma, and not the long school year, *caused* higher achievement. The distinction could matter a lot in practice. A school that lengthened its school year might be disappointed in the results, not realizing that what it had really needed to do was to hire a charismatic leader.

What kinds of answers can we give?

A few examples will illustrate the kinds of answers we can and cannot give.

Suppose that half of New York City's charter schools have adopted a curriculum (textbooks, lesson plans, and so on) known as A and the other half have adopted a curriculum known as B. It is fairly likely that, if one of the two curricula were associated with substantially more positive effects on achievement, we would discern this association statistically. However, if the two curricula were associated with only slightly different effects, we would probably not be able to discern the difference.

If the vast majority of schools used curriculum A and only a few used curriculum B, we might not be able to discern the difference even if the difference were substantial. This is because we need to have a certain share of charter schools pursue a policy before we can detect its association with achievement.

Another dimension on which New York City charter schools differ is school uniforms. Suppose that a quarter of New York City charter schools had curriculum A and uniforms, a quarter had curriculum A and no uniforms, a quarter had curriculum B and uniforms, and a quarter had curriculum B and no uniforms. In this case, we would probably be able to discern the association of curricula A and B with achievement *and* be able to discern separately the association of school uniforms with achievement. Now suppose instead that every school that adopted curriculum A also adopted uniforms and that every school that adopted curriculum B had no uniforms. Then, we could answer questions about the "package" of curriculum A and uniforms as opposed to the package of curriculum B and no uniforms. We could not, however, answer questions about the effect of uniforms *separately* from the effect of curriculum A. The prevalence of "packaging" poses a real problem for understanding the association between charter schools' characteristics and their effects on achievement. Although New York City charter schools do not adopt policies in formal packages, we see informal packages. For instance, schools that adopt a long school year very often also adopt a long school day.

Which is more informative, one-variable or multiple-variable regression?

Because of the packaging problem just described, it is a good idea to estimate both one-variable and multiple-variable regressions. We will illustrate this with an example that happens to be true, in practice. One-variable regressions tell us that a long school year is associated with a more positive achievement effect and that a long school day is also associated with a more positive achievement effect. However, when we include *both* a long school year and a long school day in a multiple-variable regression, it looks as though only the long school year is associated with a more positive achievement effect. Does this mean that the long school day does not matter? Well, no. The fact is that schools with long school years tend also to have long school days. Thus, when we put both characteristics into a multiple-variable regression, the regression has a hard time assigning

responsibility to the long year separately from the long day--because they are so often found together. In other words, the multiple-variable regression may *suggest* that the long school year matters more than the long school day, but we should be very cautious about taking this suggestion. It would be a mistake to recommend only the long school year as a policy (and tell schools that the length of their school day does not matter) because, in fact, we see very few strong-performing schools that actually use a long school year and a short school day.

What's the bottom line on the association between achievement and charter school policies?

We are confident that the following policies are associated with charter schools' having more positive effects on students' achievement:

- a long school year;
- a greater number of minutes devoted to English during each school day;
- a small rewards/small penalties disciplinary policy;
- teacher pay based somewhat on performance or duties, as opposed to a traditional pay scale based strictly on seniority and credentials;
- a mission statement that emphasizes academic performance, as opposed to other goals.

We are confident about the characteristics listed above because both one-variable and multiple-variable regression indicate that they have a positive association with a school's achievement effect. These associations are statistically significantly different from zero with at least 90 percent confidence.

Some care must be taken to interpret the associations listed above because of the packaging problem we have already mentioned. For instance, the long school year is usually packaged with a long school day. Also, a greater number of minutes devoted to English is usually packaged with a long school day (no surprise there) and a greater number of minutes devoted to math.

The following policies are associated with charter schools' having more positive effects on students' achievement:

- a long school year;
- a greater number of minutes devoted to English;
- a small rewards/small penalties disciplinary policy;
- teacher pay based somewhat on performance or duties;
- a mission statement that emphasizes academic performance.

The long school year

The association between a long school year and a positive achievement effect is the most important result of this chapter. We have singled out the long school year because its association is extremely robust. It shows up strongly no matter which other policies we control for. The result also showed up strongly in our last report (July 2007), when we had less data to analyze.

The association between a long school year and a positive achievement effect is the most important result of this chapter.

How do charter schools manage to have a longer school year while operating with a budget that is less than that of regular public schools? They save money in various ways: they have small administrative staffs, they have younger teachers, and so on. However, one important way they manage to have a longer school year is to expand their class sizes slightly. We find that schools with longer school years often have slightly larger class sizes, and this makes sense when you realize how much money a school frees up when it expands class size a bit. For instance, by expanding class size by just 3 to 4 students, a charter school may be able to free up 15 percent of its budget.

Other associations between achievement effects and charter school characteristics

One-variable regression, in which we consider the characteristics one by one, suggests that a larger number of characteristics are associated with a stronger positive effect on achievement. These characteristics include:

- a long school year;
- a long school day;
- a greater number of minutes devoted to English during each school day;
- a direct instruction style of teaching;
- use of the Core Knowledge program;
- use of internal evaluations (tests) for diagnostic purposes;
- a greater number of internal evaluations per school year;
- a small rewards/small penalties disciplinary policy;
- teacher pay based on performance or duties, as opposed to a traditional pay scale based strictly on seniority and credentials;
- a mission statement that emphasizes academic performance.

We have only found one school characteristic that has a negative association with a charter school's effect on achievement: having at least one seat *reserved* for a parent on the school's board. We are very skeptical that the negative association comes from the parent seat *per se*. It is more likely that reserving one or more seats for a parent indicates something about the school's general management style that is not conducive to improving student achievement.

Charter school characteristics, considered one by one

In order to interpret the associations with care, we now consider school characteristics one by one.

Years in Operation

When considered either by itself or simultaneously with other characteristics, a charter school's years in operation does *not* have an association with achievement effects that is statistically significantly different from zero. In other words, we have no evidence one way or the other about whether schools improve with experience. This suggests that it is a school's policies, not its years in operation, that matter.

Operating Agency Type

When considered either by itself or simultaneously with other characteristics, a charter school's operating agency type (CMO, EMO, or CGO) does *not* have an association with achievement effects that is statistically significantly different from zero. In other words, we have no evidence one way or the other about whether a school's operating agency type matters. This suggests that it is a school's policies, not its agency type, that matter.

Table Va
Associations between Charter Schools' Characteristics
and their Effects on Achievement

<i>Characteristic</i>	<i>An increase of a unit in this characteristic is associated with what change in the school's achievement effect</i>	
	<i>one-variable regression</i>	<i>multiple-variable regression</i>
Years that school has been operating	not stat. significant	
Community Grown Org (CGO) operating agency	not stat. significant	
Charter Management Org (CMO) oper. agency	not stat. significant	
Educational Management Org (EMO) oper. agency	not stat. significant	
Number of days in school year/10	0.05**	0.15***
Number of hours in school day	0.04*	not confirmed
Saturday school	not stat. significant	
Optional after-school program	not stat. significant	
Saxon math curriculum	not stat. significant	
Scott Foresman math curriculum	not stat. significant	
Everyday Math curriculum	not stat. significant	
SRA reading curriculum	not stat. significant	
Scott Foresman reading curriculum	not stat. significant	
Open Court reading curriculum	not stat. significant	
School's own math & reading curriculums	not stat. significant	
Direct instruction style of teaching	0.06*	not confirmed
Curriculum is core knowledge	0.11*	not confirmed
Number of minutes of math per day/10	not stat. significant	not confirmed
Number of minutes of English per day/10	0.01*	0.02*
Average class size	not stat. significant	
Internal evaluations administered	0.15*	not confirmed
Number of internal evaluations per year	0.06*	not confirmed
Student Advisory (middle & high schools)	cannot test: see notes	
School uniforms or strict dress code	cannot test: see notes	
Small rewards/small punishment discipline	0.13**	0.31*
Parent contract	not stat. significant	
Reserved seat(s) for parent on board	-0.18***	-0.24**
Pay based on performance/duties (not merely on seniority & credentials)	0.16***	0.16*
Mission statemt emphasizes academic performance	0.17***	0.32***
Number of school leaders	not stat. significant	

Notes: Table shows estimates of the associations between schools' characteristics and their effects in math and English achievement. Asterisks indicate level of statistical significance: ***=99%, **=95%, *=10%. A few policies cannot be tested because nearly all charter schools use them.

Long School Year

When considered either by itself or simultaneously with other characteristics, a long school year is strongly positively associated with a school's having a greater effect on achievement. The association from the multiple-variable regression is statistically significantly different from zero with 99 percent confidence, and it indicates that schools with ten more days in the year have achievement effects that are 0.15 standard deviations higher. This is an association of considerable magnitude because a ten day difference is quite common. (Twelve days is the standard deviation in the length of the school year among charter schools.)

Long School Day

When considered by itself, a long school day is positively and statistically significantly associated with a school's having a greater effect on achievement. However, when considered simultaneously with other characteristics, the association of the long school day with achievement effects is not statistically significantly different from zero. Here, we run into the package problem. Having a long school year and a long school day are highly correlated: most schools that have one policy have the other.

What it seems safe to say is that a package that combines a long school year and a long school day is associated with more positive achievement effects. With the data we have now, we do not know whether having just a long school day is associated with positive achievement effects.

Saturday School

When considered either by itself or simultaneously with other characteristics, Saturday School does *not* have an association with achievement effects that is statistically significantly different from zero. In other words, we have no evidence one way or the other about whether Saturday School matters.

The effect of Saturday school is difficult to discern because it is usually adopted in combination with a long school year. Indeed, if Saturday School is mandatory for everyone, not just students struggling with their school work, then Saturday School automatically adds days to the school year.

Optional After-School Programs

When considered either by itself or simultaneously with other characteristics, a charter school's having an optional after-school program does *not* have an association with achievement effects that is statistically significantly different from zero. In other words, we have no evidence one way or the other about whether an optional after-school program matters.

Math and Reading Curriculums

We describe math and reading curriculums in the appendix, using descriptions that rely on the publisher's own materials. We describe only curriculums used by at least a few New York City charter schools. The math and reading curriculums we describe do *not* have associations with achievement effects that are statistically significantly different from zero. Because the standard errors are large, this does not provide evidence one way or the other about the question of whether math curriculums have a positive, negative, or zero association. That is, we have *not* found zero associations. Rather, we simply do not know.

Direct Instruction in Math

Direct instruction is a method of teaching that emphasizes the explicit introduction of skills through lectures, scripted exercises, or demonstrations. It is often contrasted with methods in which a student learns by doing. These methods are variously known as exploratory learning, discovery learning, or inquiry-based learning.

We classified a school as using direct instruction if its math curriculum is designed to be used with the direct instruction teaching method. (It is less easy to say whether a reading curriculum is designed for such use.)

When considered by itself, direct instruction is positively and statistically significantly associated with a school's having a greater effect on achievement. However, when considered simultaneously with other characteristics, the association of achievement effects with direct instruction is not statistically significantly different from zero.

What it seems safe to say is that policy packages that include direct instruction are associated with more positive achievement effects. However, we do not know whether direct instruction itself is what makes such packages work.

Core Knowledge

The Core Knowledge program is described in the Appendix. It is not a curriculum or textbook, but a suggested progression of knowledge that students should acquire at each grade level.

When considered by itself, the use of Core Knowledge is positively and statistically significantly associated with a school's having a greater effect on achievement. However, when considered simultaneously with other characteristics, the association of achievement effects with Core Knowledge is not statistically significantly different from zero.

Number of Minutes of Math and English per Day

When considered either by itself or simultaneously with other characteristics, the number of math minutes per day is not statistically significantly associated with a school's having a greater effect on achievement.

When considered either by itself or simultaneously with other characteristics, the number of English minutes per day is positively and statistically significantly associated with a school's having a greater effect on achievement.

A greater number of English minutes per day is, in practice, often found in conjunction with a greater number of math minutes per day and a longer school day. What it seems safe to say is that something about this "many minutes" package is associated with more positive achievement effects. However, it is hard to say whether it is the length of the school day that matters, the number of minutes on math, or the number of minutes on English.

Class Size

When considered either by itself or simultaneously with other characteristics, average class size does not have an association with achievement effects that is statistically significantly different from zero. The standard error is such that we can rule out negative associations less than -0.01 . Remember that, with class size, *negative* associations are desirable: larger class size means fewer teachers per child. In other words, we can rule out the notion that the reason why some charter schools have larger achievement effects is that they have smaller classes.

Internal Evaluations

Internal evaluations are tests that a school uses for diagnostic purposes--for instance, letting a teacher know which math skills have and have not been learned by her students. When considered by itself, a policy of administering internal evaluations is positively and statistically significantly associated with a school's having a greater effect on achievement. However, when considered simultaneously with other characteristics, the association of achievement effects with an internal evaluation policy is not statistically significantly different from zero.

What it seems safe to say is that policy packages that include internal evaluations are associated with more positive achievement effects. However, we do not know whether the internal evaluations themselves are what makes such packages work.

The Number of Internal Evaluations Per Year

Similarly, when considered by itself, the number of internal evaluations per year is positively and statistically significantly associated with a school's having a greater effect on achievement. However, when considered simultaneously with other characteristics, the association of achievement effects with the number of internal evaluations is not statistically significantly different from zero.

What it seems safe to say is that policy packages that include more internal evaluations are associated with more positive achievement effects. However, we do not know whether the number of the internal evaluations it itself what makes such packages work.

Student Advisory System

A student advisory system gives each student a particular teacher or other staff member who has overall responsibility for his or her performance. Such systems are designed to keep students from "falling through the cracks" in grades where students take different subjects from different teachers. Schools with self-contained classrooms, where students are taught all subjects by the same teacher, do not need advisory systems.

We cannot analyze student advisory systems because they are so widely adopted by the New York City charter schools that do not have self-contained classrooms. Any policy that is very widely adopted is hard to analyze because there is not much variation in it.

School Uniforms and a School Dress Code

Similarly, we cannot analyze school uniform and strict dress code policies because they are so widely adopted by New York City charter schools.

Small Rewards/Small Punishments Disciplinary Policy

Small rewards/small punishments disciplinary policies are based on the idea that expecting small courtesies and punishing small infractions (usually at the classroom level) is important. This is in contrast to disciplinary strategies that focus more on preventing or punishing large infractions (often at an administrative level above the classroom). We classified a school's policy as small rewards/small punishments if it clearly fit the description given above. When it was unclear whether a policy fit, we erred on the side of *not* calling it small rewards/small punishments.

When considered either by itself or simultaneously with other characteristics, a small rewards/small punishments disciplinary policy is strongly positively associated with a school's having a greater effect on achievement. The association from the multiple-variable regression is statistically significantly different from zero with 94 percent confidence, and the association is of considerable magnitude.

Parent Contracts

Some charter schools ask parents to sign a contract. The typical parent contract specifies expectations about attendance, on-time arrival at school, homework, and similar issues. Parent contracts are not legally enforceable, but they do help to set parents' beliefs about what the school expects of them.

When considered by itself or simultaneously with other characteristics, a policy of asking parents to sign a contract does *not* have an association with achievement effects that is statistically significantly different from zero. Because the standard errors are large, this does not provide evidence one way or the other about the question of whether parent contracts have a positive, negative, or zero association. That is, we have not found a zero association. Rather, we simply do not know.

Teacher Pay based on Performance or Duties, as Opposed to Seniority and Credentials

Some charter schools (and nearly all traditional public schools) use a strict salary schedule, in which nearly all of a teacher's pay is determined by her seniority and credentials. For instance, a typical strict schedule has "steps" for each year of seniority and master's degrees. If you know a teacher's seniority and her credentials, you more or less know her pay. There may be a little variation in pay associated with a teacher's taking on extra duties.

Other charter schools pay teachers more flexibly. They may pay teachers based on their measures of their performance, such as whether they raise students' test scores or how the principal rates their contribution to the school. They may also pay teachers based on their willingness to take up duties, so that a teacher who works on supervises extracurricular activities is paid extra. We asked schools to characterize their pay systems. They are recorded as having non-traditional pay if they reported having pay based on performance or duties and not having pay almost wholly determined by seniority and credentials.

When considered either by itself or simultaneously with other characteristics, non-traditional teacher pay is strongly positively associated with a school's having a greater effect on achievement. The association from the multiple-variable regression is statistically significantly different from zero with 92 percent confidence, and the association is of considerable magnitude.

Reserving One or More Seats for Parents on the School's Board

Some charter schools reserve one or more seats on their board for parents. This ensures that there is parent representation. Of course, parents may serve on a board even if there is no seat *reserved* for them. As noted already, all parents exercise indirect control on charter schools because they can "vote with their feet." The parent on the board is, thus, meant to guarantee parent control through a direct channel.

When considered by itself or simultaneously with other characteristics, a policy of reserving one or more seats on the board for parents has a negative association with achievement effects that is statistically significantly different from zero. As mentioned above, we are skeptical that it is the reserved seat *per se* that is associated with worse achievement effects. We suspect that the reserved seat hints at a management style that is problematic in some more general way.

A Mission Statement that Emphasizes Academic Performance

As noted in Chapter I, some charter schools' mission statements emphasize academic performance while other schools' statements express a different goal or goals for students.

When considered by itself or simultaneously with other characteristics, a mission statement that emphasizes academic performance has a positive association with achievement effects that is statistically significantly different from zero.

It is important to realize that this effect is *not* due to families who are academics-oriented self-selecting into schools that emphasize academic performance in their mission statements. If the lotteried-in students who apply to such schools come from academics-oriented families, so do the lotteried-out students who apply to such schools!

Number of School Leaders

Some charter schools have multiple school leaders--for instance, a chief officer and a headmaster. When considered by itself or simultaneously with other characteristics, a policy of having multiple leaders does not have an association with achievement effects that is statistically significantly different from zero.

Other School Characteristics

There are a number of other school characteristics that we do not mention above. This is either because they cannot be measured in a consistent way across schools or because there was insufficient variation in their use among New York City charter schools for us to compute their associations with any sort of precision

Summing Up

We are cautious about all of the associations with achievement that we describe above. First, these associations may change as more data are added or more New York City charter schools open. Second, the associations can be difficult to interpret because some policies are routinely found together in packages: an example is the package of a long school year and long school day. It is difficult to disentangle the role played by each part of a package. Third, it is essential to remember that none of the associations we have described is a causal effect. We are *not* asserting that if a school adopts a certain policy, its achievement effects will rise. One must have causal effects to

make such assertions. We cannot tell whether the policies themselves make the difference or whether the policies are merely correlated with factors that do make the difference (great leadership and so on). We strongly discourage readers from treating the associations as though they were causal effects--for instance, by changing a policy based on the estimates shown.

With all these caveats, the positive associations are with a long school year (this is especially strong), the number of minutes spent on English per day, a small rewards/small punishments disciplinary strategy, teacher pay based on performance or duties, and a mission statement that emphasizes academic performance.

CHAPTER VI. STUDENTS WHO LEAVE CHARTER SCHOOLS OR LEAVE THE STUDY

Students who leave charter schools and return to the traditional public schools

Because most charter schools in New York City do not cover all of the grades from kindergarten to twelve, charter school students do generally return to the traditional public schools if they enroll in a charter elementary school or charter middle school. So far, about 14 percent of charter school students analyzed in this report have returned to the traditional public schools. In future studies, we will be able to analyze how they perform when they are back in the traditional public schools. Unfortunately, they are still too small in number for such an analysis.

A small share (8 percent) of students return to the traditional public schools even though the charter school they are attending does serve their grade. On test scores, these "voluntary returnees" do not differ from their fellow charter school students who did not return to the traditional public schools. Thus, there is no evidence that the charter schools are pushing out students whose test scores are low. The voluntary returnees also do not differ on prior program participation (free and reduced-price lunch, special education, English Learner services). However, the voluntary returnees are more likely to be white or Asian than their fellow charter school students who did not return to the traditional public schools. This may be because charter schools, as noted above, have such a strong draw for black and Hispanic students. It may be that a white or Asian family whose child begins attending a charter school worries about their child being isolated from his or her racial group. This could be a reason behind some voluntary returns.

Students who leave the study

Students, both lotteried-in and lotteried-out, can leave the study for several reasons. Almost identical shares of lotteried-in and lotteried-out students covered by this report have left the study for any reason: 24.8 percent of lotteried-in students have done so; 24.9 percent of lotteried-out students have done so. See Table VIa.

One reason students leave the study is that they graduate from high school. Since the charter school students are more likely to graduate (see Section IV), it is not a surprise that 3 percent of charter school students have left the study by graduating while only 1.1 percent of lotteried-out students

have left through this channel.

Table VIa shows a variety of other reasons that students have left the study and the percentage who have left for each reason. By far the most common reason is transferring to a school outside of New York City or to a private school inside the city. This accounts for 16.7 percent of charter school students and 22 percent of lotteried-out students. In addition, some students (1.4 percent of lotteried-in and 0.9 percent of lotteried-out) leave because their new address is unknown. Most of these students are likely to be transferring outside of New York City or to a private school.

Very small fractions (always less than 2 percent) of lotteried-in and lotteried-out students leave for the other reasons enumerated: being in a GED or similar program; voluntarily withdrawing due to absences or pregnancy; being deceased or institutionalized; and so on.

Table VIa
Probability that Student has Left the Study,
Overall and by Reason

	Lotteried-In	Lotteried-Out
Left the study for <i>any</i> reason	24.8%	24.9%
Left the study due to graduating from high school	3.0%	1.1%
Left the study due to:		
transferring to a school outside of NYC or to a private school	16.7%	22.0%
address unknown (could be a transfer or a withdrawal)	1.4%	0.9%
in a GED program or similar program	0.1%	0.1%
voluntarily withdrawn due to absence or pregnancy	1.7%	0.4%
all other reasons (deceased, in non-DOE institution, over age 21 etc.)	1.8%	0.4%

Once one removes the students who leave the study because they graduate, it is clear that lotteried-in students are less likely to leave the study. Thus, there is no evidence that charter schools are pushing students out from New York City's public schools altogether. However, it might still be that charter schools are more likely to push a student out if he is low achieving than the traditional public schools are. If this is so, we should find that leaving the study has a stronger negative correlation with achievement among charter school students than it has among lotteried-out students. (That is, we should find that being a low achiever makes a charter school student more likely to leave than being a low achiever makes a lotteried-out student likely to leave.) Using regression analysis (results shown in Table VIb), we find no evidence that the correlation between achievement and leaving is different for lotteried-in and lotteried-out students. To be clear, we are referring to leaving for reasons other than graduating from high school.

Table VIb shows that lotteried-in students are slightly less likely to leave the study for reasons other than graduating. Students with higher math scores are very slightly more likely to leave the study, but students with higher English scores are less likely to leave the study. Being lotteried-in has *no* effect on whether a student leaves the study when he or she is low-achieving, in either math or English.

Table VIb
Effect on Probability that Student has Left the Study
for Any Reason Other than Graduation
(results from multiple-variable regression)

Lotteried-In?	-0.01*
Most recent test score in math (in standard score units)	0.01*
Most recent test score in English language arts (in standard score units)	-0.03***
Lotteried-In x most recent test score in math	-0.003
Lotteried-In x most recent test score in English language arts	0.001

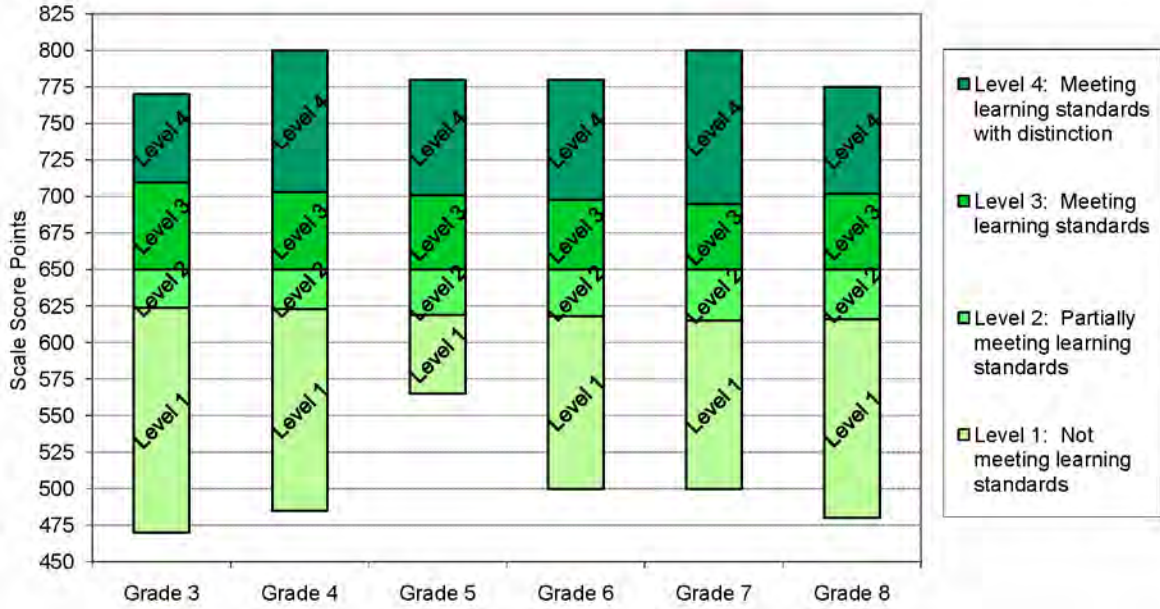
Notes: Table shows estimates of the associations between students' characteristics and their probability of leaving the study for any reason other than graduating from high school. The results are from a linear probability multiple regression. Asterisks indicate level of statistical significance: ***=99%, **=95%, *=10%. The estimation includes a full set of lottery fixed effects.

APPENDIX

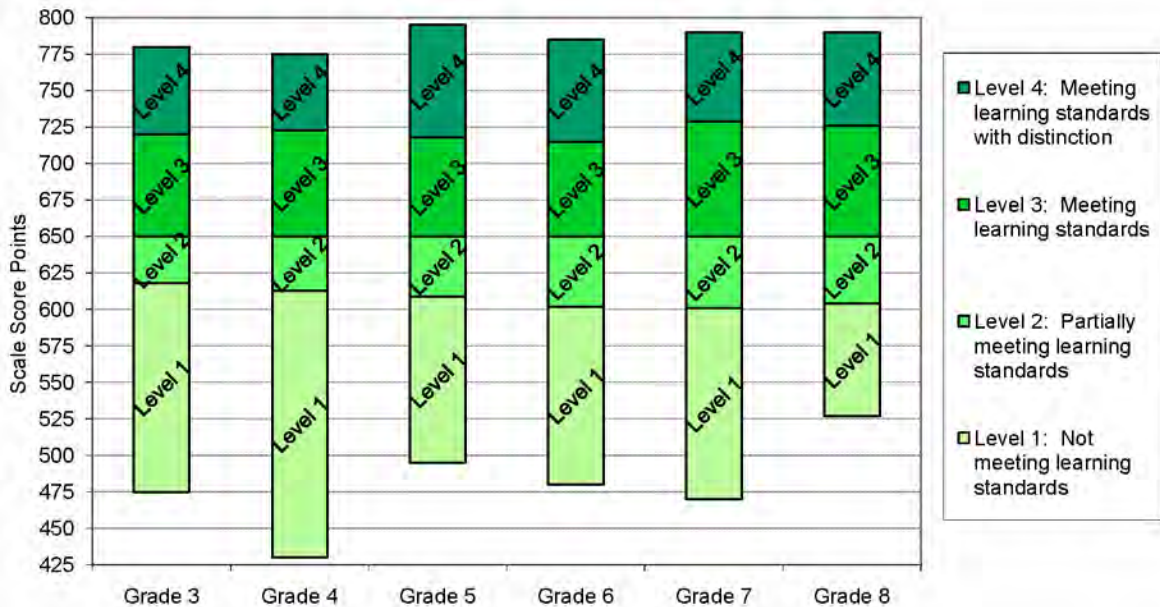
Endnotes

1. We classified a school as using direct instruction if its math curriculum is designed to be used with the direct instruction teaching method. It is less easy to classify schools based on their language arts teaching style. Note that we are discussing a general class of teaching methods that fit into the direct instruction school of thought. We are not discussing Direct Instruction, a specific program designed by Siegfried Engelmann and Wesley Becker.
2. This weighting is not a full solution because students who decide to apply when they are entering fourth grade are fundamentally different from students who apply as kindergarteners. Thus, up-weighting the fourth graders who apply and down-weighting the kindergarteners who apply does not make charter schools fully comparable to traditional public schools. Nevertheless, the adjustment goes some ways toward making the data comparable.
3. "Switcher bias" is the problem identified decades ago as plaguing the evaluation of training programs. It is therefore sometimes called the program evaluation problem. There is a massive literature on the subject, of which two famous articles are: Robert LaLonde, "Evaluating the Econometric Evaluations of Training Programs with Experimental Data," *American Economic Review*, 76.4 (September 1986), 604-620; and Orley Ashenfelter and David Card, "Using the Longitudinal Structure of Earnings to Estimate the Effect of Training Programs on Earnings," *Review of Economics and Statistics*, 67.4 (November 1985), 648-60.
4. For instance, value-added analysis is often used to evaluate teachers' effects on students' achievement. In such a context, it works well so long as students are assigned to teachers in a way that is fairly random. If teachers got to select students based on the students' achievement trajectories, value-added analysis would not work well for teacher evaluation either. Matching per se is not the problem with TPS-history-matching. The matching would be fine if it were based on the traditional public schools that all charter school students would have attended in the absence of the charter school (as a rule, the traditional public schools geographically associated with the students' residences). The problem derives from the fact that matching is based solely on switching students' prior history in traditional public schools.
5. See Caroline Hoxby and Sonali Murarka, "Methods of Assessing the Achievement of Students in Charter Schools," in *Charter Schools: Their Growth and Outcomes*. Mahwah, NJ: Lawrence Erlbaum Associates, 2007.
6. In math, the difference between the top threshold for performance level 1 and the bottom threshold for performance level 3 is about 0.6 of a standard deviation. In English, the difference between these thresholds is about 0.85 of a standard deviation.
7. To keep this figure simple (since it is only for expositional purposes), we used raw data on only those students who attended charter schools from kindergarten through eighth grade.
8. When we compute effects for individual charter schools, some of the schools currently have too little data for us to compute their individual school effect with confidence. These schools are therefore not useful for thinking about how the effects differ among charter schools in New York City. Specifically, if a school's estimated effect has such large standard errors that it is statistically insignificant and that an effect size of 0.1 would also be statistically insignificant, we do not use it for considering the range of effects. The confidence standard is 90 percent.

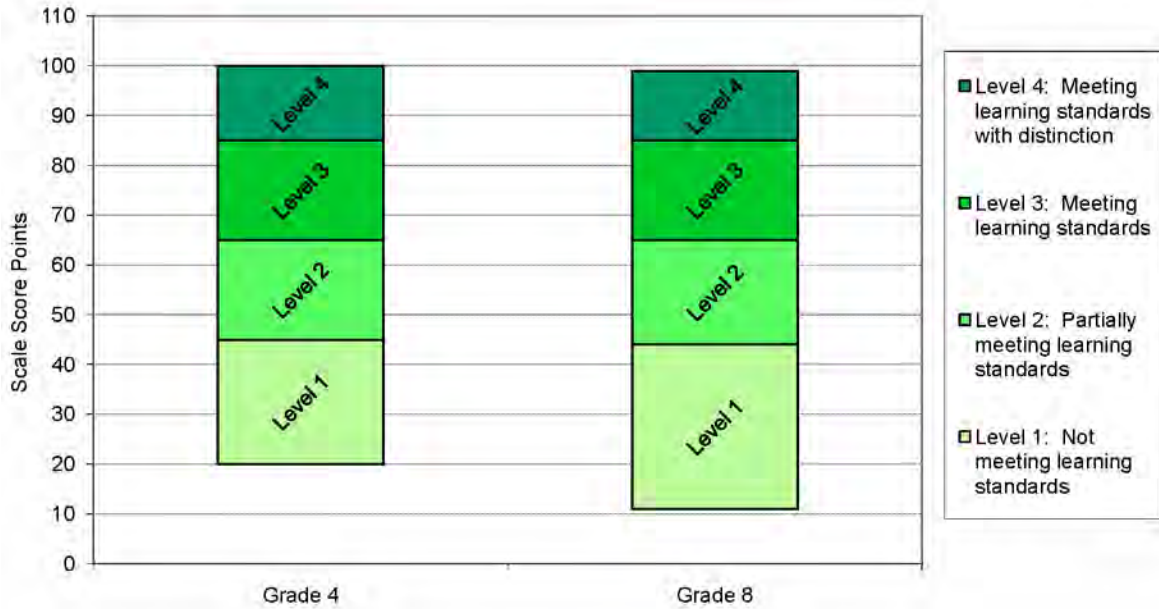
Appendix Figure 1
Relationship between Scale Scores and Performance Levels,
Math 2007-08



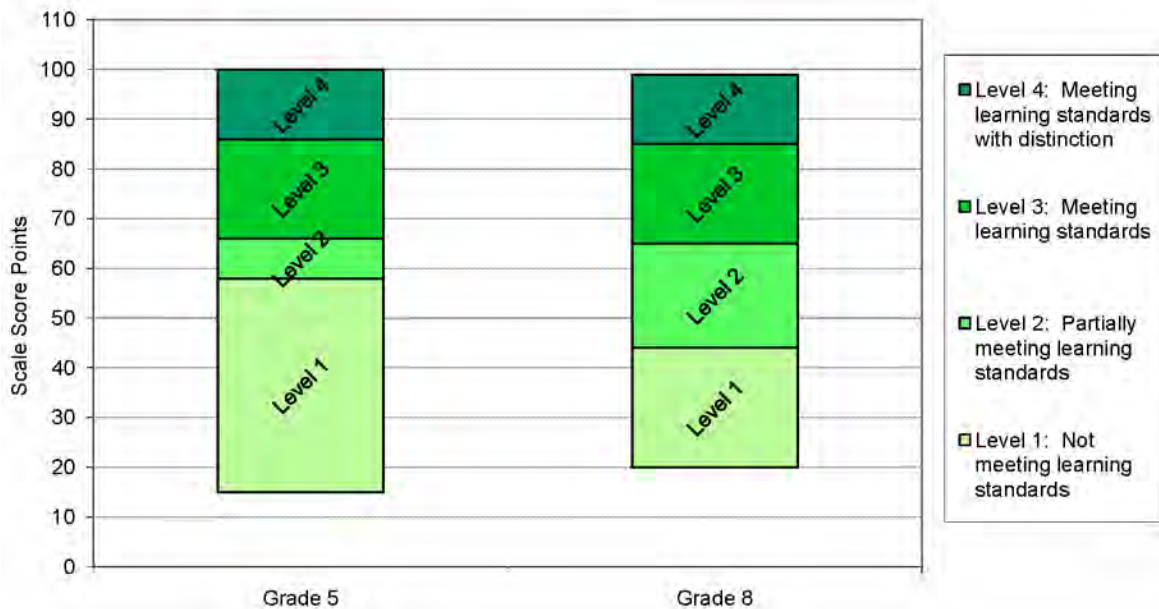
Appendix Figure 2
Relationship between Scale Scores and Performance Levels,
English Language Arts 2007-08



Appendix Figure 3
Relationship between Scale Scores and Performance Levels,
Science 2007-08



Appendix Figure 4
Relationship between Scale Scores and Performance Levels,
Social Studies 2007-08



FREQUENTLY ASKED QUESTIONS

Who conducted this report and how is it funded?

This is the second report from an independent study of New York City's traditional public schools and charter schools. It is funded by the Institute for Education Sciences, which is the research arm of the United States Department of Education.

The principal investigator for the study is Dr. Caroline M. Hoxby, professor of economics at Stanford University and director of the Economics of Education Program at the National Bureau of Economic Research (NBER). The principal authors of this year's report are Dr. Hoxby, Jenny Kang, Project Manager of the New York City Charter Schools Evaluation, and Sonali Murarka, former Project Manager. They are grateful for the cooperation and help they have received in the data gathering process from the New York City Department of Education, the New York City Charter School Center, and the charter schools located in New York City. All of these organizations have also helped the investigators by answering questions and clarifying details about the data. However, the investigators are solely responsible for the content of the report.

How can we get a copy of the full report?

You can download a copy of the full report from this website:

<http://www.nber.org/~schools/charterschoolseval>

How does this September 2009 report relate to the overall study?

The first year report was released in July 2007 and included achievement results through the 2005-06 year. The July 2007 report is available at the website above. This September 2009 report includes achievement result for 2006-07 and 2007-08 for “incumbent” students, by which we mean all the students in the July 2007 report but no other students or schools. In other words, the September 2009 report follows all of the students from the July 2007 report for an additional two years.

The study is funded for several years, and we expect to produce another report by September 2010 that will include all students from this September 2009 report as well as new student applicants to charter schools for the 2006-07 through 2009-10 school years. There may also be additional reports in future years.

Is there a technical version of this report directed towards researchers?

There is no technical version of this report, but a copy of the technical version of the July 2007 report can be downloaded from the Working Papers section of the website www.nber.org. The technical report covers the same material and results, but contains additional details on statistics and computations. The statistical techniques used in the September 2009 report are nearly identical to those used in the July 2007 report.

What is the source of the data used in the report?

Most of the data in this report comes from the databases of the New York City Department of Education, which has a very active research and evaluation program. Visit the website <http://schools.nyc.gov/Accountability/DOEData> for more information on the Department's data for research. Data from the applications of students who applied to the charter schools come from the charter schools themselves. See Section V of the report for information on how these two sources

of data were combined. Some additional data are derived from published statistics of the United States Census of Population and Housing.

Can I have access to the data you used for this study?

We regret that we are unable to provide any of the NYC Department of Education data used for this study as we are under a strict confidentiality agreement.

Can we see information and results on individual charter schools?

The study will not be issuing results for individual charter schools, and we report results in such a way that individual charter schools are not identified. However, this overall report does describe the variation among New York City charter school on many dimensions, including their effects on achievement.

Which charter schools are included in this study?

There were 48 charter schools that had opened in New York City as of 2005-06, and all but a few participated in the study at that time. Two schools, UFT Elementary Charter School and South Bronx Charter School for International Cultures and the Arts, have declined to participate in the study and are not included in this year's report. Manhattan Charter School was not included in the 2007 report but is included in this report. The NY Center for Autism Charter School is not included in the study because it serves a very special population and is not compatible with many elements of the study. Two schools closed during this time period and are not included in the study (see next question).

This report follows the first cohort of students in the original 43 participating charter schools since they were described in the July 2007 report. Subsequent cohorts of students in these schools are not described in this report but will be included in a separate report. Because there are new charter schools opening each year in New York City, some schools that are currently operating are not covered by this year's report even though they are participating in the study.

Does the aggregate report include closed charter schools?

Our study does not include the two charter schools that have closed in New York City, Reisenbach (closed spring 2004) and Readnet Bronx (closed spring 2006), as we have been unable to retrieve retrospective data on the students who applied to them and did not enroll.

Where can I get more information on individual charter schools' mission statements, policies, locations and the like?

Many charter schools have their own websites that contain such information. To find links to them and information on charter schools in New York City in general, we encourage readers to visit the websites of the Office of Charter Schools in the New York City Department of Education (<http://schools.nyc.gov/community/planning/charters>), the Charter Schools Institute of the State University of New York (<http://www.newyorkcharters.org/>), the New York State Board of Regents (<http://www.regents.nysed.gov/>), the New York City Charter School Center (www.nycchartercenter.org), Inside Schools (www.insideschools.org), and GreatSchools (www.greatschools.net).

How is the average grade calculated? Why might it be negative?

To make the averages work out neatly, we treat pre-kindergarten as grade equal to -1 and kindergarten as grade equal to 0. Grades 1-12 are given the appropriate numerical equivalents. Because we are calculating average grade *at the time of application*, an average grade of zero or less than zero means that a majority of students are applying as preschoolers or kindergarteners.

What does "statistical significance" mean?

The indicators of statistical significance are signs about whether we are confident about a particular result. If a result is statistically significant at the 90 percent level ("yes"), this roughly means that we are 90 percent confident that the result you see is not the same as zero. For example, let's say that 65 percent of lotteried-in students are female and 60 percent of lotteried-out students are female. The difference is 5 percentage points. We might report that this 5 percentage point difference is statistically significant at the 90 percent level. This means that we are 90 percent confident that the 5 percentage point difference indicates a real difference between the two groups and that the true difference is not zero.

What is a "p-value"?

A p-value is another conventional way of describing the statistical significance of a result. If you subtract the p-value from the number 1, you obtain our confidence that the result is not the same as zero. For instance, if the p-value for a result is 0.05, then our confidence that the result is not zero is 0.95 or 95 percent.

Why did you choose the race categories you use in the tables?

The race categories we use are black and non-Hispanic ("black" for short), white and non-Hispanic ("white" for short), Hispanic, Asian, and "other". These are the categories given to us by the New York City Department of Education. We are therefore unfortunately unable to break down the data into more specific groups, such as Asian subgroups or mixed race groups.

What is the difference between a student who is lotteried-in and a student who enrolls in a charter school?

A lotteried-in student is anyone who applied to a charter school, had his application entered in a lottery owing to the scarcity of places, and was offered a place in the charter school. A student who enrolls is anyone who applied to a charter school and enrolled in it at some point. The main difference between lotteried-in and enrolled groups of students is the subset of students who are offered a place but decline to enroll. These "decliners" are in the lotteried-in group but not the enrolled group. Another reason that the lotteried-in and enrolled groups of students differ is that some students apply and enroll but do not have to participate in lotteries because there is sufficient space for them in the grade and school to which they apply. See Section V for additional detail.

Why are some comparisons of special education, English Language Learner status, and free and reduced-price lunch statistics unreliable?

Charter schools and traditional public schools do not have the same recording procedures for recording indicators of a student's participation in special education, classification as an English Language Learner, and certification for free and reduced-price lunch. This makes some statistics unreliable for the purpose of comparing charter school applicants to traditional public school students. We show only reliable statistics based on pre-application indicators in this report.

However, pre-application data are not available for all charter school applicants. There is no perfect fix for the problems associated with the differences in recording the indicators.

Fortunately, the recording problems do not affect the lottery-based analysis of achievement. This is because that analysis depends on comparison of lotteried-in and lotteried-out *among* applicants. It does not depend on comparison of applicants to non-applicants.

Are there other reasons to be concerned about the free and reduced-price lunch numbers?

It can be difficult to make comparisons among schools based on the percentage of students who qualify for the federal National School Lunch Program. Comparisons between school systems are particularly likely to be problematic. Small differences may not be interpretable and all differences should be interpreted with caution. It is important to note that, so far as the federal government is concerned, each of New York City's charter schools is a school system ("Local Education Agency" in federal terminology).

Schools vary in their efforts to qualify children for the school lunch program. A student who is *eligible* for the program (household income within 185 percent of the federal poverty line) needs to be *qualified* for the program through a process of reporting the household's income and composition. Thus, a student who is eligible might be qualified for the program if he were to attend one school but not if he were to attend another. Variation in qualifying students takes several forms: some schools may be more insistent about parents or guardians filling out applications; schools may answer questions about eligibility, household composition, and what goes into the income calculation in slightly different ways; schools may differ in how they explain the certification and verification processes. Furthermore, not all schools have the same incentive to qualify students for the program. Some schools, by qualifying more students, can become eligible for a schoolwide program. Other schools already have a schoolwide program and have less incentive to qualify the marginal student who is eligible. Still other schools could not become eligible for a schoolwide program even if every eligible student were qualified. In addition, small schools, like some charter schools, may find it financially unattractive to participate in the federal lunch program even if they run a school meal program. This is because federal reimbursement is on a strictly per-pupil basis. In a small school, the reimbursement is less likely to cover the relatively fixed administrative costs (paperwork and so on) of running a program that earns federal reimbursement. The National School Lunch Program itself reports that schools differ widely in the degree to which they qualify eligible students for the program.

Are there other reasons to be concerned about the special education and English Language Learner numbers?

It can also be difficult to make comparisons among schools based on the percentage of students who participate in special education or who are classified as English Language Learners. This is because there are always students who are on the margin of participation or classification. One school might find that, given its circumstances, a student on the margin is best off in regular education in a mainstream classroom. Another school, with different circumstances, might find the student is best off with an Individual Education Program (special education) or English language services. Small differences in special education and English language learners may not be interpretable and all differences should be interpreted with caution.

Why are some statistics shown for students at the time they applied?

Lunch program qualification, special education participation, and English Language Learner classification are shown for charter school applicants at the time they applied because all of these statistics are based on how the New York City traditional public schools qualify and classify students. Thus, when comparing applicants to students in the traditional public schools, these numbers are helpful because the "yardstick" is the same. However, time-of-application statistics are not available for the *typical* charter school applicant because he or she is likely to be applying for kindergarten or first grade and has thus often not yet been qualified or classified. Unfortunately, it is *impossible* to do a fair comparison between the typical charter school applicant and the average student in the New York City public schools. Therefore, all comparisons of lunch program qualification, special education participation, and English Language Learner classification should be interpreted with caution as small differences may not be interpretable.

Are there outcomes besides test scores that can be analyzed?

The main reasons we focus on test scores are strictly practical. They are available for nearly all students in the test-taking grades, the tests are the same in all the schools in the study (traditional public and charter schools alike), and the scores are available now.

There are many other outcomes that we would like to analyze in order to make a holistic assessment of achievement. Some of these outcomes will be available for future years' reports but are not available for this year's report. For example, we would like to analyze how charter schools affect a student's probability of dropping out of school, graduating from high school on time, and attending various types of postsecondary schools. However, we simply do not have a sufficient number of charter school applicants who have reached higher grades to examine such indicators in this year's report. Another example is attendance. We are interested in attendance data and are working on including it in the study. However, the data were not available in time for this year's report.

There are also outcomes that we would like to analyze but that are hard to measure. Keep in mind that applicants who do not enroll in charter schools are spread out across the traditional public schools in New York City. Thus, if we were to conduct an attitudinal survey, say, we could do it fairly efficiently in the charter schools because many participants in the study are located in each school. However, we would be far less efficient in the traditional public schools because a school might contain only one or two charter school applicants who had not enrolled. It is likely that we would end up with different rates of participation from charter school enrollees and non-enrollees, making it very hard to interpret any results.

We are open to suggestions about outcomes that readers might find interesting and that they believe could be collected in practice.

Why might a school have a lottery that is unbalanced?

A lottery is *not* balanced if the students who are offered spots (the lotteried-in) have characteristics that are statistically significantly different from those of the students who are lotteried-out. Even if every lottery is random and fair, not every lottery will be balanced. This is because lotteries with small numbers of lotteried-in or lotteried-out students are unlikely to balance as a purely statistical matter. For instance, suppose that a school has two places open in its fourth grade class and twenty students apply for the places. It is unlikely that the two lotteried-in students will happen to have the same average characteristics as the eighteen lotteried-out students. This outcome would cause a

lottery to be unbalanced even though it was truly random. On the other hand, if 50 students were lotteried-in and 50 were lotteried-out, the two groups are likely to be similar on average and the lottery is likely to be balanced statistically.

Are all charter school students who are in the study included in the lottery-based achievement results?

Not all students who are in the study are included in the lottery-based analysis of achievement. A student may be excluded for one of three reasons: (1) he had not yet taken a New York State test as of 2005-06; (2) he applied to a charter school that did not need to hold a lottery for the grade and year for which he applied; or (3) he participated in an admissions lottery but it was unbalanced. The vast majority of students who are in the study but not included in achievement analysis are in kindergarten through second grade, grades in which there are no required New York State exams. The tables in Sections III and V contain details about how many students are in the study and how many are included in the lottery-based analysis of achievement.

Why are there no results based on comparison-of-gains or other non-lottery methods?

We are obtaining data from the New York City Department of Education that will allow us to conduct analysis based on comparisons of gains. In this method, charter students can be compared to similar students in the schools and neighborhoods from which they were drawn. We may include some analysis based on comparison of gains in future reports if we think that it provides helpful additional information. It should be noted, however, that results from lottery-based methods are strictly superior to results based on comparison-of-gains for achievement data where both methods are available. Comparison-of-gains methods are mainly helpful for data on which lottery-based methods cannot be used. See Section III for information on why value-added methods are not appropriate for comparing achievement in charter schools to achievement elsewhere. Researchers interested in methodological questions should consult the June 2007 technical report available online in the Working Papers section of the website www.nber.org.

What do the indicators of statistical significance mean?

The indicators of statistical significance are signals of whether we are confident about a particular result. If a result is statistically significant at the 95 percent level, say, this means that we are 95 percent confident that the result is not equal to zero.

What is a "p-value"?

A p-value is another conventional way of describing the statistical significance of a result. If you subtract the p-value from the number 1, you obtain our confidence that the result is not the same as zero. For instance, if the p-value for a result is 0.05, then our confidence that the result is not zero is 0.95 or 95 percent.

What are lottery "fixed effects"?

It is not random *whether* a student participates in a lottery because, of course, he has to apply to participate. What is random is whether he is offered a place as a result of the lottery. Therefore, we want to use the randomness *within* lotteries to ensure an apples-to-apples comparison but we do not want to use the non-random differences *between* lotteries. This may sound complicated but lottery "fixed effects" are actually a simple statistical technique that does just what we want. The technique accounts for differences between lotteries but still allows us to use all of the random assignment

within lotteries. Researchers interested in further information should consult the June 2007 technical report available online in the Working Papers section of the website www.nber.org.

What are “robust standard errors clustered at the student level”?

Robust standard errors clustered at the student level are used so that a student who applies to a charter school multiple times or applies to multiple charter schools is not treated as multiple, separate individuals. For example, suppose that a student applies to two charter schools and is lotteried out of both. He keeps attending his traditional public school. The robust standard errors ensure that he gets counted only as one person, not two people.

The report frequently refers to the expected gains of lotteried-out students. Do we know what these expected gains are?

Calculating the average gain of lotteried-out students is complicated because New York City changed tests between 2004-05 and 2005-06. There is unfortunately no widely accepted way to rescale the old tests and the new tests so that a student's gain from 2004-05 to 2005-06 makes sense. We realize, however, that people may be interested in this statistic since charter schools' estimated effect on achievement is *relative* to the gains made by lotteried-out students. A reader may get an approximate idea of the gains by consulting the reports published by the New York City Department of Education that are based on scores from 2004-05 and previous years. A reader who wants only an approximate idea may also consult the authors by writing to them at the address shown at the front of this report.

What are some of the curricula used by New York City charter schools?

Below, we offer short descriptions of the curricula mentioned in Section III. These descriptions are based on the published materials for each curriculum. Consult the websites given below for additional detail.

Saxon Math

Using Saxon Math Courses 1, 2, and 3 each day, students work toward mastery in three ways: by reviewing, maintaining and building upon previously learned skills; through direct, explicit instruction of new content, mathematical thinking and vocabulary; and by applying, reinforcing and demonstrating cumulative learning.

Source: <http://www.harcourtachieve.com> (accessed June 2007).

Scott Foresman-Wesley Addison Mathematics

Scott Foresman-Addison Wesley Mathematics (Diamond Edition) is a research-based Pre-K-6 curriculum that focuses on developing students' conceptual understanding and skills through step-by-step instruction. The focus is on key ideas in mathematics, rich problem-solving lessons that build the reading and writing skills necessary for powerful problem solving, and differentiated instructional options to meet the needs of varied learners.

Source: <http://www.scottforesman.com> (accessed June 2007).

Everyday Mathematics

Everyday Mathematics is a research-based curriculum developed by the University of Chicago School Mathematics Project. Development of Everyday Mathematics began with a research phase. Based on their findings, the authors established several basic principles that have guided the development of Everyday Mathematics: Students acquire knowledge and skills, and develop an

understanding of mathematics from their own experience; children begin school with more mathematical knowledge and intuition than previously believed; teachers, and their ability to provide excellent instruction, are the key factors in the success of any program.

Source: <http://everydaymath.uchicago.edu/about.shtml> (accessed June 2007).

SRA Reading Mastery Plus

Reading Mastery Plus gives students the skills and the clear, explicit instruction and guidance they need to master the fundamentals of reading. Oral language, phonemic awareness, and systematic phonics are the starting point. Vocabulary development, fluency, and comprehension are fundamental throughout. The program is set up so students are active participants. Group responses make learning highly efficient and enable teachers to provide instant feedback that confirms or corrects their responses. Less-structured activities and opportunities for independent work help students develop self-reliance. On-going assessment tools are used by the instructor to ensure that no student "falls through the cracks."

Source: www.sraonline.com (accessed June 2007).

Scott Foresman Reading Street

Scott Foresman Reading Street 2008 is an all-new reading program for Grades PreK–6. Reading Street is designed to help teachers build readers through motivating and engaging literature, scientifically research-based instruction, and a wealth of reliable teaching tools. The program takes the guesswork out of differentiating instruction with a strong emphasis on ongoing progress-monitoring and an explicit plan to help with managing small groups of students. In addition, Reading Street prioritizes skill instruction at each grade level, so teachers can be assured they will focus on the right skill, at the right time, and for every student.

Source: <http://www.scottforesman.com> (accessed June 2007).

Open Court Reading

Open Court Reading is a complete elementary basal reading program for Grades K-6. It maintains strong instruction in the areas of decoding (learning how to read), comprehension (understanding what you read), inquiry and investigation (learning how to apply what you have read), and writing (how to communicate with others in print). Open Court Reading is designed such that no assumptions are made about students' prior knowledge. Each skill is systematically and explicitly taught in a logical progression to develop understanding and mastery.

Source: www.sraonline.com (accessed June 2007).

Core Knowledge Reading

Core Knowledge does not at present require any particular reading program. Schools are free to select from programs on the market. However, we recommend that schools choose a program that has strong phonics instruction, and we recommend that schools build oral language through frequent reading aloud on topics in the Core Knowledge Sequence. An ideal reading program will include good phonics instruction (followed by fluency work) combined with frequent reading aloud to expose children to new words and key subjects like the subjects listed in the Core Knowledge Sequence. Moreover, the reading aloud will include not only fictional stories but also generous amounts of nonfiction.

Source: www.coreknowledge.org (accessed June 2007).

What is the study doing to ensure a high match rate between applicants and their New York City Department of Education records?

We have asked charter schools to collect certain information on applications that some of them did not collect before participating in this study. For instance, we have asked them to collect information on the student's prior school and grade at the time of application.

What about students who have priority because they are siblings of students who have already been lotteried into and enrolled in a charter school?

Such students can be thought of as applying in a special group with other students who are applying to the same grade and school and who *also* have sibling-based priority. In some cases, a school has room for all such students and they were effectively lotteried-in with their siblings. In other cases, a school must run a new lottery among such students, and they are effectively in a fresh lottery.

What about students who have priority because they reside in the same community school district (CSD) as the charter school they are applying to? What about preference given to students who are zoned to attend a “failing” school?

Priority for students based on CSD was first implemented in New York City in lotteries for the 2008-09 year. Because the September 2009 report includes students who applied up through the 2005-06 year, CSD preference was not taken into account in these lotteries. Priority for students who are attending or are zoned to attend a “failing” school, as determined by the most recent NYC Department of Education Progress Report, is only given by some charter schools but was not implemented until lotteries for the 2009-10 year. Thus, the lotteries included in this report never gave preference to students from failing schools.