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Overview and Inventory of State Education Reforms: 1990 to 2000

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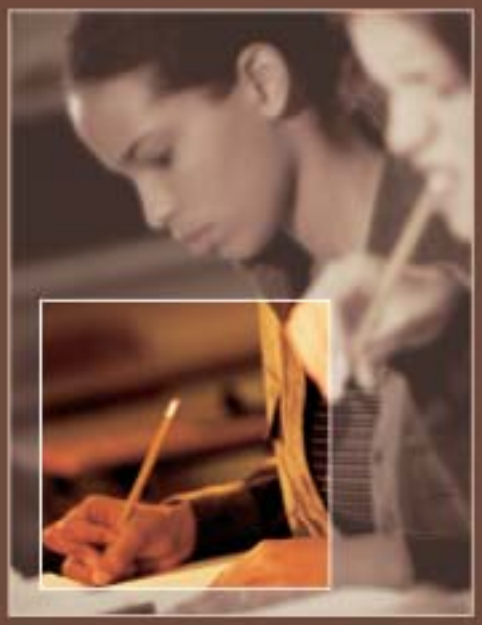

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July 2003

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Foreword

In 1992, the National Center for Education Statistics (NCES) released the congressionally mandated *Overview and Inventory of State Requirements for School Coursework and Attendance*, which described state-level education reform efforts of the 1980s. While many of the reform efforts reviewed in that report continued into the 1990s, states have undertaken a number of new reform initiatives over the past decade. States have made efforts to define academic standards for all students and create new accountability systems, to revise the way in which public schools are financed, to set new standards for teacher training, and to provide more parents with choice in where their children attend school. The purpose of this report is to describe these and other major developments in state-level education policies that occurred during the 1990s.

The NCES's antecedent authorizing legislation (Public Law 103-382, Title IV) includes among the Center's duties, "compiling and disseminating data on State and local education reform activities" [sec. 404(a)(1)(A)]. In fulfilling this responsibility, the Center has drawn from its own data, but also on the efforts of other organizations to characterize the extent to which reform efforts have been adopted. The Council of Chief State School Officers (CCSSO), the Education Commission of the States (ECS), and *Education Week* are some of the sources of information used in this report. As reporting on education reforms continues among the Center's duties in its recent reauthorization, future reports will track developments into this decade.

Generally, to be included in this report, a reform effort had to be an area of active state-level policy activity and have recent, comparable state-level data available. This includes policies that a majority of states have adopted (e.g., content standards), and, in some instances, those that have not been widely adopted but that have received considerable debate (e.g., private school voucher programs). While this report inventories state-level reform efforts of the 1990s, it makes no attempt to evaluate these initiatives. The inclusion or exclusion of a reform in this report does not imply anything about the quality or effectiveness of the policy.

Covering the 1990s, this report provides a context useful for tracking progress into the current decade. Issues salient in the 1990s concerning student performance, school accountability, resource adequacy, and parental choice continue as top policy concerns. Monitoring the impact of key legislative and policy developments requires starting with sound information. We hope this report provides information useful in understanding state-level education reform efforts of the 1990s.

Val Plisko
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Acknowledgments

The authors express their sincere thanks to everyone who contributed to the production of this report. At NCES, Edith McArthur provided guidance and substantive and editorial reviews throughout the development and production of the report. John Ralph and Val Plisko provided overall guidance in the volume's development.

Current and former staff of the Education Statistics Services Institute (ESSI) provided valuable assistance in the research and production of the report, including Molly Soule, Katherine Lavanga, Jennifer Champagne, Mary McLaughlin, Anne Marie Taulane, Mark White, Shannon Blaney, and Alison Leff and Rebecca Smerdon of the American Institutes for Research.

A number of reviewers strengthened the report. At NCES, Marilyn Seastrom, Martin Orland (formerly with NCES), Katie Freeman, Lee Hoffman, and William Hussar provided valuable advice and feedback. Karen O'Conor provided thorough oversight during the report's review and adjudication. At other offices of the Department of Education, Jim Fox, Daphne Hardcastle, Jacquelyn Jackson, Claudette Kaba, Jack Klenk, Maggie McNeely, Marina Walne, and Grover Whitehurst offered valuable comments and suggestions. Outside the Department of Education, thoughtful reviews were provided by Eva Baker, Kathryn Doherty, and Margaret Goertz. At ESSI, David Miller, Leslie Scott, and Martin Hahn offered detailed comments that greatly improved the report. Graphic design and layout was done by Heather Block.

Executive Summary

State governments play a critical role in providing public elementary and secondary education. State constitutional, statutory, and regulatory frameworks provide the legal authority for state governments, local governments, and school districts to raise revenues for education; they also set conditions for spending these funds. State policies are associated with nearly every facet of education, typically defining, for instance, when children must be in school, who may teach them, and what they are expected to learn.

The purpose of this report is to describe developments in state-level education policies that occurred during the 1990s and to use a wide range of sources to characterize these reform efforts at the state level. In doing so, this report extends an earlier National Center for Education Statistics (NCES) report, *Overview and Inventory of State Requirements for School Coursework and Attendance* (Medrich et al. 1992), which examined state-level reform efforts during the 1980s. Similar to the first report's mandate to discuss reform in the 1980s, this report examines education policy developments of the 1990s.

State Education Reforms in the 1990s

Although public education has long been the subject of debate and reform efforts, the past decade is notable for the type and volume of state-level education policy activity. In particular, the 1990s continued a trend from the 1980s in which states shifted their focus from educational inputs, such as per-student expenditures on instructional materials, to educational outcomes, such as the percentage of students attaining a score of "proficient" on a statewide assessment. State governments passed legislation, adopted new procedures and standards, and pursued policies in a number of areas that reflected a new emphasis on outcomes over inputs. To facilitate discussion of the diverse set of education policies states adopted during the past decade, this report groups these reform efforts into four broad categories:

- standards, assessment, and accountability;
- school finance reforms;
- teacher training and school resources; and
- school choice options.

These categories reflect the primary ways in which states have sought to change the provision of education. The first category—standards, assessments, and accountability—includes those policies that attempt to directly affect the achievement levels of students by specifying what students should learn and be able to do. The second category—school finance reforms—reflects a long-standing capacity of states to affect education by modifying the way in which revenues for public education are raised, distributed, and spent. The third category—teacher training and school resources—includes policies that may have an indirect effect on student achievement by changing, for example, the way in which teachers are trained. Finally, the fourth category—school choice options—includes efforts to give parents more choices in where they send their children to school. The following section provides a more detailed description of these reform areas.

Standards, Assessment, and Accountability

Much of the legislative activity related to education in the 1990s focused on raising academic standards and holding schools accountable for student performance. This section describes four components of these efforts: content standards, performance standards, assessments, and accountability systems. *Content standards* define what students should know and be able to do, while *performance standards* indicate how well students must perform to be considered proficient in a given subject area. Statewide *assessments* measure student progress toward attaining the goals defined by content and performance standards, and *accountability systems* are intended to collect the information necessary to hold schools and school districts responsible for the performance of students.

Surveys conducted by organizations such as the Council of Chief State School Officers (CCSSO) revealed that by the late 1990s most states had one or more of these components in place. Between 1995 and 2000, for example, the number of states that had developed English/language arts standards increased from 20 to 49 (CCSSO 2000a). Increases were found in other subjects as well. The number of states that had developed mathematics standards grew from 25 to 49, science standards from 23 to 46, and social studies/history standards from 20 to 46. States also typically specify a set of performance standards that correspond to content standards. These performance standards often indicate the scores a student must make on a statewide assessment to be considered proficient in a given area.

Measuring student progress toward attaining the goals defined by content and performance standards is central to standards-based reform efforts, and statewide testing programs were the focus of much attention during the 1990s. One area of concern has been the degree to which the subject matter and skill level of statewide assessments are consistent with state content standards. In an effort to align assessments with standards, some states have diversified their testing programs by adding items or assessments designed to mirror the material covered in the state's content standards and by adding performance-based assessment items, such as short answers and open-ended tasks. As reported in *Education Week's Quality Counts 2001*, most states assessed students a number of times between first and twelfth grade—48 states administered at least one exam in eighth grade and 43 states did so in fourth grade. While English/language arts and mathematics were the most frequently tested subjects, many states also regularly assessed student performance in history/social studies and science as well. Nearly all states included multiple-choice tests in their assessment programs, 38 states included short answer items, 46 used extended-response items in English exams, and 7 states used extended-response questions in assessments of other subjects.

States have also conveyed the results of assessments and other indicators of student performance to parents and the public through institutional "report cards." Institutional report cards generally are issued annually and may be issued at the state, district, and/or school levels. Publishing these report cards is one way in which states have sought to hold schools and districts accountable for student performance. In 2000, the CCSSO collected information on the type of reporting conducted by each state. All state education agencies reported having at least one annual accountability or indicator report as of September 2000: 46 states issued at least one report providing statistics at the district level, and 40 states and the District of Columbia did so at the school level (CCSSO 2000b).

School Finance Reforms

In order to provide the instruction necessary for students to obtain the high levels of achievement envisioned by the standards-based reform efforts of the 1990s, schools must have adequate financial resources. This report examines a number of reforms implemented by states that affect the way they raise revenues, allocate funds among districts, and allow funds to be used. Three key areas of state education finance reforms are examined: moving from equity to adequacy, general revenue reforms, and special education financing reforms.

One of the aims of state education finance systems has been to foster equity among the resources available to school districts within the state (Ladd and Hansen 1999). Recent legal challenges to state financing systems have shifted to focus on *adequacy*, seeking to compel states to define and provide a high-quality education for all children, rather than focusing primarily on reducing resource inequalities across school districts (Ladd and Hansen 1999). States have faced a number of challenges as they have sought to define and provide an adequate education. Included among these challenges are defining adequacy; determining the cost of obtaining adequacy; inflation; and adjusting for school, student, and geographic cost differences. The various ways that states have responded to these challenges are discussed in this report.

A second type of finance reform discussed in this report concerns efforts to make state revenue systems more fair, efficient, or balanced. Shifts away from local property taxes have had impacts on the mix of revenues used for financing schools in particular states (Ladd and Hansen 1999). Michigan, for example, passed legislation in 1993 that abolished local school property taxes, despite the state's traditional heavy reliance on local property taxes as revenue for education (Courant, Gramlich, and Loeb 1995). These revenues were replaced by an increase in the state sales tax and the adoption of a statewide property tax, along with other revenue sources.

Finally, reforms in special education finance include changes in the way states distribute funds to districts and new policies to finance special education services using revenues from multiple sources. Since 1988, Medicaid funds must be used to reimburse Individuals with Disabilities Education Act (IDEA)–related medically necessary services before IDEA funds are used (U.S. General Accounting Office 1999).

Teacher Training and School Resources

The standards-based reform efforts described in this report are intended to ensure that all students attain high levels of competence in all subject areas. Attaining these goals, however, depends in part on the resources in schools, including the effectiveness of teachers. During the 1990s, a number of states reexamined the process by which teachers are trained and certified. Concerns over the academic rigor of teacher training programs, the strength of the certification process, the match between training programs and teaching assignments, and the type and availability of professional development opportunities have led many states to consider applying a similar model of reform to teacher training as they have to student achievement. This model is centered on standards, testing, and accountability.

This report outlines the general process by which teachers are traditionally certified, which typically includes taking a prescribed course of study in college, passing one or more competency tests, completing student teaching requirements, and, once certified, maintaining certification by participating in professional development activities or taking additional coursework. A nontraditional, alternative certification model, which is intended to move highly qualified subject matter experts not currently in the teaching profession through preparation and certification more quickly than traditional routes, is outlined as well.

A number of states either established or revised standards for obtaining a teaching license during the 1990s (CCSSO 2000a). According to the CCSSO, "standards for teachers define the knowledge and skills teachers should have to provide quality instruction to students at given age or grade levels and specific content areas" (CCSSO 1998, p. 26). A CCSSO survey conducted in 2000 found that a majority of states licensed or certified teachers based on state standards and that most of these states had either developed or revised their statewide teaching standards since 1990 (CCSSO 2000a). Most state teaching standards specify the type of coursework that a prospective teacher should complete while in college. While most prospective teachers are expected to complete a core set of education classes, including classes such as teaching methods, child development, and supervised teaching experience, those wishing to earn a certificate to teach secondary school students may also be required to take a certain

number of hours in the subject they plan on teaching, such as mathematics or English. In 1999, according to *Education Week* (2000), nearly all states set minimum subject-area coursework requirements for high school teachers and about half have established such requirements for middle school teachers. Of the few states without standards, most indicated that they were soon to be in effect or were being developed. In addition to developing new standards for teacher education and certification, states implemented other measures in the 1990s to modify school resources, such as funding prekindergarten programs and increasing the number of required high school credits in core academic subjects. A number of states have adopted policies that are intended to ensure that key instructional resources such as textbooks are aligned with the state's content standards. Class size reduction—including its potentially negative financial implications and effects on teacher supply and quality—also received attention during the 1990s. The Education Commission of the States (ECS) reported that as of June 1999, 20 states had some sort of initiative to limit the student/teacher ratio to 20 or fewer students per teacher (ECS 1999).

School Choice Options

While states focused attention during the 1990s on reforming education finance systems and increasing the learning resources and academic standards of traditional public schools, they also adopted legislation intended to provide more parents with choice in where their children attend school. The report discusses four approaches states have taken toward meeting this goal. *Public school choice* allows students to attend the public school that they and their families select, while *charter schools* give parents the option of sending their children to a public school that operates largely independently of the local school district. In addition, some states have adopted policies that provide *public support for private education* in the form of tax credits, vouchers, or other resources for parents who send their children to private schools. *Homeschooling* is now an option in all states (Lines 2001), although states do not necessarily provide financial or other support for parents who homeschool.

The ECS reports that as of February 2001, 32 states had passed legislation permitting or requiring some form of public school choice. Throughout the 1990s, the number of states that adopted charter school legislation also increased, from 1 state (Minnesota) in 1991 to 36 states and the District of Columbia in September 1999. Similarly, the number of charter schools in operation increased during the 1990s. Almost 1,500 charter schools were in operation as of September 1999, about twice the number of charter schools operating in September 1997 (Nelson et al. 2000; Berman et al. 1998). Enrollment in charter schools represented about 0.8 percent of all public school students in the 26 states and the District of Columbia that had charter schools in operation in 1998–99 (Nelson et al. 2000).

Allowing open enrollment in public schools and enabling the creation of charter schools are both ways in which states have sought to provide greater choice in public education. Proposals have also been made to increase private school choice by using public funds to subsidize the cost of private school attendance (Moffit, Garrett, and Smith 2001). Several states, for example, permitted the limited use of public funds to support private education in the form of transportation, textbooks, and various auxiliary services. Less common were programs that used public funds to cover part or all of private school tuition. In Vermont and Maine, public funds have been used for many years to help cover tuition costs at nonsectarian schools for students living in areas in which a public school is not readily accessible. Since 1989, three states—Wisconsin, Ohio, and Florida—have passed legislation enabling the creation of voucher programs. Another education option available to parents in all 50 states and the District of Columbia is to homeschool their children. The 1999 National Household Education Surveys Program (NHES) found that 850,000 students nationwide, or 1.7 percent of U.S. students ages 5 to 17, were homeschooled in spring 1999 (Bielick, Chandler, and Broughman 2001).

Table of Contents

List of Tables

List of Figures

Chapter One
Introduction and Overview

State governments play a critical role in providing public elementary and secondary education. State constitutional, statutory, and regulatory frameworks provide the legal authority for state governments, local governments, and school districts to raise revenues for education; they also set conditions for spending these funds. State policies are associated with nearly every facet of education, typically defining, for instance, when children must be in school, who may teach them, and what they are expected to learn.

The purpose of this report is to describe major developments in state-level education policies that occurred during the 1990s, and to use a wide range of sources to indicate the number of states that have adopted these reform measures. In doing so, this report updates an earlier National Center for Education Statistics (NCES) report, *Overview and Inventory of State Requirements for School Coursework and Attendance* (Medrich et al. 1992), which examined state-level reform efforts during the 1980s.

This chapter, Introduction and Overview, provides an introduction to the report, the background for reform, and an overview of state education reforms. Chapter 2, Standards, Assessment, and Accountability, examines state efforts to implement standards-based education reform, focusing on content standards, performance standards, assessments, and accountability systems. Chapter 3, School Finance Reforms, describes recent state reforms in school finance. Chapter 4, Teacher Training and School Resources, concentrates on state actions intended to improve resources for learning, for example by improving teacher training or increasing the rigor of the curriculum. Chapter 5, State Support for School Choice Options, describes and inventories choice options such as public school choice, charter schools, and home schooling. Finally, chapter 6, Summary and Conclusion, summarizes the report, highlighting key state-level reforms.

The Call for Reform and State Responses

Calls for Education Reforms

Although public education has long been the subject of debate and reform efforts, the past decade is notable for the type and volume of state-level policy activity. In particular, the 1990s continued a trend from the 1980s in which states shifted their focus from educational inputs, such as per-student expenditures on instructional materials, to educational outputs, such as the percentage of students attaining a score of "proficient" on a statewide assessment. This shift toward educational outcomes was prompted in part by concern over the achievement of U.S. students compared to those in other countries, and the effect that comparatively low levels of achievement might have on the economy. These concerns were articulated in the 1983 report of the National Commission on Excellence in Education, *A Nation at Risk*, which warned that the skills of the nation's workforce would have to improve drastically for the United States to remain internationally competitive. The report mobilized public support for more rigorous standards for students and teachers.

State and local officials worked to implement the recommendations outlined in *A Nation at Risk*, and these initiatives became the foundation of the educational excellence reforms of the 1980s. In particular, one of the more common policy changes states made during the 1980s was to increase the total number of courses, as well as the number of courses in specific subjects, required for a high school diploma. Another common strategy adopted by states during the 1980s was to increase the use of statewide testing to assess and evaluate student progress (Medrich et al. 1992).

As states were implementing changes prompted in part by *A Nation at Risk*, new efforts arose that would refine and extend the reform strategies of the 1980s. In the late 1980s, the National Governors Association served as a forum for examining the current state of education in the United States and made recommendations for improvements. The governors' efforts culminated in a meeting with former President George W. Bush at the first National Education Summit in 1989. The creation of the national education goals and a public discussion as to whether there should be national or state-level reforms in standards and testing resulted from the summit. The standards-based, systemic reform strategies emphasized in these efforts are reflected in many of the education policies adopted by states in the 1990s. These policies are one of the primary focuses of this report.

The efforts also informed federal education policy during the 1990s. Throughout this period, government agencies and non-governmental organizations worked collaboratively to help implement reform strategies during the 1990s. In addition, the 1994 reauthorization of the Elementary and Secondary Education Act (ESEA) was intended to support the standards-based reform efforts of states. Although it falls outside of the time period covered in this report, the No Child Left Behind Act of 2001, which again reauthorizes ESEA, further emphasizes the goal of enabling all children to reach high state standards by strengthening accountability programs and increasing flexibility available to districts and states.

Federal data collection and dissemination efforts have helped to document and monitor education reforms. They have provided national and state data on schools, students, teachers, parents and families, and achievement. During the late 1980s and early 1990s, NCES began administering several surveys and assessments that produce state-level estimates in a number of areas. In the late 1980s, NCES began collecting through the Schools and Staffing Survey (SASS) state aggregate data on schools, principals, and teachers (see Gruber et al. 2002 for more information). Beginning in 1990, states could volunteer to participate in the state National Assessment of Educational Progress (NAEP) in order to obtain data about their student academic performance relative to the nation and other states, over time. The grades and subjects assessed in the state component are a subset of those in the national component of NAEP. In 2000, state NAEP assessed mathematics and science at grades 4 and 8. Forty-one states and six jurisdictions participated in the 2000 assessment (see Allen, Donoghue, and Schoeps 2001 for more information).

State Education Reforms in the 1990s

States played an active role in promoting reform during the 1990s. State governments passed legislation, adopted new procedures and standards, and pursued policies in a number of areas that reflected a new emphasis on outcomes in addition to inputs. To facilitate discussion of the diverse set of education policies states adopted during the past decade, this report groups these reform efforts into four broad categories:

- standards, assessment, and accountability;
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These categories reflect the primary ways in which states have sought to change the provision of education. The first category—standards, assessments, and accountability—includes those policies that attempt to directly affect the achievement levels of students by specifying what students should learn and be able to do. The second category—school finance reforms—reflects a long-standing capacity of states to influence education policy by modifying the way in which revenues for public education are raised, distributed, and spent. The third category—teacher training and school resources—includes policies that may have an indirect effect on student achievement,

such as teacher training. Finally, the fourth category—school choice options—includes efforts to give more parents choice in where they send their children to school. The following section provides a more detailed description of these reform areas.

Standards, Assessment, and Accountability. Standards formed the foundation of much education reform in the 1990s. Nearly all states undertook some type of reform effort that centered on setting academic standards (CCSSO 2000a). States have worked to define content and performance standards—what students should know and be able to do and how well they should perform to be proficient in particular subject areas. They also have revised statewide assessments and accountability systems to measure student progress toward these goals and to collect information to hold schools accountable for student performance (Goertz and Duffy 2001).

School Finance Reforms. Standards-based reform efforts are designed to "hold all parts of the educational system accountable for results" (U.S. Department of Education 1996b). Achieving results, however, depends in part on having appropriate financial resources and targeting them to obtain the greatest benefits. State efforts to reshape the education finance systems during the 1990s focused on defining adequacy and developing systems to ensure adequate funding for achieving high standards (Ladd and Hansen 1999). Other active areas of reform have focused on more general revenue reforms and special education financing reforms (Ladd and Hansen 1999; Odden 1994; Crampton and Whitney 1996b; Parrish et al. 1997).

Teacher Training and School Resources. Several state-level efforts attempt to increase student achievement by reorganizing teacher training and school resources. Many of these reform efforts have been reinforced by the National Education Goals and the overall movement toward increasing standards (National Education Goals Panel 2001). In particular, they have focused on early childhood education, improving the effectiveness of teachers, the resources available to students and teachers, and the academic climate of schools. Efforts to ensure that all students have high-quality teachers, for instance, have led a number of states to apply a standards-based reform model to the training and certification of teachers and have led some states to implement nontraditional certification programs (CCSSO 1998). In doing so, states intend to provide teachers with the skills necessary to enable their students to attain high academic standards and, especially in the case of the alternative certification model, intend to recruit candidates from outside the teaching profession who possess significant subject matter expertise into classrooms (Feistritzer 2002).

School Choice Options. A number of states adopted legislation during the 1990s designed to provide more parents with choice in the schools their children attend. Many states have enabled the creation of public school choice programs and charter schools (Ziebarth 2001), both of which are intended to increase the public school options available to parents. State policies may also provide public support for parents who send their children to private schools (U.S. Department of Education 2000d), and all states now permit homeschooling (Lines 2001).

Context for Reform: Increasing Enrollment and Growing Student Diversity

States pursued these various reform strategies during a period of rapid growth in enrollments. Public school enrollment in kindergarten through grade eight rose from 29.9 million students in fall 1990 to an estimated 33.5 million students in fall 2000 (Snyder and Hoffman 2001, p. 5). Enrollment in grades 9 through 12 rose from 11.3 million students in 1990 to 13.5 million students in 2000 (Snyder and Hoffman 2001, p. 5). The increase from 1990 to 2000 was most rapid in the elementary grades, but this pattern is expected to change. As current elementary school students progress through school, enrollments will increase at the secondary school level over the next decade. Between fall 2000 and fall 2010, public elementary school enrollment is expected to remain fairly stable, while public secondary school enrollment is expected to rise by 4 percent (Snyder and Hoffman 2001, p. 5). Public school enrollment is projected to set new records every year until 2005. The proportion of K–12 students in private

schools has changed little over the past 10 years, remaining around 11 percent of K–12 students, and private school enrollment is projected to remain around 6.0 million students between 2000 and 2010 (Snyder and Hoffman 2001, p. 5; Gerald and Hussar 2000, p. 3).

In addition to generally increasing enrollment, other changes in the school-age population took place during the 1990s. Slowly increasing numbers and proportions of students are being served in programs for the disabled. During the 1990–91 school year, 11 percent of K–12 students were served in these programs compared with 13 percent in 1998–99 (Snyder and Hoffman 2001, p. 41).

The racial and ethnic composition of children under the age of 18 has changed as well. The percentage of Hispanic children under age 18 nearly doubled over the past two decades, from 9 percent in 1980 to 16 percent in 1999 (Federal Interagency Forum on Child and Family Statistics 2000, p. 4). The percentage of children under age 18 who are Asian/Pacific Islander increased from 2 to 4 percent between 1980 and 1999, while the percentages of Black, non-Hispanic and American Indian/Alaska Native students have been fairly stable over the period (Federal Interagency Forum on Child and Family Statistics 2000, p. 4). Over the past two decades, the poverty rate for related children under age 18 has fluctuated: it reached a high of 22 percent in 1993 and has since decreased to 18 percent, a rate comparable to 1980 (Federal Interagency Forum on Child and Family Statistics 2000, p. 14). It is within the context of these enrollment and demographic changes that the state-level reform efforts discussed in this report were undertaken.

Purpose and Content of Report

This report documents the wide array of education reforms that took place at the state level from approximately 1990 to 2000. Thus, it inventories rather than evaluates state reforms. As with any attempt to report on these reform efforts, decisions had to be made regarding which of the many state-level education policy developments to include in the report. Regardless of the criteria used for inclusion, there are inevitably reform efforts that fall into a "gray area"—it is hard to determine whether they meet the criteria for inclusion or not. For example, such valuable topics around teacher training as incentives for National Board certification, teacher education program accountability, and professional development funding were considered but ultimately excluded. It is important to note that inclusion or exclusion from this report does not imply anything about the quality of the reform or the likelihood that the effort will achieve its intended effect.

In general, to be included in this report, a reform effort had to meet the following two criteria: 1) be an area of active state-level policy activity; and 2) have recent, comparable state-level data available.

Area of state-level policy activity. The report includes policy areas in which states were active during the 1990s, either enacting new legislation or policies or changing existing policies. This could include policies that a majority of states adopted during the 1990s or, in some instances, the policy could have been adopted by only a handful of states but have received considerable debate. Thus, the report discusses both statewide accountability systems, an area where nearly all states have been active in implementing reforms, and private school voucher programs, which have received considerable attention but have been adopted by comparatively few states.

Recent state-level data available. The report documents reforms where recent data have been collected on the particular reform area. When possible, data documenting changes made during the 1990s have been included in this report. However, in many sections of the report, the tables inventory policies in effect in the mid- or late-1990s, rather than the changes made during the 1990s. In addition, because observers continue to write about the reform efforts that occurred during the 1990s, there are some references to articles published in 2001 and 2002, although the focus of the report is on the 1990s and generally tables are limited to data from 2000 or earlier.

Although federal and state legislation and policy beyond March 2001 is not included in this report, subsequent editions of this volume will track developments into the 2000s and emerging issues not covered in this report.

Data are drawn from a variety of sources that provide state-level data and are not limited to NCES data sets. In fact, the majority of tables are drawn from reports published by a number of organizations, such as the Education Commission of the States (ECS), the Council of Chief State School Officers (CCSSO), and *Education Week*. Generally, we did not attempt to verify with states or other data sources the information collected and published by these organizations. Although the most recent data in this report generally are from 2000, these organizations and NCES have updated many of the data sources. Each table in this report indicates the original source of the information. Readers can contact these organizations or visit their web sites listed below to determine if more recent data are available.

Organization	Web site
Council of Chief State School Officers	*http://www.ccsso.org/*
Center for Special Education Finance	*http://csef.air.org/*
Education Commission of the States	*http://www.ecs.org/*
U.S. Department of Education	*http://www.ed.gov/*
Education Week	*http://www.edweek.com/*
Families and Work Institute	*http://www.familiesandwork.org*
National Association of State Directors of Teacher Education & Certification	*http://www.nasdtec.org/*
National Conference of State Legislatures	*http://www.ncsl.org/*
National Center for Education Statistics	*http://nces.ed.gov/*

These data were collected using many research methods, including a survey of a universe (such as state education agencies), or of a sample, and compilation of administrative records. In some cases, for example, tables from the *Education Week Quality Counts* surveys, the data were gathered through surveys on particular reform efforts filled out by state officials. In other cases, the data come from organizations that regularly review state policies and compile data on particular reforms. Readers should take special care when comparing data from different sources. Differences in procedures, timing, phrasing of questions, interviewer training, and so forth mean that the results from the different sources may not be strictly comparable.

In addition, these sources vary in how they present state data in tabular form. Some sources present all 50 states in their tables, whether or not each state had adopted a particular policy; others list only those states that had adopted the policy. Some organizations collect and report information for the District of Columbia; others do not. The tables in this report list the states that appear in the original source. Thus, not all tables contain all states. However, notes identifying missing states or the District of Columbia have been added to tables to assist the reader.

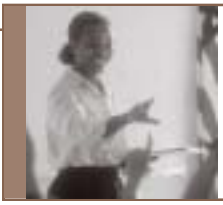
Similarly, many of the original tables use a check mark, X, or short phrase to indicate that a state had a particular policy, and a blank cell generally indicates that the state did not have the policy or requirement. When including these tables, we have again followed the format of the original table. Thus, a blank cell in the tables of this report indicates that information was not reported in the original source. In some cases, we modified the original tables by adding additional explanatory notes or only extracting the relevant portion of larger tables.

When interpreting the tables, it is important to keep in mind that, as with all data collection efforts, the data reported in these tables may contain errors. These errors may arise when respondents interpret questions differently, when respondents must estimate values, or in the processing of the data. In addition, the tables present data on state policies at a given point in time. States are constantly changing and implementing new education policies and the number of states that have adopted a particular policy may change rapidly. An organization, for example, may have collected data in the spring of 1999 and published a table based on the collection in fall 1999, with a

date given in the table as 1999. If a policy changed between spring and fall 1999, the new policy may not be reflected in the table, even though the date of the table is 1999.

It is also important to note that the reforms discussed are at different stages of implementation; some have been widely implemented by many states, others are only just beginning to be enacted. In cases where the states have had some experience putting these reforms into place, implementation issues commonly encountered are discussed in the report. In a few cases, the report provides specific examples of how a reform was enacted in a particular state.

The majority of the information compiled in this report was obtained from the web sites of the organizations that originally collected the data. In an effort to capture the reform activities of the 1990s, the tables in this report reflect the most current available information as of March 2001. The availability of this information over the Internet reflects a general trend in the way in which education data are collected and disseminated. As described in chapter 2 of this report, states are using the Internet as one of the primary ways to disseminate information about schools collected as part of accountability systems.



Chapter Two
Standards, Assessment, and Accountability

Introduction

Standards formed the foundation of much education reform in the 1990s. While the details vary considerably from state to state, almost all states have undertaken some type of reform effort that centers on setting academic standards. Efforts have also involved aligning assessments to standards and developing accountability systems based in part upon assessments (Linn 2001). This chapter describes four components of these standards-based reform efforts: content standards, performance standards, assessments, and accountability systems. *Content standards* define what students should know and be able to do, while *performance standards* indicate how well students must perform to be considered proficient in a particular subject area. Statewide *assessments* measure student progress toward attaining the goals defined by content and performance standards, and *accountability systems* are intended to collect the information necessary to hold schools responsible for the performance of students. This chapter defines each of these components of standards-based reform efforts and presents information on the number of states that adopted various reform measures.

Standards-based Education Reform

Content Standards

One of the first questions addressed in standards-based reform efforts is *What should all students know and be able to do?* Content standards attempt to answer this question by clearly defining the "the subject-specific knowledge and skills that schools are expected to teach and students are expected to learn" (Olson and Goldstein 1997). Content standards are intended to be challenging and to apply to all students, including, in many instances, students with disabilities and students with limited English proficiency (U.S. Department of Education 1996b).

Determining what students should know and be able to do in various discipline areas is a complex task that may involve teachers, parents, principals, elected officials, business leaders, scholars, community organizations, and education administrators, among others. Indeed, one of the goals of setting content standards has been to engage a diverse group of interested individuals and organizations in a dialogue about what schools should teach and what students should be expected to learn (U.S. Department of Education 1996b; McLaughlin, Shepard, and O'Day 1995). The way in which these groups are involved in the standards-setting process is one way states differ in their approach to creating content standards.

In an analysis of standards-based reform efforts during the early 1990s in nine states, Massell, Kirst, and Hoppe (1997) note that states such as California relied relatively heavily on education professionals in the early stages of creating standards, while other states, such as Kentucky, took a more populist approach, beginning with a survey of state residents. States also differed in the speed with which they created content standards and the scope of their overall reform efforts. According to these authors, Kentucky, Florida, and California created content standards and undertook major changes in related areas at the same time, such as restructuring their statewide student assessment systems. Other states, such as Connecticut and New Jersey, reportedly took a more incremental approach, taking more time to create standards documents and making gradual changes to their assessment systems.

Massell, Kirst, and Hoppe (1997) also found that deciding upon the appropriate level of detail was a particularly sensitive issue confronted by standard-setting efforts. States have sought to define content standards detailed

enough to provide guidance to teachers and administrators, but not so detailed as to overly restrict the discretion of local schools. While some states provide detailed standards at every grade level, others have created a set of standards that apply to a range of grades or to the entire K–12 system. Baker and Linn (1997) note that although some standards define a few "essential competencies," others include a wide range of knowledge and skills that students are expected to learn (pp. 1–8). They also point to differences in the degree to which content standards specify teaching strategies, the audience to which the standards are directed, and the degree to which the standards are subject to revision over time.

As an example, New Jersey's *Core Curriculum Content Standards* (New Jersey Department of Education 1996a) defined 56 standards across seven content areas.[1] In addition, the state set five "workplace readiness standards" which cut across all subject areas. In mathematics, for example, one content standard stated that "All students will develop an understanding of and will use measurement to describe and analyze phenomena" (Standard 4.9). New Jersey also included more detailed expectations of what students should know and be able to do in specific grades. These more specific expectations, called "cumulative progress indicators," were defined for grades 4, 8, and 12. Under the mathematics content standard listed above, one of the cumulative progress indicators stated that by the end of eighth grade, students will "convert measurement units from one form to another, and carry out calculations that involve various units of measurement." By the end of grade 12, students will "use techniques of algebra, geometry, and trigonometry to measure quantities indirectly" (Progress indicators 13 and 17, Standard 4.9).

The New Jersey *Core Curriculum Content Standards* also indicated that the content standards are "intended for virtually all students," including "students who are college-bound, career-bound, academically talented, those whose native language is not English, those with disabilities, students with learning deficits, and students from diverse socioeconomic (disadvantaged or advantaged) backgrounds" (New Jersey Department of Education 1996b). However, exceptions were made for children with severe cognitive disabilities.

Several states also have created content standards for career and vocational education. In Georgia, for example, the *Quality Core Curriculum* included Technology and Career Education standards (Georgia Department of Education 2000). In addition to a set of Common Core standards for all Technology/Career Education courses, a set of detailed expectations was listed for specific subject areas, ranging from Automotive Technology to Protective Services. For grades 9–12, for example, one of the standards in Protective Services required that a student "uses technology and mathematics to develop an understanding of investigative techniques, and applies them appropriate to a given situation through simulated learning experiences, work-based learning, and culminating activities" (Georgia Department of Education 2000; Standard 36).

Federal Support for Content Standards

Content standards also have been a major component of federal education legislation, which has sought to support state efforts in this area. The Goals 2000: Educate America Act, which became law in 1994 and was amended in 1996, was intended to support comprehensive and coordinated state and local reform efforts, including the development and implementation of content standards. Content standards were included in the 1994 reauthorization of the Elementary and Secondary Education Act (ESEA), known as the Improving America's Schools Act. Title I of the 1994 ESEA was designed to help states and localities provide supplemental services for low-achieving students in high-poverty schools and was the largest single source of federal aid to K–12 schools in the 1990s. Under earlier ESEA legislation, Title I services often were not integrated with other school programs and reform efforts (U.S. Department of Education 1996a). With the 1994 reauthorization, Title I required that the same state

[1] Some of New Jersey's standards have been revised (see New Jersey Department of Education 2002).

content standards be applied to students who receive Title I services as those required for all students in the state. Title I under the 1994 reauthorization also required states to develop challenging content standards in at least reading and mathematics.

Federal support for vocational education also included an emphasis on state content standards. In a shift from previous federal legislation, the 1990 Carl D. Perkins Vocational and Applied Technology Education Act (Perkins II) was designed to support efforts to integrate academic and vocational education and was targeted to all students (U.S. Department of Education 2000a). The Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III) and the School-to-Work Opportunities Act of 1994 share this goal of integrating academic and vocational education, and are intended to support state efforts to ensure that all students meet state content standards.

State Implementation Efforts

Since the early 1990s, nearly all states have undertaken efforts to develop content standards in various subject areas. In 2000, the Council of Chief State School Officers (CCSSO) found that 49 states had developed content standards in at least one academic subject (table 2.1). Between 1995 and 2000, the number of states that had developed English/language arts standards increased from 20 to 49 (CCSSO 2000a). CCSSO also found that the number of states that had developed mathematics standards grew from 25 to 49, science standards from 23 to 46 states, and from 20 to 46 states for social studies/history standards.

In their efforts, states have frequently drawn on the work of professional organizations that have developed content standards in specific subject areas. One of the first organizations to develop standards was the National Council of Teachers of Mathematics (NCTM), which released *Curriculum and Evaluation Standards for School Mathematics* in 1989 and was revised in 2000 as *Principles and Standards for School Mathematics* (NCTM 2000). The National Research Council's (1996) *National Science Education Standards* and the Center for Civic Education's (1994) *National Standards for Civics and Government* are among the standards developed by organizations that focus on specific disciplines.

Using criteria such as clarity, specificity, and consistency, several organizations have undertaken the task of analyzing and evaluating the content standards of states and those developed by professional organizations. The American Federation of Teachers (2001), the CCSSO (1997), and the Fordham Foundation (Finn and Petrilli 2000) are among the organizations that have analyzed content standards. In addition, the Mid-continent Regional Educational Laboratory (McREL) has examined technical issues involved with creating standards and maintains a database of content standards constructed from a wide range of standards documents (Kendall and Marzano 2000). Achieve, Inc., also maintains a database of state and international standards, and assists states in benchmarking their academic standards, assessments, and accountability policies against others in the nation and the world (Achieve 2002).

Performance Standards

While content standards specify what students should know and be able to do at a particular point in school, *performance standards* "define how students [can] demonstrate their proficiency in the skills and knowledge framed by states' content standards" (U.S. Department of Education 1996b). Performance standards indicate what a student must do and how well he or she must do it to demonstrate a particular level of proficiency in a given subject area.

In writing, for example, performance standards may describe specific expectations concerning vocabulary, sentence structure, organization, and use of relevant details to define "how good" a student's essay must be to

Table 2.1 Status of content standards in academic subjects, by state: 2000

State	Content standards complete	Content standards under development/revision
Alabama	M, E/LA, SSt, AR, FL, HE, PE, Computer App.	S
Alaska	M, S, E/LA, H, AR, FL, HE, Geog., Govt. & Citizenship	
Arizona (1994)	M, S, LA, SSt	AR, FL, HE
Arkansas	H/SSt, AR, FL, HE/PE; M, S, LA (1999)	M, E/LA (rev.)
California	M, S, E/LA, SSt	AR, FL, HE, PE
Colorado	M, S, H, LA, Geog., AR, FL, PE	
Connecticut	M, S, E/LA, SSt, AR, FL, HE, PE	
Delaware	M, S, E/LA, SSt, AR, FL	HE, PE
Florida	M, S, LA, SSt, AR, FL, HE/PE	
Georgia	M, S, E/LA, SSt (1999)	M, S, LA, SSt
Hawaii	M, S, E/LA, SSt, AR, FL, HE, PE	
Idaho	M, S, LA, SSt, HE (K–12)	Humanities (9-12)
Illinois (1998)	M, S, E/LA, SSt, AR, FL, HE, PE	
Indiana	M, E/LA, SSt (1999)	M, S, E/LA , SSt, AR, FL, PE
Iowa		
Kansas	M, S, LA, SSt, AR, HE, PE	
Kentucky	M, S, SSt, AR, Prac. Living (inc. HE, PE), Voc. Stud., Writ., Read.	
Louisiana	M, E/LA; S, SSt (1999)	S, SSt
Maine	M, S, E/LA, SSt, AR, FL, HE, PE	
Maryland	M, S, E/LA, SSt, AR, FL., HE, PE	
Massachusetts	H/SSt, AR, FL, HE, PE; M, S, E (1999)	M, S, E
Michigan	M, S, E/LA, SSt, AR, FL, HE, PE	
Minnesota	M, S, LA, SSt, AR, FL, HE, PE	
Mississippi	M, S, SSt, LA, AR, HE/PE	
Missouri	M, S, LA, SSt, AR, HE, PE	
Montana	M, S, E/LA, SSt, AR, FL, HE, PE	
Nebraska	M, S, SSt, Reading/Writ (1999)	M, S, E/LA, SSt
Nevada	M, S, E/LA, SSt, AR, FL, HE, PE, Comp. Sci & Tech.	
New Hampshire	M, S, E/LA, SSt	AR
New Jersey	M, S, LA, SSt	AR, HE, PE
New Mexico	M, S, LA, SSt, AR, FL, HE, PE	
New York (1996)	M/S, E/LA, SSt, HE/PE	
North Carolina	M, S, E/LA, FL, HE, PE, Voc & Tech ed.	SSt, AR (rev.)
North Dakota	M, S, E/LA, AR, HE, PE	SSt, FL
Ohio	M, S, LA, SSt, AR, FL	HE, PE
Oklahoma	M, S, SSt, AR, FL, HE, PE	
Oregon	M, S, E, H, AR, FL, Civ., Geog., Eco.	PE
Pennsylvania	M, E/LA	S, H/SSt, AR, FL, HE, PE
Rhode Island	M, S, E/LA, AR, HE	
South Carolina	M, S, E/LA, SSt, AR, HE, FL, PE	
South Dakota	M, S, E/LA, SSt, AR, FL, HE, PE	
Tennessee	M, S, E, SSt, AR, FL, HE,PE	
Texas	M, S, E/LA, SSt, AR, FL, HE, PE	
Utah	M, S, E, SSt, AR, FL, HE, PE	
Vermont	M/S, LA, AR, H/SSt	
Virginia	M, S, E, H/SSt, AR, FL	HE, PE
Washington (1998)	M, S, LA, SSt, AR, HE	
West Virginia	M, S, SSt, AR, FL, HE, PE	E/LA (rev.)
Wisconsin	M, S, E/LA. SSt, AR, FL, HE, PE	E/LA
Wyoming	M, S, E/LA, SSt, FL, HE, PE	AR, Career/Voc. Ed.

NOTE: M = Mathematics; S = Science; E = English; LA = Language Arts; H = History; SSt = Social Studies; AR = Arts, Visual & Performing, Fine Arts; FL = Foreign Language; HE = Health Education; PE = Physical Education. The District of Columbia was not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Council of Chief State School Officers, *Key State Education Policies on K–12 Education: 2000*, 2000.

demonstrate a particular level of proficiency. Performance standards may define two or more achievement levels, such as "partially proficient," "proficient," and "advanced," with descriptions and examples of what a student is expected to demonstrate for each level of proficiency (Hansche 1998). These levels of proficiency often correspond with a range of scores on a state assessment. Performance standards for math, for example, might define how well a student must know algebra and specify a range of scores on the relevant portion of the state assessment that will place a student in a particular achievement level. In the 1994 reauthorization of ESEA, states were required to have adopted content and performance standards in at least reading and mathematics, and the performance standards were to include at least three levels of proficiency.

Setting performance standards can be a challenging task for states to undertake. The Institute for the Study of Educational Policy (1997) notes that "setting performance standards means making judgments about what is acceptable student performance on a given test and determining the passing score on the test that corresponds to this judgment." This process may require, for example, a group of judges to estimate the likelihood of a student at each previously defined performance level (e.g., Basic, Proficient, and Advanced) correctly answering each item on the assessment and averaging the estimates across judges. Hambleton (1998) provides a description of the overall process of setting performance standards, including a discussion of specific methods (e.g., Angoff's method) and recent efforts to set standards for performance assessments.

Although terminology may differ somewhat across states, the basic relationship between content and performance standards is fairly consistent. Content standards are intended to set expectations for what students should know and be able to do in specific subject areas. Performance standards indicate how well students must perform to reach a given level of proficiency in the content area. Taken together, content and performance standards are designed to set clear, challenging academic expectations and goals. Measuring student progress toward attaining the goals defined by content and performance standards is therefore central to standards-based reform efforts.

Assessing Student Achievement

Educators assess, or measure, the academic performance of students for a variety of purposes. In the classroom, teachers may use assessments to monitor the progress of individual students, to diagnose and place students, and to evaluate and improve instructional practices. Teachers often use a wide variety of assessment formats, including multiple-choice, essay, short answer, laboratory assignments, and group projects to gain knowledge of students' level of understanding and skill in a particular subject. Most states also administer assessments to all students (or to a sample of students) in one or more grades to monitor the academic achievement of students at the school, district, and state level. It is these large-scale achievement tests, administered by the state and intended to measure student learning in particular subject areas, that have become a focal point in current reform efforts.

Historically, nearly all statewide achievement tests have been *standardized*, meaning that the administration of the exam (e.g., the instructions, time limits, and format) and the criteria used to score it are uniform across all students taking the exam, allowing comparisons to be made within a state and potentially across states (Office of Technology Assessment 1992). Assessments may differ, however, in a number of ways. The *content*, or the type of knowledge and skills the test is designed to measure, may differ across assessments. While some large-scale tests are designed to measure a set of basic skills or minimum competencies, others are intended to measure the degree to which students have attained higher levels of achievement. The *format* of assessments may also differ considerably. One of the primary differences is between selected response formats, in which a student picks from a list of possible answers (e.g., multiple-choice), and constructed responses, in which a student creates an answer or performs a task (e.g., writing an essay). Finally, an assessment may be norm-referenced or criterion-referenced. A student's performance on a norm-referenced assessment is compared to the results of other students, usually a nationally representative sample. In contrast, criterion-referenced assessments are intended to measure the degree to which a student

has achieved a set of established academic competencies. The results of a norm-referenced exam, therefore, indicate where a student stands relative to his or her peers, while the results of a criterion-referenced exam indicate where a student stands relative to specific skills that are intended to be taught as part of the curriculum (Bond 1996).

Norm-referenced standardized achievement tests have been a part of large-scale testing programs for many years (Bond, Roeber, Braskamp 1996). These tests allow states to compare the performance of a particular school or district to the performance of a nationally representative sample of students on the same assessment. During the late 1970s and early 1980s, another type of assessment, the minimum competency test, was a part of several state testing programs (Office of Technology Assessment 1992; Linn 2000). Although minimum competency tests also relied heavily on multiple-choice items, they differed from traditional norm-referenced achievement tests in that they were intended to measure a specific set of basic skills and knowledge in core academic areas that were deemed necessary to succeed in work or postsecondary education. Minimum competency tests are therefore considered criterion-referenced, because a student's performance is compared to a specific set of academic skills or competencies. In many states, students were required to achieve a passing score to be promoted to the next grade or to graduate from high school, although they were usually allowed to take the test over if they did not make the passing score (Office of Technology Assessment 1992).

The rise of standards-based reform efforts led some observers to question whether traditional achievement tests were adequate measures of students' progress toward attaining the goals defined in content and performance standards. In particular, traditional, norm-referenced achievement tests typically reflect broad definitions of what students should know in a particular subject area and thus may not be closely related to the specific content standards of a state. Furthermore, minimum competency exams were not intended to cover a wide range of subject areas and focused on measuring basic skills and knowledge. Thus, one concern has been the degree to which the subject matter covered in traditional achievement tests is related to the subject matter of a state's content standards (Massell, Kirst, Hoppe 1997; Linn and Herman 1997). A second concern has been whether traditional achievement tests measure the type of higher-order thinking that content standards are intended to foster (Noble and Smith 1994; Haertel 1999), although some observers note that the multiple-choice format favored in many traditional achievement tests can be designed to elicit higher-order thinking skills (Martinez 1999). These concerns have led states to re-evaluate their statewide testing systems and make changes intended to better align assessments with content and performance standards.

For example, states have taken steps to diversify their statewide testing programs. While states typically retain traditional norm-referenced achievement tests in their statewide systems because they indicate how well students are doing compared to a national average, states have made efforts to include more criterion-referenced assessments that are intended to mirror the material covered in the state's content standards. Reflecting the emphasis on alignment in standards-based reform, Title I of the 1994 reauthorization of ESEA required states to have assessments aligned with content and performance standards in at least reading and mathematics. Working with test publishers, some states have created assessments that include items from a norm-referenced test as well as items tailored to the state's content standards, while others administer criterion-referenced assessments in some grades and norm-referenced exams in others (Goertz and Duffy 2001). Aligning assessments with content standards, however, is a particularly challenging task, and researchers have identified several dimensions along which alignment can be evaluated. Webb (1999) defines four such dimensions: categorical concurrence, depth-of-knowledge consistency, range-of-knowledge correspondence, and balance of representation. To be aligned with one another, not only should the content categories of the assessment and standards be similar, but the depth and breadth of knowledge expected of students should be consistent, and the balance between depth and breadth should be similar (see also La Marca, Redfield, and Winter 2000).

A number of states have also diversified their testing programs by including more performance-based assessment items, such as short answers, essays, oral responses, open-ended tasks, demonstrations, experiments, group projects, and direct observations. Portfolios, which involve collecting and evaluating examples of a student's work over a period of time, are also an alternative to multiple-choice formats and have been incorporated in some statewide assessments. Kane et al. (1997) note that "in assessment reform theory, all performance assessments must require students to *structure* the assessment task, *apply* information, and *construct* responses, and in many cases, students must also be able to explain the processes by which they arrive at the answer" (emphasis in original). Proponents of performance assessments argue that asking students to conduct a scientific experiment or read historical documents and write an essay requires them to draw on their knowledge of the subject and to apply critical thinking and problem-solving skills to the task. This is not to suggest that performance assessments are the only or best way of measuring higher-order skills. There is considerable debate concerning the merits of different types of item format in large-scale testing programs. See Martinez (1999) for a discussion of research on the cognitive demands of different item formats.

Education Week conducted a survey of states that asked about the frequency and type of assessments they administer. As reported in *Education Week's Quality Counts 2001*, most states assessed students a number of times between first and twelfth grade, with 48 states having administered at least one exam in eighth grade and 43 states having done so in fourth grade (table 2.2). While English/language arts and mathematics were the most frequently tested subjects, many states also regularly assess student performance in history/social studies and science as well. Nearly all states included multiple-choice tests in their assessment programs, 38 states included short answer items, 46 used extended-response items in English exams, and 7 states used extended-response questions in assessments of other subjects (table 2.3). Two states, Kentucky and Vermont, used portfolios. Table 2.3 also highlights the efforts of states to align their criterion-referenced assessments to state standards at different school levels. Most states reported that English and mathematics assessments were aligned to state standards, and many also indicated that history/social studies and science assessments were aligned to standards. In addition to assessing student achievement at several points during elementary and secondary school, a number of states also required high school students to pass a graduation exit exam. Table 2.4, also based upon the *Education Week* survey, indicates graduation was contingent upon performance on statewide exit exams in 18 states, with 6 states planning to adopt similar measures over the next several years. In 15 states, students who fail the exams must receive remediation, and the state finances remediation in 9 of those states. The results of these assessments typically play a central role in state accountability systems.

Accountability

In general, accountability systems "collect, evaluate and use data about students and schools to hold educators and others responsible for results" (Education Commission of the States [ECS] 1998b, p.19). In *standards-based* accountability systems, the performance of students is evaluated against the expectations of student learning defined by content and performance standards. Districts and schools, in turn, are held accountable for the performance of students. Standards-based accountability systems, therefore, tend to focus on the outcomes of education—what students know and are able to do as a result of attending school.

Table 2.5, based on a review of state policies conducted by ECS, summarizes the indicators collected by states as part of their accountability systems in 1999. The most common information collected by states in 1999 included assessment scores (41 states), the dropout rate (33 states), student attendance (29 states), expenditures and use of resources (includes per-pupil expenditures; 27 states), and the graduation rate (18 states).

Table 2.2 Type of student assessments, by grade and academic subject, by state: 2000

State	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Grade 6	Grade 7	Grade 8	Grade 9	Grade 10	Grade 11	Grade 12
Number of states	1	7	34	43	33	31	26	48	21	34	29	3
Alabama			EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	EMHS [EMHS]	EMHS	
Alaska			EM	EM		EM	EM	EM		[EM]		
Arizona		EM	EM	EM	EM	EM	EM	EM	EM	EM [EM]	EM	
Arkansas				EM	EMHS	EM	EMHS	EM [M]		EMHS	[E]	
California		EM	EM	EM	EM	EM	EM	EM	EMHS	EMHS	EMHS	
Colorado			E	E	EM	E	E	EMS	E	EM		
Connecticut				EM		EM		EM		EMS		
Delaware			EM	HS	EM	HS		EMHS		[EM]	[HS]	
Florida			EM	EM	EM	EM	EM	EM	EM	[EM]	[EM][1]	
Georgia			EMHS	EM	EMHS	EM		EMHS			[EMHS]	
Hawaii			EM		EM			EM		EM		
Idaho			EMHS	EM	EMHS	EM	EMHS	EM	EMHS	EM	EM	
Illinois			EM	HS	EM		HS	EM			EMHS	
Indiana			EM			EM		EM		EM [EM]		
Iowa				EM				EMS			EMS	
Kansas				MS	E	H	MS	EH		MS	EH	
Kentucky			EM	ES	M H	EM	ES	M H	EM	E	MHS	E
Louisiana			EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	[EM]	[HS]	
Maine				EMHS				EMHS			EMHS	
Maryland		EM	EMHS	EM	EMHS	EM	[EM][1]	EMHS	[EMHS]			
Massachusetts			E	EM	HS	M	E	EMHS		[EM] HS		
Michigan				EM	EHS		E	EHS			EMHS	
Minnesota			EM		EM			[EM]		[E]		
Mississippi		EM	EM	EM	EM	EM	EM	EM	MS	E	[EM] H	
Missouri			ES	MH			ES	MH		MS	EH	
Montana				EMHS				EMHS			EMHS	
Nebraska				E				E			E	
Nevada			EM	EMS	EM			EMS		EMS	[EM]	
New Hampshire			EM			EMHS				EMHS		
New Jersey				EMS				EMS			[EM]	
New Mexico			EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	[EMHS]		
New York				EMS				EMHS	[EMHS]			
North Carolina			EM	EM	EM	EM	EM	[EM]	EMHS	EMS	MHS	S
North Dakota				EMHS		EMHS		EMHS		EMHS		
Ohio				EMHS		EMHS			[EMHS]			EMHS
Oklahoma			EM		EMHS			EMHS		[EH]		
Oregon			EM		EMS			EMS		EMS		
Pennsylvania					EM	E		EM	E		EM	
Rhode Island			E	EM			E	EM		EM	E	
South Carolina			EMS	EMS	EMS	EMS	EMS	EMS		[EM]		
South Dakota		EMHS		EMHS	E			EMHS	E		EMHS	
Tennessee			EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	[EM]		E	
Texas			EM	EM	EM	EM	EM	EMHS		[EM]		
Utah	EM	EM	EMHS	EMS	EMHS	EMS	EMS	EMHS	EMS	EMS	EMHS	
Vermont		E		EM	E			EM		EM		
Virginia			EMHS	EM	EMHS	EM		EMHS	[EMHS] EM			
Washington			EM	EM		EM	EM	S	EM	EMS		
West Virginia			EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	EMHS	
Wisconsin			E	EMHS				EMHS		EMHS		
Wyoming				EM				EM			EM	

[1]Exit exams in these grades are being phased out.

NOTE: E = English/language arts; M = Mathematics; H = History/social studies; S = Science; [ ] = Exit exam or end-of-course exam appears in the first grade in which it is offered. The District of Columbia was not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: *Education Week*, *Quality Counts 2001,* 2001.

Table 2.3 Use of test items and assessments aligned to state standards, by item type, subject, and school level, by state: 2000

State	Type of test items states use to measure student/school performance					Subjects in which the state uses criterion-referenced assessments aligned to state standards			
			Extended response						
	Multiple choice	Short answer	English	Other subject(s)	Portfolio	English	Mathematics	History/social studies	Science
Alabama	ES MS HS		ES MS			ES MS HS	HS	HS	HS
Alaska	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		
Arizona	ES MS HS	ES MS	ES MS HS			ES MS HS	ES MS HS		
Arkansas	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		
California	ES MS HS		ES MS			ES MS HS	ES MS HS	HS	HS
Colorado	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		MS
Connecticut	ES MS HS	ES MS HS	ES MS HS	HS		ES MS HS	ES MS HS	HS	HS
Delaware	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS	ES MS HS	ES MS HS
Florida	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		
Georgia	ES MS HS	ES MS	ES MS HS			ES MS HS	ES MS HS	HS	HS
Hawaii	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		
Idaho	ES MS HS	ES MS	ES MS HS			ES MS HS	ES MS		
Illinois	ES MS HS		ES MS HS			ES MS HS	ES MS HS	ES MS HS	ES MS HS
Indiana	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		
Iowa	ES MS HS								
Kansas	ES MS HS					ES MS HS	ES MS HS	MS HS	ES MS HS
Kentucky	ES MS HS	ES MS HS	ES MS HS	MS HS	ES MS HS	ES MS HS	ES MS HS	ES MS HS	ES MS HS
Louisiana	ES MS HS	ES MS HS	ES MS HS	MS		ES MS HS	ES MS HS	ES MS	ES MS
Maine	ES MS HS	ES MS HS	ES MS HS	MS HS		ES MS HS	ES MS HS	ES MS HS	ES MS HS
Maryland	ES MS HS	ES MS HS	ES MS HS	ES MS		ES MS HS	ES MS HS	ES MS HS	ES MS HS
Massachusetts	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS	ES MS HS	ES MS HS
Michigan	ES MS HS	ES MS HS	ES MS HS	ES MS HS		ES MS HS	ES HS	ES MS HS	ES MS HS
Minnesota	ES MS	ES MS	ES HS			ES	ES		
Mississippi	ES MS HS	ES MS	ES MS HS			ES MS HS	ES MS HS	HS	HS
Missouri	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS	ES MS HS	ES MS HS
Montana	ES MS HS								
Nebraska			ES MS HS			ES MS HS			
Nevada	ES MS HS	ES	ES MS HS			ES MS HS	ES HS		
New Hampshire	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS	MS HS	MS HS
New Jersey	ES MS HS	ES MS HS	ES MS HS			ES MS	ES MS		ES MS
New Mexico	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS	ES MS HS	ES MS HS
New York	ES MS HS	ES MS HS	ES MS HS	MS HS		ES MS HS	ES MS HS	MS HS	ES MS HS
North Carolina	ES MS HS	ES MS	ES MS HS			ES MS HS	ES MS HS	HS	HS
North Dakota	ES MS HS	ES							
Ohio	ES MS HS	ES MS	ES MS HS			ES MS HS	ES MS HS	ES MS HS	ES MS HS
Oklahoma	ES MS HS		ES MS			ES MS HS	ES MS	ES MS HS	ES MS
Oregon	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		ES MS HS
Pennsylvania	ES MS HS	ES MS HS	MS HS			ES MS HS	ES MS HS		
Rhode Island	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		
South Carolina	ES MS HS	ES MS	ES MS HS			ES MS	ES MS		ES MS

See footnotes at end of table.

Table 2.3 Use of test items and assessments aligned to state standards, by item type, subject, and school level, by state: 2000—Continued

State	Type of test items states use to measure student/school performance					Subjects in which the state uses criterion-referenced assessments aligned to state standards			
			Extended response						
	Multiple choice	Short answer	English	Other subject(s)	Portfolio	English	Mathematics	History/social studies	Science
South Dakota	ES MS HS		ES HS						
Tennessee	ES MS HS		ES MS HS			HS	HS		
Texas	ES MS HS	HS	ES MS HS			ES MS HS	ES MS HS	MS HS	MS HS
Utah	ES MS HS	MS HS	MS HS			ES MS HS	ES MS HS		ES MS HS
Vermont	ES MS HS	ES MS HS	ES MS HS		ES MS HS	ES MS HS	ES MS HS		
Virginia	ES MS HS		ES MS HS			ES MS HS	ES MS HS	ES MS HS	ES MS HS
Washington	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		MS HS
West Virginia	ES MS HS		ES MS HS						
Wisconsin	ES MS HS	ES MS HS	ES MS HS						
Wyoming	ES MS HS	ES MS HS	ES MS HS			ES MS HS	ES MS HS		

NOTE: ES = Elementary school level; MS = Middle school level; HS = High school level. The District of Columbia was not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: *Education Week*, *Quality Counts 2001,* 2001.

Table 2.4 Status of high school graduation exam policies and subjects covered, by state: 2000

State	High school graduation exams[1]	Students must pass tests covering 10th grade standards to graduate	Exit exam covers the following subjects				State requires that students who fail exit exams receive remediation	State finances remediation for students who fail exit exams	State has a limit on the number of times a student can retake exit exams	State releases a copy of the exit exam
			English	Mathematics	Social studies	Science				
Number of states	18	5	18	18	5	5	15	9	3	3
Alabama	x	x	x	x	Class of 2003	Class of 2002	x	x	x	
Alaska	Class of 2002	Class of 2002	Class of 2002	Class of 2002						
Arizona[2]	Class of 2002	Class of 2002	Class of 2002	Class of 2004						
Arkansas										
California	Class of 2004	Class of 2004	Class of 2004	Class of 2004						
Colorado										
Connecticut										
Delaware										
Florida	x	Class of 2003	x	x			x			
Georgia	x	x	x	x	x	x	x	x	x	
Hawaii										
Idaho										
Illinois										
Indiana	x		x	x			x	x		
Iowa										
Kansas										
Kentucky										
Louisiana	x	Class of 2003	x	x	x	x	x			
Maine										
Maryland	x	Class of 2007	x	x	Class of 2007	Class of 2007	x			
Massachusetts	Class of 2003	Class of 2003	Class of 2003	Class of 2003						
Michigan										
Minnesota	x		x	x			x			
Mississippi	x	Class of 2003	x	x	Class of 2003	Class of 2005				
Missouri										
Montana										
Nebraska										
Nevada	x	x	x	x			x	x		
New Hampshire										
New Jersey	x	Class of 2003	x	x	Class of 2006	Class of 2004	x			
New Mexico	x	x	x	x	x	x				
New York	x	x	x	x	x	x	x	x		x
North Carolina	x	Class of 2003	x	x			x			
North Dakota										
Ohio	x	Class of 2005	x	x	x	x	x	x		x
Oklahoma										
Oregon										
Pennsylvania										
Rhode Island										

See footnotes at end of table.

Table 2.4. Status of high school graduation exam policies and subjects covered, by state: 2000—Continued

State	High school graduation exams[1]	Students must pass tests covering 10th grade standards to graduate	Exit exam covers the following subjects				State requires that students who fail exit exams receive remediation	State finances remediation for students who fail exit exams	State has a limit on the number of times a student can retake exit exams	State releases a copy of the exit exam
			English	Mathematics	Social studies	Science				
South Carolina	x	Class of 2005	x	x	Class of 2007	Class of 2006	x	x	x	
South Dakota										
Tennessee	x	Class of 2005	x	x		Class of 2005				
Texas	x	Class of 2005	x	x	Class of 2005	Class of 2005	x	x		x
Utah	Class of 2005		Class of 2005	Class of 2005						
Vermont										
Virginia	x	Class of 2004	x	x	Class of 2004	Class of 2004	x	x		
Washington	Class of 2008	Class of 2008	Class of 2008	Class of 2008		Class of 2008				
West Virginia										
Wisconsin										
Wyoming										

[1]Graduation is contingent upon performance on statewide exit exams.

[2]Arizona is considering delaying its graduation exam requirement.

NOTE: An "X" indicates the policy was in effect at the time data for this table was collected by the original source; otherwise, the first high school class to whom the policy was expected to apply at the time of data collection is given. Only states with a policy at the time of data collection were counted in the "total" row. The District of Columbia was not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: *Education Week*, *Quality Counts 2001*, 2001.

Table 2.5 Information collected, by states and selected student, professional staff, and program indicators: 1999

	Total states	AK	AL	AR	AZ	CA	CO	CT	DE	FL	GA	HI	IA	ID	IL	IN	KS	KY	LA	MA	MD	ME	MI	MN	MO
Student indicators:																									
Assessment scores	41	x	x	x	x	x	x	x	x	x	x	x			x	x	x	x	x	x	x	x	x		x
ACT and/or SAT scores	12					x		x							x	x			x						
AP courses: Offered	4					x										x									
AP courses: Scores	3																								
Attendance	29	x	x	x				x	x						x	x	x	x	x	x	x	x			x
Class size	11							x							x	x			x	x					
Demographics	14							x	x		x	x		x		x	x		x						
Discipline	10			x		x			x	x				x		x	x								
Diversity	8				x	x		x			x														
Dropout rate	33	x	x	x	x	x		x		x	x			x	x		x	x	x	x	x	x			x
Enrollment	16	x				x		x			x									x		x			x
Expulsion rate	11									x						x	x		x	x		x			
Graduation rate	18	x	x		x						x				x	x	x		x						
Retention rate	8	x		x														x					x		
Student/administrator ratio	4								x						x										x
Student/teacher ratio	14							x	x						x				x	x					x
Suspension rate	12									x						x	x		x	x					
Transition	16		x	x	x	x		x			x					x		x							x
Truancy	6								x						x					x					
Professional staff indicators:																									
Attendance	5							x											x						
Diversity	3																			x		x			
Evaluation	3					x								x						x					
Experience	7							x														x			x
Leadership	2					x								x											
Preparation	5																					x			x
Reduction of class size & teaching load	2					x								x											
Salary levels	4														x							x			
Staff development	6					x								x			x								x
Working in area of certification	4					x								x					x						
Program indicators:																									
Curriculum	9					x			x					x					x	x			x		
Learning climate	2					x											x								
Mission and/or goals statement	6								x					x											
Parental and/or community involvement	12	x							x						x		x						x		x
Expenditures and use of resources	27			x		x		x	x		x	x		x	x		x		x	x					x

See footnotes at end of table.

Table 2.5 Information collected, by states and selected student, professional staff, and program indicators: 1999—Continued

	MS	MT	NC	ND	NE	NH	NJ	NM	NY	NV	OH	OK	OR	PA	RI	SC	SD	TN	TX	UT	VA	VT	WA	WI	WV	WY
Student indicators:																										
Assessment scores			x	x		x	x	x	x	x	x	x	x	x	x	x		x	x	x	x	x	x	x		
ACT and/or SAT scores				x			x	x						x					x	x		x				
AP courses: Offered								x													x					
AP courses: Scores																				x		x		x		
Attendance			x	x		x	x			x	x	x			x			x	x	x	x	x	x	x		
Class size						x	x			x												x	x		x	
Demographics			x								x		x		x				x			x	x			
Discipline										x	x	x														
Diversity			x	x																x	x					
Dropout rate						x	x	x		x	x	x	x	x		x		x	x	x	x	x	x	x		
Enrollment				x			x	x	x		x									x		x	x		x	
Expulsion rate						x				x	x												x	x		
Graduation rate				x		x	x		x		x	x	x						x				x	x		
Retention rate											x											x	x	x		
Student/administrator ratio																									x	
Student/teacher ratio				x			x			x	x								x	x		x			x	
Suspension rate						x				x	x	x			x								x	x		
Transition				x			x	x	x			x												x	x	
Truancy						x				x														x		
Professional staff indicators:																										
Attendance						x	x								x											
Diversity													x													
Evaluation																										
Experience				x									x							x					x	
Leadership																										
Preparation				x					x	x																
Reduction of class size & teaching load																										
Salary levels			x	x																						
Staff development				x					x																	
Working in area of certification						x																				
Program indicators:																										
Curriculum				x		x				x																
Learning climate																										
Mission and/or goals statement						x		x							x								x			
Parental and/or community involvement						x		x		x		x			x											
Expenditures and use of resources			x	x		x	x	x	x	x	x		x						x	x		x	x	x	x	

NOTE: Texas data were revised. The District of Columbia was not reported in the original source. "X" indicates that an affirmative response for that state was reported in the original source while a blank cell indicates that an affirmative response for that state was not reported.

SOURCE: Education Commission of the States, *ECS StateNotes: Accountability Indicators/Measures*, January 1999.

States, districts, and schools use the information collected in standards-based accountability systems for a variety of purposes. ECS (1998a) notes that standards-based accountability systems can be used for the following purposes:

- to monitor, evaluate and publicly report the progress of students, schools and districts toward achievement of content standards and other established goals;
- to provide information for policy decisions;
- to provide information for program improvement;
- to evaluate the performance of the education system relative to other systems;
- to hold schools and/or districts accountable;
- to allocate resources;
- to certify or promote students;
- to improve individual student performance;
- to select or place students; and
- to plan staff development (pp. 10–11).

One of the more common ways states accomplish the first purpose, which includes monitoring and publicly reporting the progress of students and schools, is with institutional report cards. Institutional report cards generally are issued annually and may be issued at the state, district and/or school level. Several states also are making report cards available over the Internet. In 2000, the Council of Chief State School Officers (CCSSO) collected information on the type of reporting conducted by each state. Table 2.6 indicates the title of various annual reports and the level of reporting. All state education agencies reported having at least one annual accountability or indicator report as of September 2000; 46 states issued at least one report providing statistics at the district level, and 40 states and the District of Columbia did so at the school level (CCSSO 2000b).

ECS suggests that a complete standards-based accountability system includes rewards and sanctions to encourage school improvement. School and district report cards or annual reports may in themselves act as incentives by making performance data public and easily accessible. In addition, some states may publish a list of high- and/or low-performing schools or offer a symbol of high performance, such as schoolyard flags or trophies (Elmore, Abelmann, and Fuhrman 1996). Standards-based accountability systems may also offer financial rewards to high-performing schools or, in the case of low-performing schools, allow for administrative takeovers. Table 2.7, drawn from a review of state policies conducted by ECS in 2000, indicates that 38 states (including Alaska) had adopted at least one of the four sanction/reward policies, and 3 states (not including Kentucky) had all four policies in place. More states had policies to sanction districts (29 states) or schools (32 states) than had policies to reward districts (8 states) or schools (20 states) on the basis of performance (ECS 2000).

Table 2.8, also from the ECS study, indicates that 15 states based rewards on both absolute performance (e.g., average school score compared to state standards) and improved performance (e.g., gains made from one year to the next), while 4 states based rewards on improved performance only and 1 state based them on absolute performance only (Ziebarth 2000a). In 16 states, high-performance schools could receive monetary rewards, and in 11 of these states, schools were permitted to use rewards for bonuses.

Table 2.9 summarizes state policies related to assistance and sanctions for low-performing schools. A majority of the 32 states that sanction schools based on performance provided some form of assistance to low-performing schools, including technical assistance, additional funding, or the creation of a school-improvement plan.

Table 2.6 Title of annual accountability report, by level of statistics and state: 2000

State current reports (annual)	Level of statistics reported
Alabama	
Alabama State Education Report Card	school, district, state
State Superintendent's Report Card	school, school system, state
Alaska	
1998-99 Summary of Alaska's Public School Districts' Report Cards to the Public	district, state
Arizona	
School Report Cards	school
Arkansas	
School Performance Report	school, district, state
California	
School Accountability Report Card	school
California School Profiles	school, district, county, state
Colorado	
CDE Student Assessment Index	school, district, state
Connecticut	
Connecticut Strategic School Profiles	school, district
Profiles of Our Schools, Condition of Education in Connecticut, 1997-98	school, district, state
CT Mastery Test	school, district, state
CT Academic Performance Test	student, school, district, state
Delaware	
Fingertip Facts on Education in Delaware	district, state
School Profiles	school, district, state
District of Columbia	
1999 Stanford Achievement Scores	school
Florida	
Florida School Indicators Report	school, district, state
School Public Accountability Reports (produced by districts)	school, district
School Advisory Council Reports	school, district, state
Georgia	
Georgia Public Education Report Card	school, district, state
Hawaii	
School Status and Improvement Report	school
Superintendent's Annual Report on School Performance and Improvement	district, state
Idaho	
Idaho School Profiles	district, state
Annual Statistical Report	district, state groups[1]
Illinois	
School Report Card	school, district, state
State Assessment Summary for the Illinois State Board	state
ISAT Summary of Student Achievement in Illinois	state, district
Indiana	
Annual Financial Report	school
Annual Performance Reports	school
Iowa	
Annual Condition of Education Report	state
Kansas	
Kansas School Building Report Card	school, state
Assessment Results	state
Kansas State Board of Education, Accountability Report	state

See footnotes at end of table.

Table 2.6 Title of annual accountability report, by level of statistics and state: 2000—Continued

State current reports (annual)	Level of statistics reported
Kentucky	
District and School Report Card	school, district
Interim Accountability Results for Schools and Districts	school, district, state
Louisiana	
Progress Profiles State Report	district, state
Progress Profiles District Composite Reports	school, district, state
Progress Profiles School Report Cards	school, district, state
Maine	
Maine Educational Assessment Scores	district, state
Maryland	
Maryland School Performance Report, 1999 and 2000	school, district, state
Massachusetts	
Spring 1998 Iowa Tests of Basic Skills Grade 3 Reading Test	district
Massachusetts School and District Profiles	district
Michigan	
Michigan School Report, 2000	school, district, state
Bulletin 1014: Michigan Public Schools Ranked by Selected Financial Data	district, state
Michigan Educational Assessment Program	school, district, state
Minnesota	
Minnesota Comprehensive Assessment Results	school, district, state
1999 Minnesota Education Yearbook	state
School District Profiles	district
Mississippi	
Annual Report of the State Superintendent of Public Education	district, state
Mississippi Report Card	school, district, state
Missouri	
School Improvement Planning and District Profiles	district
Annual Reporting of School Data	district
Profiles of Missouri Public Schools	district, state
Report of the Public Schools of Missouri	district, state
Montana	
Montana Public School Enrollment Data	school
Montana Statewide Education Profile	school, district, state
Montana Statewide Summary, Student Assessment	state
Nebraska	
Statistics and Facts About Nebraska Schools	school, district
Nevada	
Analysis of Nevada School Accountability System	school
Results of State Wide Terra Nova Testing	school, district, state
New Hampshire	
Statistical Report	district, county, state
New Jersey	
School Report Card	school, district, DFG[2], state
New Jersey Statewide Assessment Reports	school, district, state
New Mexico	
Accountability Report	district, state
Statewide Articulated Assessment System	state
New York	
Public School Report Card	school, district, state
Annual Report to Governor & Legislature	district, state

See footnotes at end of table.

Table 2.6 Title of annual accountability report, by level of statistics and state: 2000—Continued

State current reports (annual)	Level of statistics reported
North Carolina	
State of the State	state
Report Card for ABCs of Public Education	school, district, state
Statistical Profile	district, state
North Dakota	
School Finance Facts	district, state
School District Profiles	district
Ohio	
Local Report Card	school, district, state
EIMS Ohio School Districts Proficiency Test Data	district
Oklahoma	
Profiles 1999 District Report	district
Profiles 1999 State Report	state
Oregon	
Oregon Report Card	state
Statewide Assessment Results	school, district, state
Pennsylvania	
School Profiles	school, district, state
School-By-School Results (scaled scores and score groups)	school
Status Report on Education in Pennsylvania—A Statistical Summary	state
Rhode Island	
Information Works! Measuring Schools for Change 2000	school, district, state
South Carolina	
South Carolina Education Profiles	school, district, county, state
Performance Profiles (Web Version Only)	school, district, state
What is the Penny Buying for South Carolina?	state
Data Update (Cognitive Skills Assessment Battery)	district, state
Palmetto Achievement Challenge Test	school, district, state
Statewide Results (Terra Nova)	state
South Dakota	
Education in South Dakota: A Statistical Profile	school, district, state
District Profiles	school, district
Annual Report of Academic Progress	district, state
Tennessee	
Report Card	school, district, state
Annual Statistical Reports	district, state
Texas	
1999-2000 Academic Excellence Indicator System (AEIS reports)	school, district, region, state
Texas Accountability Rating System Lists	school, district, region, state
1999 Interim Report on Texas Public Schools	state
Four Year Ratings Table (Trends)	state
Snapshot '99	district, state
Utah	
Superintendent's Annual Statistical and Financial Report	school, district, state
Utah Quality Indicators	school, district, state
Core Curriculum Assessment Program	school, district, state
Vermont	
Summary of the Annual Statistical Report	state, district, supervisory union
School Report	school, district, state
School Improvement Support Guide	student, school

See footnotes at end of table.

Table 2.6 Title of annual accountability report, by level of statistics and state: 2000—Continued

State current reports (annual)	Level of statistics reported
Virginia	
Virginia Department of Education Annual School Report Statistical Summary	division, school
School Performance Report Cards	school, district, state
Virginia State Assessment Program: 1998 Detail Report	district, state
Washington	
State Assessment Results	building, district, state
Washington Assessment of Student Learning	school, district, state
West Virginia	
West Virginia Report Cards	school, district, state
School District Approval Status and School Accreditation Status	school, county, district
County by County Summary	county, state
Wisconsin	
School Performance Report	school, district, state
Wisconsin Reading Comprehension Test Results	school
Wyoming	
Evaluation Report	school, district, state
Statistical Series I,II,III	school, district, state
Various District Reports	district
Statewide Articulated Assessment System	state

[1]Statistics are reported for school district groups according to student membership size.
See *http://www.sde.state.id.us/Finance/PUB/AnnualStatRpt00-01.pdf.*

[2]The district factor grouping system (DFG) provides a means of ranking school districts in New Jersey by their socioeconomic status.
See *http://www.state.nj.us/njded/schools/dfgdesc.doc.*

SOURCE: Council of Chief State School Officers, *State Education Accountability Reports and Indicator Reports: Status of Reports Across the States 2000,* 2000.

Table 2.7 Rewards and sanctions for districts and schools, by state: 2000

State	State rewards districts on the basis of performance	State rewards schools on the basis of performance	State sanctions districts on the basis of performance	State sanctions schools on the basis of performance
Alabama	No	Yes	Yes	Yes
Alaska	No	No	No	Yes[1]
Arizona	No	No	No	No
Arkansas	No	Yes	Yes	Yes
California	No	Yes	Yes	Yes
Colorado	No	Yes	Yes	Yes
Connecticut	Yes	No	Yes	Yes
Delaware	Yes	Yes	Yes	Yes
Florida	No	Yes	Yes	Yes
Georgia	Yes	Yes	No	Yes
Hawaii	No	No	No	No
Idaho	No	No	No	No
Illinois	No	Yes	Yes	Yes
Indiana	No	Yes	Yes	Yes
Iowa	No	No	Yes	No
Kansas	No	Yes	Yes	Yes
Kentucky	No[2]	Yes	No[2]	Yes
Louisiana	No	Yes	No	Yes
Maine	No	No	No	No
Maryland	No	Yes	Yes	Yes
Massachusetts	No	No	Yes	Yes
Michigan	No	No	Yes	Yes
Minnesota	No	No	No	No
Mississippi[3]	Yes	No	Yes	No
Missouri	No	No	Yes	Yes
Montana	No	No	No	No
Nebraska	Yes	No	No	No
Nevada	No	Yes	No	Yes
New Hampshire	No	No	No	No
New Jersey	Yes	No	Yes	No
New Mexico	No	Yes	Yes	Yes
New York	No	No	Yes	Yes
North Carolina	No	Yes	Yes	Yes
North Dakota	No	No	No	No
Ohio	No	No	Yes	No
Oklahoma	Yes	Yes	Yes	Yes
Oregon	No	No	No	Yes
Pennsylvania	No	Yes	Yes	No
Rhode Island	No	No	Yes	Yes
South Carolina	No	Yes	Yes	Yes
South Dakota	No	No	No	No
Tennessee	No	No	Yes	Yes
Texas	Yes	Yes	Yes	Yes
Utah	No	No	No	No
Vermont	No	No	No	Yes
Virginia	No	No	No	Yes
Washington	No	No	No	No
West Virginia	No	No	Yes	Yes
Wisconsin	No	No	No	No
Wyoming	No	No	Yes	Yes

[1]Alaska is or was to begin sanctioning schools on the basis of performance in August 2002, according to the source.

[2]Until recently, Kentucky rewarded school districts based on performance. At the time information was originally collected for this table, the Kentucky Department of Education was revising the performance-based system of rewards for school districts. During this period, Kentucky did not provide rewards to school districts based on performance.

[3]Mississippi is in the process of substantially revising its accountability system, and is moving toward a system of rewards and sanctions for schools based on performance on criterion-referenced assessments.

NOTE: The District of Columbia was not reported in the original source.

SOURCE: Education Commission of the States, *Clearinghouse Notes: Rewards and Sanctions for Districts and Schools: August 2000*, 2000.

Table 2.8 Basis for school rewards and types and recipients of rewards offered among states that provide awards: 2000

State	Basis of rewards: Absolute performance, improved performance, or both	Types of rewards: Monetary rewards, non-monetary rewards, or both	Recipients: School, or individual teachers	Bonuses
Alabama	Both	Monetary	School	No
Arkansas	Both	Both	School	Yes
California	Both	Both	School	Yes
Colorado	Both	Monetary	School	Yes
Delaware	Both	Both	School	Yes
Florida	Both	Both	School	Yes
Georgia	Both	Both	School	Yes
Illinois	Both	Non-monetary	—	—
Indiana	Improved performance	Both	School	No
Kansas	Both	Non-monetary	—	—
Kentucky	Both	Both	School	Yes
Louisiana	Both	Both	School	No
Maryland	Improved performance	Monetary	School	No
Nevada	Absolute performance	Non-monetary	—	—
New Mexico	Improved performance	Monetary	School	No
North Carolina	Improved performance	Monetary	Teachers	Yes
Oklahoma	Both	Non-monetary	—	—
Pennsylvania	Both	Monetary	School	Yes
South Carolina	Both	Both	School	Yes
Texas	Both	Both	School	Yes

— Not applicable.

NOTE: The District of Columbia was not reported in the original source. States not listed did not reward schools on the basis of performance in 2000 according to original source.

SOURCE: Education Commission of the States, *Clearinghouse Notes: Rewards and Sanctions for Districts and Schools: August 2000*, 2000.

Table 2.9 Types of sanctions and assistance for states with policies regarding school sanctions, by state: 2000

	Sanctions							Assistance			
	Written warning	Place on probation	Remove accreditation	Withhold funding	Reconstitute school	Close school	Take over school	Technical assistance	More funding	Improvement plan by school	Improvement plan by other entity
Alabama	No	No	No	No	No	No	Yes	Yes	No	Yes	Yes
Alaska	No	No	No	No	No	No	No	No	No	Yes	No
Arkansas	Yes	No	No	No	Yes	Yes	Yes	Yes	No	Yes	Yes
California	No	No	No	No	Yes	Yes	Yes	Yes	Yes	Yes	No
Colorado	No	Yes	Yes	No	Yes	No	Yes	Yes	No	Yes	Yes
Connecticut	No	No	No	No	Yes	Yes	No	Yes	No	Yes	No
Delaware	No	No	Yes	No	No	No	No	Yes	No	Yes	Yes
Florida	No	No	No	Yes	Yes	No	No	Yes	No	Yes	Yes
Georgia	No	No	No	No	Yes	No	Yes	Yes	No	Yes	Yes
Illinois[1]	No	No	No	No	Yes	No	Yes	No	No	Yes	No
Indiana	No	Yes	No	No	No	No	No	Yes	Yes	Yes	Yes
Kansas	Yes	No	Yes	Yes	Yes	No	No	No	No	Yes	No
Kentucky	No	No	No	No	No	No	No	Yes	Yes	Yes	No
Louisiana	No	No	Yes	Yes	Yes	No	No	Yes	No	Yes	Yes
Maryland	No	Yes	No	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Massachusetts	No	Yes	No	No	Yes	No	No	No	No	Yes	Yes
Michigan	No	No	Yes	No	No	Yes	No	Yes	No	No	No
Missouri	No	Yes	No	No	Yes	No	No	No	Yes	No	Yes
Nevada	Yes	Yes	No	No	No	No	Yes	No	No	Yes	Yes
New Mexico	Yes	Yes	Yes	No	No	No	Yes	Yes	No	Yes	No
New York[2]	Yes	Yes	Yes	No	Yes	Yes	No	Yes	No	Yes	Yes
North Carolina	No	No	No	No	Yes	No	Yes	Yes	No	No	Yes
Oklahoma	No	No	Yes	No	Yes	Yes	Yes	Yes	No	No	No
Oregon	No	No	No	No	No	No	No	Yes	No	Yes	No
Rhode Island	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
South Carolina	No	No	No	No	Yes	No	Yes	Yes	Yes	Yes	Yes
Tennessee	No	Yes	No	No	No	No	No	No	No	No	Yes
Texas	No	No	No	No	Yes	Yes	Yes	No	No	Yes	No
Vermont	No	Yes	Yes	No	Yes	Yes	Yes	Yes	No	Yes	No
Virginia	No	No	Yes	No	No	No	No	Yes	No	Yes	No
West Virginia	No	No	Yes	No	No	No	No	Yes	No	Yes	Yes
Wyoming	No	No	Yes	No	No	No	No	Yes	No	Yes	No

[1]Illinois has enacted legislation that allows the Chicago Public Schools to sanction its low-performing schools. The school district provides technical assistance to its low-performing schools, requires low-performing schools to create and implement an improvement plan, and requires another entity, such as the school district, to create an improvement plan for low-performing schools. In addition, the school district has the authority to place a low-performing school on probation, reconstitute a low-performing school, and close a low-performing school.

[2]New York has enacted legislation that allows the chancellor of the New York City Public Schools to sanction schools in the school district on the basis of performance. The chancellor may require that a low-performing school create and implement an improvement plan, may create an improvement plan for a low-performing school, and has the authority to take over a low-performing school.

NOTE: The District of Columbia was not reported in the original source. States not listed did not sanction schools on the basis of performance in 2000 according to original source.

SOURCE: Education Commission of the States, *Clearinghouse Notes: Rewards and Sanctions for Districts and Schools: August 2000*, 2000.

Ten states had the authority to close and 15 states had the authority to take over a low-performing school (Ziebarth 2000a).[2]

Policy Issues in the Implementation of Accountability Systems

Central to standards-based accountability systems is the academic achievement of students as measured by state assessments. Under the rewards and sanctions provisions of accountability systems, schools or districts, for example, may be ranked or sorted into performance categories based on test scores. In some states, schools with high scores may receive cash rewards while schools with low scores run the risk of administrative takeover. The emphasis placed on comparing schools or districts based on assessment scores raises several issues about how assessment scores are used and interpreted in accountability systems.

Whether or not to include the test scores of students with disabilities and limited English proficiency (LEP) in accountability systems is one issue states face in designing statewide assessment and accountability systems. Because content and performance standards are intended to apply to all students, it follows that the progress of all students toward meeting the academic goals should be measured and reported. In addition, Title I of the 1994 reauthorization of ESEA required that state assessment systems assess all students, with reasonable accommodations or adaptations for students with diverse learning needs and those with limited English proficiency.

Generally, accommodations are provided to help ensure that the student has a fair opportunity to demonstrate her or his knowledge in a specific content area. For example, if the intent of an item is to measure math skills but it includes a substantial amount of text, then having it read aloud to students with reading disabilities may result in a more accurate measure of math skills. If, however, reading the item aloud provides an advantage on the item compared to those who did not have the item read to them, then the accuracy of the test may be undermined (see Thurlow and Bolt 2001 for a discussion of this and other accommodations often allowed by states). A Department of Education report on the progress of states meeting Title I requirements found that few states met the inclusion requirements when their assessment plans were first submitted, and that as of January 2001, 13 states had not met requirements for including LEP students in their assessment and accountability systems, and 10 states had not met the requirement for students with disabilities (U.S. Department of Education 2001).

Another issue concerns the precision of test scores. Mean test scores for a given grade level or school reflect both true student performance and a certain amount of random variation. Kane and Staiger (2001), for example, note that small sizes (e.g., an elementary school with 60 students per grade level) and one-time factors (e.g., a disruptive student or unusual noises on the day of the test) can have appreciable effects on the precision of test scores. Moreover, because "difference scores tend to be less reliable than the scores used to compute differences" (Linn and Haug 2002, p. 2), apparent increases (or decreases) in mean scores for a grade, school, or district may not reflect real change in student performance. Because states intend to hold schools accountable for student performance, one issue states face is how to handle the level of uncertainty that accompanies assessment scores. One approach states can take is to improve the precision of mean score estimates by combining assessment results across grades or years, thereby increasing the number of students upon which the estimate is based (Linn and Haug 2002). At the same time, federal legislation and state policies require that assessment results be broken out by certain student characteristics, such as disability and poverty status. Average scores for subgroups may be based on a comparatively few students, which may in turn decrease the accuracy of the estimate. States can also include information on the accuracy of test scores when reporting mean test scores, as Kentucky has done by including standard errors of mean test scores on certain assessment reports (Kentucky Department of Education 2001).

[2] Additional information on state assessments and accountability systems is available from the Consortium for Policy Research in Education (CPRE), which has developed an extensive profile of the assessment and accountability systems in each state (CPRE 2000).

Another policy issue states face when designing accountability systems is whether schools will be evaluated based on absolute assessment scores (e.g., the percentage of students defined as "proficient") or on score gains (e.g., the change in the percentage of students defined as "proficient" from one year to the next) (ECS 1998a). Comparing schools on the basis of absolute test scores is an intuitive way of indicating which schools are meeting the high standards. However, because research has consistently found that academic achievement is related to the socioeconomic composition of students in a school (see, e.g., Clotfelter and Ladd 1996), comparing schools on the basis of absolute scores will often result in a ranking that is strongly related to the socioeconomic status of students in the school. Some accountability systems address the relationship between socioeconomic status and measured achievement by comparing schools with similar demographic characteristics. For example, several categories might be created based on the percentage of students in a school eligible for the federal free or reduced-price lunch program. Schools would then be compared only to other schools with similar concentrations of students from low-income families.

An alternative approach centers on gain scores, which indicate the amount of change in achievement scores from one time period to the next. For example, fifth-grade mathematics scores from one year might be compared to the fifth-grade scores of the previous year. Alternatively, fifth-grade scores of one group of students might be compared to the fourth-grade scores of that same group of students. If gain scores are used in an accountability system, a school with low average assessment scores may still rank high or be compared favorably to other schools if student performance improves over time by an amount deemed significant. Conversely, schools that historically have had high average scores might not fare well if there is little improvement in the scores from one year to the next.[3] As previously mentioned, however, there are concerns about the reliability of gain scores, which serves to highlight the fact that devising a fair and accurate standards-based accountability system is a challenging task.

Table 2.10, based on the survey conducted by *Education Week*, indicates that among the 27 states that used student test scores in rating schools, several used both absolute and gain scores in setting the performance cutoff for low-performing schools. While 6 states compared schools with each other, 19 compared schools to specific standards or cutoffs, and 18 compared the gain schools made from one year to the next. North Carolina used all three comparisons, while Colorado had plans to do so at the time when the survey was conducted. Table 2.10 also indicates that about half of the states that used student test scores to rate schools also used at least one other performance measure, such as the attendance rate or coursetaking data.

Summary

This chapter has summarized several reform efforts of the 1990s centered on "standards" and described some of the challenges that states face when setting standards and developing a system to monitor progress toward those goals. In particular, this chapter examined four components of standards-based reform efforts: content standards, performance standards, assessments, and accountability systems. *Content standards* define what students should know and be able to do, while *performance standards* indicate how well students must perform to be considered proficient in a particular subject area. *Assessments* measure student progress toward attaining the goals defined by content standards and *accountability systems* are designed to monitor progress toward educational goals, often accompanied by rewards and sanctions. The process of developing and implementing these components has raised a number of issues, including the challenge of reaching a consensus on content and performance standards, the challenge of developing a valid and reliable assessment system, and the fairness of accountability systems. The next section of this report examines policies that affect the financial resources that schools have to support their efforts to attain the high standards envisioned by current reform efforts.

[3] The issues mentioned in this section, along with alignment between assessments and content standards, concern the appropriate uses and interpretations of assessments. As such, they are central to the concept of test validity. Although a discussion of validity is beyond the scope of this report, Baker and Linn (forthcoming) provide a thorough treatment of validity in the context of accountability systems.

Table 2.10 Types of information and various procedures used to evaluate schools, by state: 2000

State	Information state uses to evaluate schools						How state sets the performance cutoff for low-performing schools			How state addresses achievement gaps		
	Student test scores	Attendance rate	Dropout/ graduation rate	Coursetaking data	Site visits or interviews	Other information	Compares schools with each other	Compares schools to set standards or cutoff	Compares schools with past performance	Adjusts school expectations based on demographics	Analyzes achievement gaps between subgroups of students	Same expectations for all demographic groups within a school
Number of states	27	10	14	3	5	7	6	19	18	1	4	1
Alabama[1]	x							x	x			
Alaska	2002	2002	2002			2002	2002	2002	2002			
Arizona												
Arkansas	2004	2004	2004			2004						
California	x						x		x			
Colorado	x						x	2002	2002			
Connecticut	x							x	x			
Delaware[1]	x							x	x		x	
Florida	x		x					x	x		x	
Georgia	2002							2002	2002			
Hawaii												
Idaho												
Illinois	2002	2002	2002					2002				
Indiana[1]	x	x	x	x	x	x			x	x		
Iowa												
Kansas	x	x	x	x	x	x			x			
Kentucky	x	x	x			x			x			
Louisiana	x	x	x						x			
Maine												
Maryland	x	x	x					x				
Massachusetts	x							x	x			
Michigan	x					x		x	2002		x	
Minnesota												
Mississippi[1]	2002							2002	2002			
Missouri	x		x				x					
Montana												
Nebraska												
Nevada	x	x						x				
New Hampshire												
New Jersey[1]												
New Mexico	x	x	x			x		x	x		x	
New York	x		x				x	x				
North Carolina	x		x	x			x	x	x			
North Dakota												
Ohio[1]												
Oklahoma	x						x	x				
Oregon	x	x	x		x			x	x			

See footnotes at end of table.

Table 2.10 Types of information and various procedures used to evaluate schools, by state: 2000—Continued

State	Information state uses to evaluate schools						How state sets the performance cutoff for low-performing schools			How state addresses achievement gaps		
	Student test scores	Attendance rate	Dropout/ graduation rate	Coursetaking data	Site visits or interviews	Other information	Compares schools with each other	Compares schools to set standards or cutoff	Compares schools with past performance	Adjusts school expectations based on demographics	Analyzes achievement gaps between subgroups of students	Same expectations for all demographic groups within a school
Pennsylvania[1]												
Rhode Island												
South Carolina[1]	x							x	x			
South Dakota												
Tennessee[1]	x							2002	x			
Texas[1]	x	x	x					x				x
Utah	2004											
Vermont	x	x	x		x	x		x	x			
Virginia	x							x	x			
Washington												
West Virginia[1]	x	x	x		x	x		x	2004			
Wisconsin	x							x	x			
Wyoming												

[1]State has a district accountability system.

NOTE: Texas data were revised. The District of Columbia was not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source. An "X" indicates that a state used the information as part of an evaluation process in 2000. Dates indicate the year in which the state is or was to begin using the information as part of an evaluation process as of 2000, according to the source.

SOURCE: *Education Week*, *Quality Counts 2001*, 2001.

Chapter Three
School Finance Reforms

Funding is a key component in the delivery of education. Taxpayers in the United States provided $347 billion in revenues to fund public elementary and secondary education during 1998–99 (Snyder and Hoffman 2002). Taxes and other revenues raised by local, state, and federal governments are used to purchase the goods and services that go into educating American schoolchildren. State and federal revenues are allocated to school districts through various funding formulas and grant programs. School districts, in turn, spend these funds on teacher salaries, professional development, classroom supplies, and new technology, among other goods and services.

State governments play a critical role in school financing systems. On average, states provide almost half of education revenues (Snyder and Hoffman 2002). Most state constitutions contain clauses that require the state to provide a statewide system of education. In addition, state constitutional, statutory, and regulatory frameworks provide the legal authority for state governments, local governments, and school districts to levy taxes and raise other non-tax revenues. State efforts to strengthen their revenue systems—by making them more balanced, stable, efficient, and fair—have a direct impact on the availability, stability, and level of funds available for education. State general and categorical aid formulas determine how funds are distributed among districts, and state policies and regulations often govern how districts may use these funds (Crampton and Whitney 1996a).

To provide a context for understanding state education finance reforms, this chapter starts with a brief overview of current education financing practices and recent trends in state-level revenue and expenditures. The chapter then turns to three key areas of state education finance reform activity during the 1990s: moving from equity to adequacy, general revenue reforms, and special education financing reforms.

Patterns in Education Finance

Education finance systems provide the framework for generating revenue, allocating funds between different levels of government, and purchasing the inputs used in education. This section briefly describes sources of revenue, how state and federal funds are distributed to school districts, spending patterns and trends, and how these patterns have changed between 1989–90 and 1998–99.

Sources of Revenue

Public schools have been funded historically through a mix of local, state, and federal funds. The relative contributions of different levels of government have changed over time due to a variety of factors, including state reforms, federal policy changes, and changing taxpayer preferences. Figure 3.1 illustrates the changing contributions from the different levels of government for public elementary and secondary education during the 1990s. The state share of revenues for public elementary and secondary schools fell from 47 to 45 percent between 1989–90 and 1993–94, while the local share increased. Between 1993–94 and 1998–99, the state share rose to 49 percent while the local share fell. Federal aid contributed approximately 7 percent of revenues, with private funds making up the balance of 3 percent (Snyder and Hoffman 2002).

The state (and local) share of total revenues varies considerably from state to state. The different funding arrangements among the states reflect historical funding arrangements, as well as recent state reforms. For example, during 1998–99, New Hampshire relied most heavily on local revenue sources to fund education, with 85 percent of education revenues coming from local and intermediate sources (table 3.1). In contrast, Hawaii (which has

only one school district) relied heavily on state revenue sources to fund education, drawing 88 percent of its revenue from state sources (Snyder and Hoffman 2002).

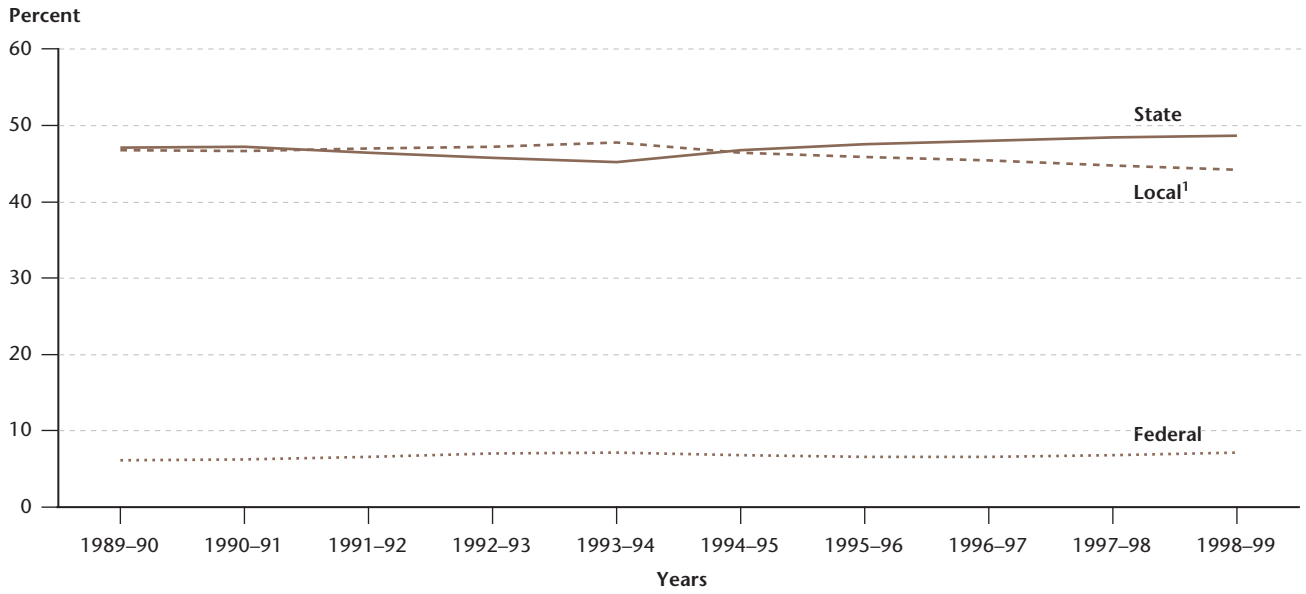
In addition to drawing on funds from multiple levels of government, public schools rely on a mix of tax and non-tax revenues to fund education. Sales, property, and personal income taxes are the most important of these revenue sources, together contributing roughly half of total state and local general revenue. Other tax sources include corporate income taxes, severance taxes, and "sin" taxes (e.g., taxes on alcohol, tobacco). State and local governments tend to draw revenues for education from different sources. State governments generally rely on sales and income taxes; local governments tend to rely on property taxes (Ladd and Hansen 1999).

Once revenues are raised, state and federal revenues must be allocated to local school districts. The following section discusses different procedures used by states for distributing state revenue as well as federal revenue.

Distributing State and Federal Revenues to School Districts

State and federal revenues are distributed to school districts through a variety of programs and funding formulas. In general, funds raised at the state level are allocated to school districts in two ways: general aid and categorical aid (Gold, Smith, and Lawton 1995; Sielke and Holmes 2002c). The majority of state funds are distributed as general aid and are calculated on a per-pupil basis. Funding formulas for distributing general aid are often complex and are usually structured to account for a district's educational needs (often related to enrollment, with adjustments made to account for grade levels and student needs in recognition of the different costs associated with educating different student populations) and ability to pay for these services (usually measured by property tax base). Many funding formulas seek to improve equity between districts. Some even contain incentives to ensure that state aid does not replace local revenues raised on behalf of education. States use some combination of

Figure 3.1 Percentage distribution of revenues for public elementary and secondary schools, by source of funds: 1989–90 to 1998-99



[1]Local funds include a small amount from nongovernmental private sources (gifts and tuition and transportation fees from patrons). These sources accounted for 2.5 percent of total revenues in 1998-99.

SOURCE: U.S. Department of Education, National Center for Education Statistics, *Statistics of State School Systems*; *Revenues and Expenditures for Public Elementary and Secondary Education*; and Common Core of Data surveys as published in *Digest of Education Statistics 2001*, 2002, table 157.

Table 3.1 Percentage distribution of total revenues for public elementary and secondary schools, by revenue source and state: 1998–99

State	Percent of total revenues for elementary and secondary education by source			
	Federal	State	Local and intermediate	Private[1]
United States	**7.1**	**48.7**	**41.7**	**2.5**
Alabama	9.1	61.6	24.1	5.2
Alaska	13.8	61.0	22.5	2.7
Arizona	10.0	43.2	44.1	2.7
Arkansas	10.2	57.8	26.2	5.7
California	8.6	59.3	30.9	1.1
Colorado	5.1	42.5	48.0	4.4
Connecticut	4.0	39.0	54.4	2.7
Delaware	7.4	64.3	27.1	1.2
District of Columbia	16.5	†	83.1	0.4
Florida	7.9	50.3	38.3	3.5
Georgia	6.7	49.1	42.4	1.7
Hawaii	9.8	87.8	0.5	1.8
Idaho	7.1	61.5	29.7	1.7
Illinois	7.2	30.1	60.6	2.2
Indiana	5.0	52.5	39.7	2.8
Iowa	5.6	50.5	38.5	5.4
Kansas	6.1	61.6	29.6	2.7
Kentucky	9.2	61.8	26.6	2.4
Louisiana	11.5	50.4	35.8	2.3
Maine	7.5	45.9	45.5	1.1
Maryland	5.5	39.5	52.0	3.1
Massachusetts	5.0	42.1	51.6	1.4
Michigan	7.1	64.7	26.2	2.1
Minnesota	5.0	57.6	34.3	3.1
Mississippi	14.0	54.9	27.7	3.4
Missouri	6.5	39.0	50.5	4.0
Montana	11.3	44.9	39.5	4.3
Nebraska	6.9	37.1	50.8	5.2
Nevada	4.6	32.4	59.4	3.6
New Hampshire	4.0	8.9	84.7	2.4
New Jersey	3.7	41.3	52.7	2.2
New Mexico	13.4	72.5	11.9	2.1
New York	6.0	42.2	50.9	0.9
North Carolina	6.9	68.7	21.9	2.6
North Dakota	13.0	40.3	41.4	5.3
Ohio	5.8	42.1	48.4	3.8
Oklahoma	9.1	60.2	25.5	5.2
Oregon	7.0	56.8	32.7	3.5
Pennsylvania	6.0	38.2	53.9	1.9
Rhode Island	5.6	41.6	51.5	1.3
South Carolina	8.2	52.1	35.5	4.2
South Dakota	10.5	35.9	50.7	2.9
Tennessee	8.8	47.2	37.0	7.0
Texas	8.5	42.4	46.7	2.5
Utah	7.0	61.1	29.4	2.4
Vermont	5.8	74.4	18.0	1.8
Virginia	5.2	33.8	57.8	3.1
Washington	6.8	64.6	25.3	3.3
West Virginia	8.5	62.7	27.5	1.2
Wisconsin	4.6	53.4	39.8	2.2
Wyoming	7.4	52.3	38.5	1.7

†Not applicable.

[1]Includes revenues from gifts, and tuition and fees from patrons.

NOTE: Because of rounding, details may not add to totals.

SOURCE: Common Core of Data survey as published in U.S. Department of Education, National Center for Education Statistics, *Digest of Education Statistics 2001*, 2002, table 158.

the following distribution formulas for general aid funds (Gold, Smith, and Lawton 1995; Sielke and Holmes 2002a; Sielke and Holmes 2002c):

1) **Full state funding.** Excluding federal funds granted to states, Hawaii is the only state that provides full funding for education. While this option provides for a very equitable distribution of resources, it eliminates the ability of local voters to express preferences for different funding levels of public education. Washington provided full funding, excluding federal funds, of basic education for grades K–12 (Gold, Smith, and Lawton 1995; Sielke and Holmes 2002a; Sielke and Holmes 2002c).

2) **Flat grants.** Flat grants allocate funds based on some measure of the district's educational need, and do not take into account the district's ability to pay. In 1993–94, Delaware and North Carolina used flat grants (Gold, Smith, and Lawton 1995). In 1998–99, only Delaware used flat grants (Sielke and Holmes 2002a; Sielke and Holmes 2002c).

3) **Foundation funding.** Foundation programs take into account both a district's educational needs and its ability to pay. States guarantee districts or local governments a minimum or foundation level of funds for each student. In return, they set a minimum spending level and a uniform qualifying tax rate for all districts in the state. Foundation aid to any district is the difference between the determined minimum spending level and the revenues generated by applying the qualifying tax rate against the district's tax base. In 1993–94, 40 states used foundation programs (Gold, Smith, and Lawton 1995). In 1998–99, 44 states funded general aid through foundation programs, with 37 of these states requiring local effort (Sielke and Holmes 2002a; Sielke and Holmes 2002c).

4) **Percentage equalizing programs.** Under these aid programs, states provide matching funds for districts at specified rates, according to fiscal capacity levels. In 1993–94, Rhode Island, Connecticut, New York, and Pennsylvania had percent equalization programs (Gold, Smith, and Lawton 1995). In 1998–99, New York used a percentage equalization program (Sielke and Holmes 2002a; Sielke and Holmes 2002c).

5) **Guaranteed tax base or guaranteed tax yield programs.** These programs promote equity by guaranteeing that school districts have equal ability to raise revenues, despite the differences in their tax bases. Guaranteed tax base programs allow districts the ability to generate revenues as if they had a state-specified tax base and guaranteed tax yield programs (also known as district power equalizing programs), guaranteeing that districts will generate a given revenue for a specified tax rate. In 1993–94 and 1998–99, Georgia, Indiana, and Wisconsin had guaranteed tax base or guaranteed tax yield programs (Gold, Smith and Lawton 1995; Rubenstein and Freeman 2002; Sielke and Holmes 2002a; Sielke and Holmes 2002c).

Some states combine features of different funding formulas to create a tiered funding structure. These plans are designed to promote adequacy and equity by combining components of foundation programs and other programs. Typically, they will set a minimum foundation level to ensure that minimum resources are provided to meet educational needs. A second tier for aid provides funds through guaranteed tax base or tax yield programs to promote fiscal equity.

In addition to general aid, some revenue is allocated as categorical, targeted funds that support particular programs or activities. State categorical aid is used for special education, transportation, compensatory education, and capital outlay, as well as other special programs. Gold, Smith, and Lawton (1995) reported that in 1993–94 compensatory education was funded in 28 states; gifted and talented programs in 40 states; bilingual education in 30 states. Prekindergarten programs were funded in 36 of 47 states. During the same period, all states funded transportation programs, with some funding them out of general aid, and others using categorical aid. Thirty-seven states funded capital outlay projects, including states that fund capital outlay as part of their basic support program.

Between 1993–94 and 1998–99, many states changed their funding systems to roll categorical grants into their basic aid packages, often by using program weights for these programs in their general aid funding formulas. Comparisons in the use of state categorical aid between 1993–94 and 1998–99, therefore, should be interpreted with caution. Sielke and Holmes (2002b) reported that in 1998–99, every state indicated funding for transportation, with some funding using categorical aid, and others using general aid. Twenty-three of 48 states reported categorical funding for compensatory education (not all states reported information for all categories). An additional 3 states included funds for compensatory education in basic or general aid. Thirty of 48 states had gifted and talented categorical programs (with an additional 6 states funding gifted and talented education out of basic education, and one (Hawaii) including gifted and talented funding in its compensatory education program). Bilingual education was funded as a categorical program in 24 of 49 states, and as part of basic aid in an additional 7 states. Early childhood education programs received categorical funds in 36 states and funds as part of general aid in 2 of 47 states. Technology programs also received categorical funds in most states. In 1998–99, 31 of 44 states reported categorical funding in this area. Twenty-nine states funded special education using either a weighted average daily membership (ADM) and/or including it in base funding. Fourteen states reported no funding for capital outlay (Sielke and Holmes 2002b). In 1998–99, the majority of federal funds were distributed to districts through categorical programs, such as special education or Title I compensatory programs.

After revenue is raised and distributed, local districts use these funds to educate children. The next section briefly describes national spending trends and state spending patterns.

Education Spending

Education spending increased between 1989–90 and 1998–99. Over this period, total expenditures per pupil in fall enrollment increased from $7,135 to $8,016 in constant 2000–01 dollars.[4] Current expenditures per pupil in fall enrollment increased from $6,402 to $6,925 in constant 2000-01 dollars (Snyder and Hoffman 2002).[5] Average current expenditures per pupil increased slowly during the early 1970s, leveling off during the late 1970s and early 1980s (Snyder and Hoffman 2002). Average current expenditures began to grow again in 1982–83. As shown in figure 3.2, average current expenditures per pupil remained steady during the 1990s, rising slightly in the late 1990s. Total expenditures per pupil in 2000–01 dollars increased at a constant rate between the 1970s and late 1990s (Data from Snyder and Hoffman 2002).

Average current expenditures per pupil varies considerably by state, reflecting the wide range of revenue raising capacities and arrangements, as well as regional differences in costs for similar goods and services. Table 3.2 shows current expenditures for public elementary and secondary education per pupil in fall enrollment by state in 1989–90, 1997–98, and 1998–99, and total expenditures per pupil in fall enrollment for 1999–2000. Nationally, in 1998–99 the average for current expenditures per pupil in fall enrollment was $6,508. The state with the highest per pupil spending in 1998–99 was New Jersey with average per pupil spending of $10,145, while the state with the lowest spending was Utah at $4,210 per pupil (Snyder and Hoffman 2002). Total expenditures per

[4] Constant dollars are adjusted for inflation using the Consumer Price Index computed on a school-year basis.

[5] Current expenditures exclude capital outlays and interest on school debt. Researchers typically use current expenditures instead of total expenditures when comparing education spending between states or across time because current expenditures exclude expenditures for capital outlay, which tend to have dramatic increases and decreases from year to year. Also, the current expenditures commonly reported are for public elementary and secondary education only. Many school districts also support community services, adult education, private education, and other programs, which are included in total expenditures. These programs and the extent to which they are funded by school districts vary greatly both across states and within states. Finally, these figures use fall enrollment as the student count. Other student counts (e.g., average daily attendance) are also sometimes used by researchers and educators (Johnson 2002).

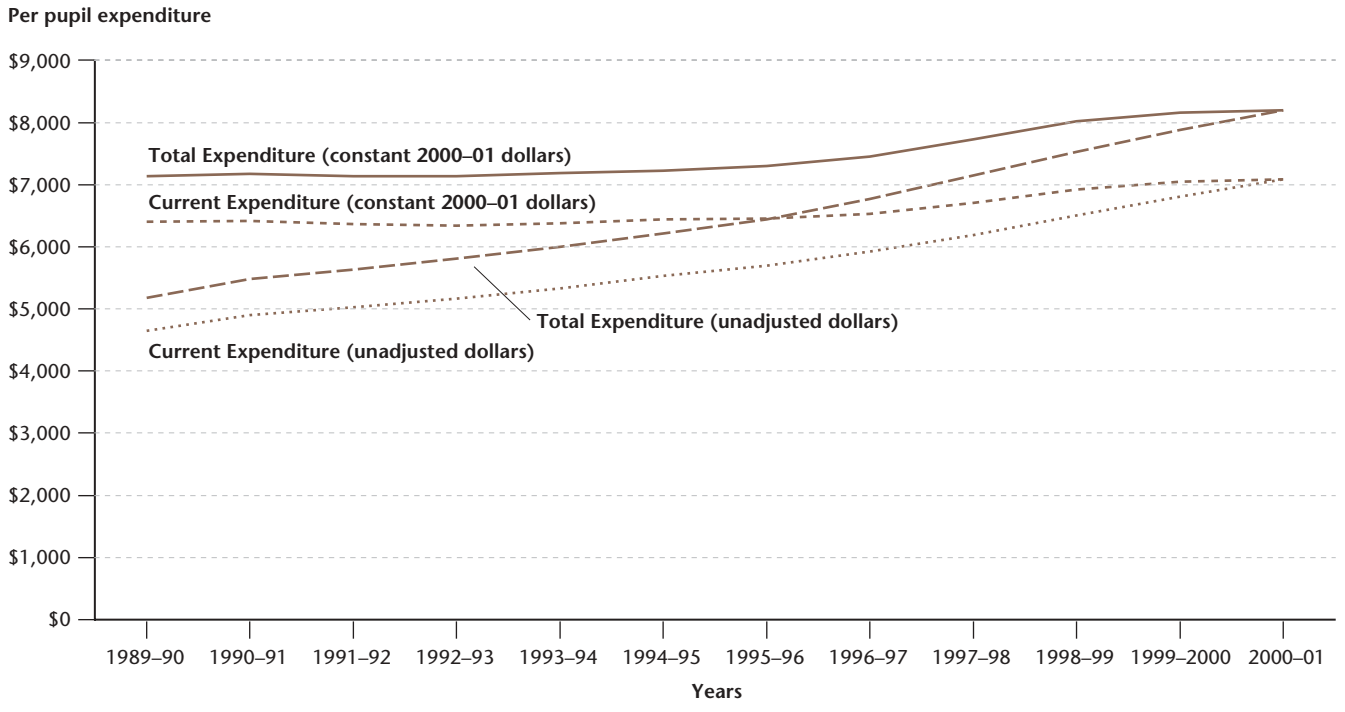
pupil also varies by state. In 1999–2000, average total expenditures per pupil in fall enrollment was $8,032. Among the states, New Jersey had the highest total expenditures per pupil at $11,471, while the state with the lowest spending was Utah at $5,278 per pupil (Snyder and Hoffman, 2003).

State Reforms in School Finance

Over the past decade, states have implemented a number of reforms that affect the way they raise revenues, allocate funds among districts, and allow funds to be used. Given a state's critical role in education finance, these changes have had important implications for the adequacy, equity, efficiency, accountability, and the stability of education funding. Some of these changes have been in response to court orders to overhaul the state financing system (Ladd and Hansen 1999). Some have imposed taxpayer restrictions on the type or level of available funding sources, while others have been prompted by legislative or programmatic changes (Ladd and Hansen 1999). These efforts have been influenced by a variety of factors, including the standards movement, changing student demographics, and taxpayer discontent with the property tax and other taxes (Ladd and Hansen 1999; Fulton 1997).

The remainder of this chapter discusses recent key state reforms that are reshaping the way schools raise and spend money. It includes changes in state policies or financing arrangements that affect state and local governments' methods for generating education revenue, as well as state efforts to spend resources more efficiently. While certainly not

Figure 3.2 Current and total expenditure per pupil in fall enrollment in public elementary and secondary schools: 1989–90 to 2000–01



NOTE: Constant 2000–01 dollars based on the Consumer Price Index, prepared by the Bureau of Labor Statistics, U.S. Department of Labor, adjusted to a school-year basis.

SOURCE: *Statistics of State School Systems, Revenues and Expenditures for Public Elementary and Secondary Education*, and Common Core of Data surveys as published in U.S. Department of Education, National Center for Education Statistics, *Digest of Education Statistics 2001*, 2002, table 167.

Table 3.2 Current expenditure per pupil in fall enrollment in public elementary and secondary schools, by state: 1989–90, 1997–98, 1998–99; and total expenditure per pupil in fall enrollment in public elementary and secondary schools, by state: 1999–2000

	Current expenditures per pupil in fall enrollment In constant 1998–99 dollars[1]			Total expenditures per student in fall enrollment Unadjusted dollars
State	1989–90	1997–98	1998–99	1999–2000
United States	**$6,016**	**$6,296**	**$6,508**	**$8,032**
Alabama	4,074	4,933	5,188	6,639
Alaska	9,819	8,414	8,404	10,344
Arizona	4,817	4,675	4,672	6,878
Arkansas	4,185	4,790	4,956	5,922
California	5,835	5,742	5,801	7,284
Colorado	5,646	5,754	5,923	7,657
Connecticut	9,671	9,055	9,318	11,196
Delaware	6,902	7,548	7,706	9,157
District of Columbia	10,201	8,538	9,650	11,510
Florida	5,957	5,648	5,790	7,166
Georgia	5,183	5,745	6,092	7,627
Hawaii	5,352	5,959	6,081	7,388
Idaho	3,785	4,803	5,066	6,076
Illinois	5,858	6,350	6,762	8,513
Indiana	5,534	6,427	6,772	8,655
Iowa	5,429	6,102	6,243	7,378
Kansas	5,559	5,826	6,015	6,950
Kentucky	4,385	5,303	5,560	6,322
Louisiana	4,697	5,277	5,548	6,487
Maine	6,354	6,859	7,155	8,515
Maryland	7,222	7,156	7,326	8,660
Massachusetts	7,472	7,913	8,260	9,171
Michigan	6,596	7,172	7,432	9,564
Minnesota	6,088	6,498	6,791	8,588
Mississippi	3,801	4,362	4,565	5,818
Missouri	5,275	5,662	5,855	7,222
Montana	5,494	5,823	5,974	6,766
Nebraska	5,900	6,061	6,256	7,605
Nevada	4,945	5,387	5,587	7,471
New Hampshire	6,201	6,263	6,433	7,625
New Jersey	9,778	9,810	10,145	11,471
New Mexico	4,465	5,091	5,440	6,786
New York	9,137	9,005	9,344	10,819
North Carolina	5,207	5,348	5,656	7,303
North Dakota	5,053	5,143	5,442	6,455
Ohio	5,871	6,305	6,627	7,962
Oklahoma	4,267	5,120	5,303	5,837
Oregon	6,304	6,530	6,828	8,084
Pennsylvania	7,435	7,333	7,450	9,160
Rhode Island	7,656	8,066	8,294	9,254
South Carolina	4,885	5,412	5,656	7,376
South Dakota	4,550	4,750	5,259	6,870
Tennessee	4,412	5,023	5,123	6,321
Texas	4,969	5,539	5,685	7,743
Utah	3,339	4,037	4,210	5,278
Vermont	7,477	7,197	7,541	8,837
Virginia	6,077	6,170	6,350	7,896
Washington	5,679	6,145	6,110	7,701
West Virginia	5,209	6,433	6,677	7,705
Wisconsin	6,505	7,246	7,527	9,164
Wyoming	6,789	6,326	6,842	8,281

[1]Constant 1998–99 dollars based on the Consumer Price Index, prepared by the Bureau of Labor Statistics, U.S. Department of Labor, adjusted to a school-year basis. These data do not reflect differences in inflation rates or cost of living from state to state.

NOTE: State administration expenditures are excluded. Some data have been revised from previously published figures.

SOURCE: *Revenues and Expenditures for Public Elementary and Secondary Schools, Statistics of State School Systems* and Common Core of Data surveys as published in U.S. Department of Education, National Center for Education Statistics, *Digest of Education Statistics 2001,* 2002, table 169 and *Digest of Education Statistics 2002,* 2003, table 167.

exhaustive of the wide range of finance reforms introduced at the state level, the chapter discusses efforts that have had major impacts on financing systems in many states. They include:

- **Reforms to move from equity to adequacy.** Over the past decade, many state courts have found that state education finance systems have failed to live up to their constitutional mandate to deliver an acceptable level of education services. State remedies have shifted the focus of state policies from requiring equity across districts to determining and financing educational adequacy (Ladd and Hansen 1999).
- **General revenue reforms with direct impacts on education.** Several states have changed funding sources for education—particularly noteworthy are shifts away from local property taxes toward other revenue sources (Ladd and Hansen 1999; Odden 1994; Crampton and Whitney 1996b).
- **Special education financing reforms.** Concern, particularly among practitioners, that special education costs have been increasing, as well as the availability of new federal funding sources, has prompted many states to consider reforming special education financing arrangements (Ladd and Hansen 1999).

From Equity to Adequacy

Many recent state efforts to restructure the education funding system have focused on finding ways to define and provide funding for an adequate education (Ladd and Hansen 1999). In many states, these efforts have been prompted by legal challenges to the state's education financing system. Although reformers have long sought education finance reforms through litigation, these efforts mark a significant change in the focus of school finance litigation and in the nature of state responses.

One of the aims of state education finance systems has been to foster greater equity among the funds available to school districts within the state (Ladd and Hansen 1999). Disparities in per pupil spending between rich and poor districts led to many of the legal challenges during the 1970s and early 1980s (Ladd and Hansen 1999). Most cases challenged the constitutionality of state education finance systems that permitted inequities in spending across districts, frequently relying on the equal protection clauses of state constitutions. Litigants in these cases often represented children in property-poor school districts and sought remedies that would promote *equity* in education funding across districts, that is, equal or near equal education funding levels among districts (Ladd and Hansen 1999). Ongoing litigation suggests that school funding continues to be challenged, although the extent of disparities and the definitions of adequacy or equity used are decisions for the courts. As in other sections of the report, this section focuses on describing the reform strategies being pursued at the state level, rather than evaluating whether they are addressing true or perceived problems, or whether they are likely to work.

Since 1989, many school finance cases have focused on *adequacy,* seeking to compel states to define and provide a high-quality-education for all children, rather than focusing solely on reducing financial inequities across school districts (Ladd and Hansen 1999). The legal bases of the more recent cases have also tended to differ from earlier cases. Recent cases assert that states have violated the education clauses of the state constitutions, rather than the equal protection clauses. Arguments have centered on whether states are meeting their obligations to provide the quality of education mandated by their constitutions, with litigants arguing that additional resources are needed in districts that fail to meet the states' constitutionally mandated standards (Van Slyke, Tan, and Orland 1994). Table 3.3 summarizes the status of legal challenges to state education finance systems as of July 1999. Between 1970 and 1999, plaintiffs won at the State Supreme Court level or the Supreme Court approved a trial court decision for plaintiffs in 17 states, while plaintiffs lost at the Supreme Court and no later case was pending in 10 states. Plaintiffs lost at the Supreme Court level but further complaints were either pending or were sustained without a final determination or settled in 13 states. Finally, the Supreme Court had not rendered a decision on the school finance system, and no litigation was pending in 10 states (Long 1999; Minorini and Sugarman 1999).

Table 3.3 School finance litigation, by year, case, and status, by state: 1970–99

State and year	Case
Plaintiffs won at the Supreme Court level or the Supreme Court approved a trial court decision for plaintiffs:	
Alabama	
1993	Opinion of Justices
1997	Ex Parte James
Arizona	
1973	Shofstall v. Hollins
1994	Roosevelt Elem. School Dist. 66 v. Bishop
1997, 1998	HULL V. ALBRECHT
Arkansas	
1985	Dupree v. Alma School District
1996	Tucker v. Lake View School Dist. No. 25
California	
1971, 1976	Serrano v. Priest
Connecticut	
1977, 1985	Horton v. Meskill
Filed 1998	JOHNSON V. ROWLAND
Kentucky	
1989	Rose v. Council for Better Education
Massachusetts	
1993	McDuffy v. Secretary of Education
Montana	
1974	State ex. Rel. Woodahl v. Straub
1989, 1990	Helena Elementary School District No. 1 v. State
New Hampshire	
1993, 1997, 1998	CLAREMONT SCHOOL DISTRICT V. GOVERNOR
New Jersey	
1973	Robinson v. Cahill
1985, 1990, 1994, 1997, 1998	Abbott v. Burke
Ohio	
	Board of Education v. Walter
1997	DEROLPH V. STATE
Tennessee	
1993, 1995	TENNESSEE SMALL SCHOOL SYSTEMS V. MCWHERTER
Texas	
1989, 1991, 1995	Edgewood v. Kirby
Vermont	
1997	Brigham v. State
Washington	
1974	Northshore School District No. 417 v. Kinnear
1978	Seattle School District No. 1 v. State
West Virginia	
1979, 1984	Pauley v. Kelly
1988	State ex rel. Boards of Education v. Chafin
1997	TOMBLIN V. GAINER
Wyoming	
1980	Washakie v. Hershler
1995	Campbell v. State

See footnotes at end of table.

Table 3.3 School finance litigation, by year, case, and status, by state: 1970–99—Continued

State and year	Case
Plaintiffs lost at Supreme Court level and no later case is pending:	
Georgia	
1981	McDaniel v. Thomas
Illinois	
1996	Committee for Educational Rights v. Edgar
Louisiana	
1998	Charlet v. Legislature of State of Louisiana (consolidated with)
1998	Minimum Foundation Commission v. State
Maine	
1995	School Administrative District No. 1 v. Commissioner
Michigan	
1972, 1973	Milliken v. Green
1984	East Jackson Public Schools v. State
Nebraska	
1993	Gould v. Orr
North Dakota	
1993	Bismark Public Schools v. North Dakota
Oklahoma	
1987	Fair School Finance Council of Oklahoma, Inc. v. State
Rhode Island	
1995	City of Pawtucket v. Sundlun
Virginia	
1994	Scott v. Virginia
Plaintiffs lost at the Supreme Court level, but further complaints are either pending or were sustained without a final determination or settled:	
Alaska	
1997	Matanuska-Susitna Borough v. Alaska
Filed 1997	KASAYULIE V. STATE
Colorado	
1982	Lujan v. State Board of Education
Filed 1998	GIARDINO V. COLORADO STATE BOARD OF EDUCATION
Florida	
1996	Coalition for Adequacy and Fairness in School Funding, v. Chiles
Filed 1999	HONORE V. FLORIDA STATE BOARD OF EDUCATION
Idaho	
1975	Thompson v. Engelking
1993	Idaho Schools for Equal Educational Opportunity v. Evans
Kansas	
1976	Knowles v. State Board of Education
1994	Unified School District No. 229 v. State
Filed 1999	ROBINSON V. STATE
Maryland	
1983	Hornbeck v. Somerset County
Consent decree 1996	Bradford v. Maryland State Board of Education
Minnesota	
1993	Skeen v. Minnesota
Filed 1995	MINNEAPOLIS BRANCH, NAACP V. STATE
1999	Independent School District No. 625 v. State
Filed 1998	XIONG V. STATE

See footnotes at end of table.

Table 3.3 School finance litigation, by year, case, and status, by state: 1970–99—Continued

State and year	Case
Plaintiffs lost at Supreme Court level and no later case is pending:	
New York	
1982	Board of Education v. Nyquist
1995	Reform Educational Financing Inequities Today v. State
1995	CAMPAIGN FOR FISCAL EQUITY INC. V. STATE OF NEW YORK
North Carolina	
1987	North Carolina Britt v. North Carolina State Board of Education
1997	LEANDRO V. STATE
Oregon	
1976	Olsen v. Oregon
1991	Coalition for Ed. Equity v. Oregon
1997	WITHERS V. OREGON
Pennsylvania	
1979	Dansen v. Casey
1998	Marrero v. Commonwealth of Pennsylvania
1998	PENNSYLVANIA ASSOC. OF RURAL AND SMALL SCHOOLS V. CASEY
South Carolina	
1988	Richland County v. Campbell
1999	ABBEVILLE COUNTY SCHOOL DISTRICT V. STATE OF SOUTH CAROLINA
Wisconsin	
1989	Kukor v. Grover
1998	VINCENT V. VOIGHT
The Supreme Court has not rendered a decision on the school finance system, and no litigation is now pending:	
Delaware	
Hawaii	
Indiana	
Iowa	
Mississippi	
Missouri[1]	
Nevada	
New Mexico	
South Dakota	
Utah	

[1]Procedural ruling issued in 1994 (Committee for Educational Equality v. State of Missouri).

NOTE: Cases pending as of 1999 are listed in capital letters. The District of Columbia was not reported in the original source.

SOURCE: U.S. Department of Education, National Center for Education Statistics, *Status of School Finance Constitutional Litigation*, 1999. Oregon data from Paul Minori and S. Sugarman, "School Finance Litigation in the Name of Educational Equity: Its Evolution, Impact, and Future" in H.F. Ladd, R. Chalk, and J.S. Hansen (Eds.), *Equity and Adequacy in Education: Issues and Perspectives*, 1999.

In addition to court challenges, moves to ensure adequacy in funding have been influenced by a number of other forces. First, changing demographics among school-age children and higher expectations for student achievement have resulted in an increasing disconnect between the needs of schoolchildren and state systems for funding education. Second, slow growth in state aid during the early 1990s gave rise to greater competition among education and other state functions for limited state revenues. Through this period, local revenues continued to rise, outpacing changes in state aid and leading to wider gaps in spending across districts (Fulton 1997).

State reforms to improve adequacy have differed as much as the state education finance systems that they seek to remedy. Nevertheless, states working to provide an adequate education have grappled with a similar set of challenges: defining an adequate education; determining the cost of providing this education; adjusting for differences in student, resource, and geographic characteristics, as well as for scale economies and inflation (Ladd and Hansen 1999; Education Partners Project Foundation for State Legislators 1998). The following section discusses each of these challenges and the different approaches that states have taken when pursuing adequacy reforms. Some states are charged with restructuring revenue arrangements to provide a more adequate system of funding. State responses, therefore, vary considerably, with some involving changes to revenue systems, rigorous cost studies to determine the funding necessary for adequacy, and restructuring of aid arrangements, while others involve less comprehensive overhauls. The section on adequacy concludes by reviewing state responses to state adequacy rulings.

Defining an Adequate Education

Defining what constitutes an adequate education is a challenging proposition. While states have tried to develop definitions of adequacy that can be tied to funding formulas and spending levels, this is a difficult task. The costs of education can vary considerably across districts—even within a state (Fowler and Monk 2001). Teacher salaries are influenced by factors outside the school system, for example, the prevailing labor market conditions within a district, across districts, and in bordering states (Fowler and Monk 2001). These may differ considerably in states with both large cities and rural areas. As a result, when defining adequacy, many states have started by developing definitions that concentrate on the competencies that an "adequate" state educational system should ensure. These definitions often drive, or are coordinated with, the state efforts to develop content and performance standards (Education Partners Project Foundation for State Legislatures 1998).

In cases where education funding systems have been ruled unconstitutional by state courts, the courts have varied in how far they have gone in defining what constitutes educational adequacy. States with early adequacy rulings included New Jersey, Washington, and West Virginia (*Robinson v. Cahill,* 3030 A.2d 273, *Pauley v. Kelly,* 255 S.E.2d 859, W. Va. 1979, and *Seattle v. State of Washington,* 585 P.2d 71, Wash.1978).

The 1989 Kentucky State Supreme Court's decision in *Rose v. Council for Better Education*, 790 S.W. 2d 186 (KY. 1989) marked a turning point in school finance litigation. Prior to the Kentucky decision, most state education finance decisions had focused on equity rather than adequacy. The Kentucky Court clearly articulated guidelines for an adequate education. According to the Kentucky court, an adequate education would provide students with the opportunity to develop at capabilities in at least seven areas. These capabilities ranged from "sufficient oral and written communication skills to enable students to function in a complex and rapidly changing civilization" to "sufficient levels of academic or vocational skills to enable public school students to compete favorably with their counterparts in surrounding states, in academics, and in the job market." The court's definition also specified the levels of knowledge of economic, social, and political systems, understanding of governmental processes, self-knowledge and knowledge of a student's mental and physical wellness, grounding in the arts, and training or preparation for advanced training in either academic or vocational fields needed for adequacy. Courts in Alabama, Massachusetts, and New Hampshire have relied on the language in the Kentucky decision when issuing their

decisions and providing guidelines for the legislature to develop remedies (*Alabama Coalition for Equity v. Hunt,* published as an appendix in Opinion of Justices, 624 So.2d 107 Ala. 1993; *McDuffy v. Secretary of Education,* 615 N.E.2d 516 Mass. 1993; and *Claremont School District v. Gregg,* 635 A.2d 1375 N.H. 1997).

Courts in other states have developed their own definitions of what is needed for educational adequacy. In Tennessee, the Supreme Court held in its 1993 decision that "the General Assembly shall maintain and support a system of free public schools that provides at least the opportunity to acquire general knowledge, develop the powers of reasoning and judgment, and generally prepare students intellectually for a mature life" (*Tennessee Small School Systems* v. *McWherter*, 851 S.W.2d 139 Tenn. 1993). In New York, the court specified that the state had to create and maintain a system that provides "the basic literacy, calculation, and verbal skills necessary to enable [children] to eventually function productively as civic participants capable of voting and serving on a jury. . . and minimally adequate physical facilities and classrooms . . . to permit children to learn" (*Campaign for Fiscal Equity* v. *State of New York*, 86 N.Y.2d 307, N.Y.1995).

In contrast, decisions issued by courts in other states, such as Wyoming and Ohio, have not specified what constitutes an adequate education. Rather, the courts in these states ruled that the systems did not meet the state's constitutional mandate, but left it to the legislature to determine what was needed (*DeRolph v. Ohio,* 79 Oh.St.3d 297, Oh. 1997; *Campbell v. State*, 907 P.2d 1238, Wyo. 1995; and *Washakie v. Herschler,* 606 P.2d 310, Wyo. 1980).

Determining the Cost of an Adequate Education

Adequacy has been differently defined across states—each has had to develop its own method of associating a cost of education. Even though state approaches may differ, there are some important similarities. States are looking at the resource requirements for providing students with the type of education that will achieve adequacy. They are examining what constitutes a "core education" and what such an education costs (Fulton 1999).

States with early adequacy decisions tended to leave the task of determining the cost of an adequate education to the legislature. These states left state lawmakers to make allocation decisions, making tradeoffs between education and other state functions. State appropriation and aid levels were set without specifying the links between educational outcomes and educational inputs (Ladd and Hansen 1999).

Other states have followed various approaches in determining the costs of such an education. A recent National Research Council report classifies these approaches into four categories: inference from statistical analysis, empirical observation, professional judgment, and inference from whole school designs (Ladd and Hansen 1999; Guthrie and Rothstein 1999). While analysts argue that some approaches are more technically sound than others, each has its set of shortcomings (Ladd and Hansen 1999). As a result, states have tackled or considered the problem of establishing the cost of an adequate education using different approaches, although no state has followed the fourth approach. The first three strategies are described below.

Inference from Statistical Analysis

Some states have drawn on a large body of research that examines the relationship between educational outcomes and educational inputs. Research in this area began with efforts to structure state education aid formulas to account for cost differences within a state. Statistical models take a "black box" approach to determine the required costs to meet a specified level of achievement—rather than adding up the costs of inputs, they attempt to associate a level of spending with an acceptable level of achievement. Some models incorporate a measure of district efficiency, while others use different performance measures. These models have been used to develop cost estimates for New York and Wisconsin (Ladd and Hansen 1999). Nevertheless, using statistical models to develop estimates of the cost of providing an adequate education is in its infancy (Ladd and Hansen 1999).

Empirical Observation

A few states have approached the task of determining the cost of an adequate education by reviewing spending patterns of high achieving districts within their state. They have determined spending ranges and efficient practices for different activities based on these reviews. For example, in 1997, Mississippi identified districts that were performing well and spending near the state average on per-pupil spending. Spending patterns for different activities were reviewed for these districts. Districts with particularly high or low spending in a specific expenditure category were eliminated from the analysis of spending for that category, and then averages were calculated for each category. An average total spending figure was calculated from this total (Ladd and Hansen 1999). Ohio also followed a similar practice when overhauling its education finance system in the spring of 1999 (Ladd and Hansen 1999).

Professional Judgment

Another approach that states have used involves drawing on the professional judgment of educators to develop cost estimates for providing educational adequacy. In these cases, professional educators, administrators, and/or public officials have estimated the inputs needed for adequacy. Once these inputs have been determined, a cost estimate can be calculated. Professional judgment was used as a basis of determining resource cost estimates for Wyoming. As a result of a Wyoming Supreme Court decision prohibiting cost to be considered in developing a new funding system, the Wyoming expert team was not asked to balance adequacy against cost constraints. In addition, input from state and national professionals was supplemented by research and the team's prior experience. Complex statistical analysis was not used to adjust for resource cost differences within the state to make these adjustments more transparent and easily understood (Ladd and Hansen 1999).

Accounting for Student, Resource, and Geographic Differences

Most states make adjustments for the costs of educating students that relate to the different educational needs of students. These adjustments reflect differences in education needs, for example, related to learning disabilities, or limited English proficiency, as well as those associated with different instructional programs in elementary, middle, and high schools. Weighting also may be used to adjust for additional costs of education at-risk or gifted students. In 1993–94, 36 states used weighting procedures to adjust their basic general aid formulas to account for the costs of educating students with different needs. Some of these adjustments accounted for differences in educational needs among students, while others provided weights for students of different ages (Gold, Smith, and Lawton 1995). In 1998–99, 32 states used weights to calculate either pupil or instructional units for their basic aid formulas (Sielke and Holmes 2002c).

Few states, in contrast, make adjustments for differences in resource costs across districts, despite the fact that school finance experts have developed a number of indices for this purpose (Fowler and Monk 2001). These adjustments are designed to reflect regional and school-based differences in the cost of providing education that might be associated with differences in teacher salaries as well as those of other school personnel between urban and rural areas. Other cost differences include differences in transportation costs, heating costs, or in the costs of school supplies across the state. The few states that have made these adjustments have not relied on the indices developed by finance experts, but instead have employed other methods for adjusting costs across districts, such as state wage indices (Ohio), consumer price indices (Colorado, Florida, Wyoming) or regression analyses based on state data (Texas) (Ladd and Hansen 1999).

In addition to adjustments for student, resource, and regional differences in cost, a further challenge for states implementing adequacy reforms is to take into account how school or district size affects the costs of an adequate education. These adjustments are discussed in the next section.

Adjusting for Scale and Inflation

Another set of adjustments to adequacy funding levels has less to do with adjusting for the range in costs of supplies or salaries, but rather, adjusting for other exogenous factors, such as district or school size and inflation. These adjustments are designed to account for the costs for delivering adequacy in different school settings, and to ensure that funding levels are not eroded by inflation. School finance formula adjustments for differences in school or district size vary considerably by state.

Adjustments for inflation update the cost of providing an adequate education as the prices of goods and services change. Over time, formulas that do not make these adjustments may fail to prevent districts from falling below the minimum level needed. This was frequently the experience of foundation programs, which were often not updated to adjust for inflation and, consequently, saw the real minimum spending level erode over time (Ladd and Hansen 1999).

Determining the cost of adequacy, as well as accounting and adjusting for differences in student, resource, and regional characteristics, economies (or diseconomies) of scale and inflation, is a complex process. As noted above, states have pursued different approaches in calculating the costs of adequacy. Determining the cost of providing adequacy is usually only one step in adequacy reforms, however. States often implement other complementary reforms, for example, restructuring the reliance on different revenue sources or changing funding formulas. Changes in states that have adopted reforms in response to judicial prompts are discussed below.

State Responses to Court Adequacy Rulings

Despite similar claims, state responses to judicial adequacy rulings have varied considerably, reflecting not only the differences in court directives, but also different state political climates. Table 3.4 summarizes recent court rulings and state responses (West 2000). Some states have succeeded in crafting a remedy that satisfied the courts' directives. Other states have experienced less success, encountering opposition from taxpayers or teachers. To some extent, the degree to which states have overhauled their education finance systems has been a function of the court's ruling and legislative cooperation, with some state courts requiring more substantive reforms than other states.

In general, efforts to improve adequacy have raised basic student funding levels, and increased state aid to poor districts (Fulton 1997). Many states have expanded adjustments for at-risk and early childhood programs, professional development or technology. They have also included elements to improve equity between districts, often limiting district revenue, expenditures or budget growth, or requiring a minimum local effort to participate in the state aid program (Fulton 1997).

Kentucky, Alabama, New Jersey, and New Hampshire provide four examples of state responses to court adequacy decisions. Kentucky has undertaken the most comprehensive overhaul, restructuring the state's finance system as well as other key components of the education system. The Kentucky Supreme Court's 1989 decision in *Rose v. Council for Better Education* declared the entire state education system unconstitutional (*Rose v. Council for Better Education*, 790 S.W.2d 186, Ky. 1989). In its ruling, the court charged the legislature with rebuilding the system within a year. The Kentucky Education Reform Act (KERA), enacted within the year, recreated the entire education system and included not only finance and governance changes, but also program changes (Carr and Fuhrman 1999). Current expenditures per student increased 32 percent in constant 1998–99 dollars between 1989–90 and 1998–99 (Snyder and Hoffman 2001). One of the new features of the Kentucky system was the institution of an accountability program that provides financial rewards for high performance and significant sanctions for poor performance based on a new assessment system (Ladd and Hansen 1999).

Table 3.4 Selected recent court decisions and state responses for states where the highest court has ruled the funding system unconstitutional and the case has not been resolved, and states where final decisions have found the funding system unconstitutional, by state: 2000

Status or ruling	Comments
Selected Court Decisions and State Responses in States Where State's Highest Court has Ruled the State Funding System Unconstitutional and the Case Has Not Been Resolved	
Alabama *(Alabama Coalition for Equity, Inc. v. Hunt)*	
In 1993, a trial court ruled the state funding system **unconstitutiona**l, declaring that the system did not provide an adequate and equitable education.	The state decided not to appeal the "liability" decision, but later appealed the lower court's "remedy" decision. In a December 1997 ruling (similar to a January 1997 opinion), the State Supreme Court affirmed the 1993 decision that the state is responsible for the poor and inequitable conditions of public schools (liability ruling) and gave the state a "reasonable time" to fix the schools before further legal intervention. The State Supreme Court, however, threw out the lower court's 1993 order that laid out a plan for the state to correct the funding system (remedy decision). The December ruling remanded the case back to the trial court and allowed the plaintiffs to reopen the case if the state does not respond in a timely manner and in compliance with the initial court ruling. In January 2000, the state school superintendent said he would present a plan to the legislature in March.
Arizona (*Roosevelt Elementary School District 66 v. Bishop)*	
The State Supreme Court ruled the funding system **unconstitutional** in 1994. The court ruled that the finance system unconstitutionally created vast disparities in districts' ability to afford school construction, building maintenance and equipment. After the first plan from state leaders was not accepted by the superior court, the court set a June 30, 1998, deadline for an acceptable solution or the state must stop distributing aid to schools.	In March 1998, the Arizona House approved a funding plan that would end local school construction bonding and instead provide approximately $400 million in state funding each year. In addition to eliminating local bonds for capital construction, the state would set minimum standards for school facilities. The Senate approved the plan, but added an "opt-out" provision that allowed districts that met the state's minimum-adequacy requirements for facilities to continue using local bonds. In June of 1998, the State Supreme Court ruled this funding plan unconstitutional. The court declared the opt-out provision (along with differences in access to local tax dollars between districts that decide to opt out and those that participate in the state plan) created disparities in districts' ability to build and maintain buildings. An August 15 deadline was set for the state to present a more acceptable remedy. During a special 1999 summer session, the legislature revised their most recent plan to address the court's concern with the opt-out provision. The new plan allows all districts to issue bonds if they want to go above and beyond the state's facility standards. In July 1999, the State Supreme Court accepted the revised plan. Four districts filed a lawsuit in July of 1999, charging that the state under-funded building renovations for districts by $50 million.
New Hampshire *(Claremont School District v. Governor)*	
In December of 1997, the State Supreme Court ruled the New Hampshire school finance system **unconstitutiona**l, stating that relying on local property taxes to fund nearly 90% of the cost of education places a disproportionate burden on residents in property-poor towns. The ruling directed the legislature to set a standard for an "adequate" education that towns will be required to provide, but did not prevent towns from funding programs above this level. The court set an April 1999 deadline for the legislature to present an acceptable solution.	In April 1999, the governor signed into law a new education funding system that relies on a statewide property tax and several other taxes to pay for schools. Under the new law, the state will spend $825 million on education in fiscal year 2000, which will raise the state contribution from 8% to 62% of education spending. The base funding level was set at $4,220 per student. In August 1999, five towns challenged the new school finance system, which established a statewide property tax to pay for schools. The plaintiffs dispute the system's constitutionality and claim that the $825 million lawmakers set aside to fund schools fails to meet the state's definition of "adequate." In October 1999, the State Supreme Court struck down the state's school finance plan that was enacted in April 1999. The court stated that the phase-in process of the new statewide property tax was neither "reasonable nor fair" because it favored rich communities over less affluent ones.
Ohio (*DeRolph v. State of Ohio*)	
In March of 1997, the Ohio State Supreme Court ruled the funding system **unconstitutional**, declaring that it violated the state's education clause, which mandates a "thorough and efficient" education. The court criticized the heavy reliance on local property taxes to fund schools, reminded the legislature of their responsibility to support a "statewide" education system, called for a "systemic overhaul" of the funding system and gave the legislature a year to develop a new finance system.	In 1998, state policymakers enacted a funding plan in response to the court decision that hinged on a one-cent sales tax increase that would have raised $1.1 billion annually for schools and provided property tax relief. Voters rejected the ballot initiative by an 80 to 20% margin. In 1999, a lower court rejected the state's second attempt at a solution, indicating that it did not sufficiently overhaul the finance system or provide an adequate education. The state appealed the lower court's decision to the State Supreme Court. Oral arguments began in November 1999. A decision was expected in February or March of 2000. In September 1999, Governor Bob Taft submitted a plan to the State Supreme Court to spend $10.2 billion over 12 years on school construction.

See footnotes at end of table.

Table 3.4 Selected recent court decisions and state responses for states where the highest court has ruled the funding system unconstitutional and the case has not been resolved, and states where final decisions have found the funding system unconstitutional, by state: 2000—Continued

Status or ruling	Comments
Vermont (*Brigham v. Vermont*)	
In February of 1997, the Vermont Supreme Court ruled the funding system **unconstitutiona**l. The court stated that the public school finance system, with its substantial dependence on local property taxes and resultant wide disparities in available revenue, deprives children of an equal educational opportunity in violation of the Vermont Constitution.	In 1997, the legislature passed Act 60, which reforms the school finance, education and tax systems. Several lawsuits have been filed against Act 60, and most are still pending. The State Supreme Court did respond to one lawsuit in March 1999, and upheld the "sharing pool" provision of the new funding system. The plaintiffs, Stowe Citizens for Responsible Government, argued that the pool was unfair to wealthy towns because local property taxes have increased as a result. The court will not rule on other aspects of the law until the new system has been more fully implemented.
Wyoming (*Campbell v. State*)	
A 1995 Wyoming Supreme Court decision ruled the funding system **unconstitutional** and required state leaders to define a basic education ("the education basket"), cost-out these services and programs, and design a more equitable funding formula.	During a special session, the legislature passed HB 1001, part of which the governor vetoed. HB 1001 established a common core of knowledge and skills (the "education basket") as well as programs for special needs students. The funding structure is a Cost-based Block Grant model which establishes per-pupil funding levels by calculating the cost of instructional and operating components for a "prototypical school" (e.g., elementary school with 288 students). Adjustments are made for special needs students and district characteristics (e.g., necessary small schools). In addition, funds were appropriated for K–3 class size reduction, a statewide technology plan, a statewide student assessment plan, and to study several issues including special education, transportation and school building needs. In fall of 1997, the Wyoming Education Association and 31 of the 49 school districts filed a lawsuit claiming that the new school funding plan would not provide adequate funding to ensure that all students received an equal educational opportunity. In December 1997, a district court judge issued an informal opinion that sided with the plaintiffs. The judge said that the proposed cost adjustments for schools with fewer than 200 students was "constitutionally deficient," but agreed to review the plan again after the legislature has had time to adjust the funding system. In January of 2000, a district judge ruled the state's funding formula for major school construction and maintenance projects is unconstitutional because it favors wealthy districts. However, the judge upheld the cost-based funding system, and was expected to rule on other aspects of the formula in February 2000.
Selected Final Court Decisions and State Remedies for Cases in Which Funding Systems Were Ruled Unconstitutional	
Kansas *(U. S. D. No. 229 v. State of Kansas)*	
In a 1991 preliminary opinion, a Kansas district court took an out-of-the-ordinary approach by declaring that property tax revenues should be considered state money, a decision that contradicted the accepted notion that money raised in a district stays in that district. The judge also required the state to focus school funding on children rather than districts.	To respond to the mandate that property tax money is state money, the legislature enacted a statewide property tax rate of 32 mills and established a single, statewide system for collecting and distributing taxes for all school districts. It also included a provision allowing the state to recapture taxes that districts raise above a specified level and redistribute those revenues to other districts. While districts still can raise some local money for schools, that amount is capped at 25% above a district's student spending level. The finance plan also set a minimum state aid level of $3,600 per pupil (for 1992) and made adjustments for at-risk students, low enrollment, facilities and transportation. In 1994, the State Supreme Court upheld changes to the funding formula made in 1992. The court upheld the funding formula, but directed the state to reexamine the district low-enrollment provision of the funding formula. Within a year, modifications were made to the low-enrollment factor and accepted by the court.
Kentucky *(Rose v. Council for Better Education)*	
In June 1989, the Kentucky Supreme Court handed down a landmark decision by declaring the entire state education system unconstitutional. The decision applied to the statutes creating, implementing and financing the system and to all regulations.	The legislature was charged with re-creating a new, equitable and adequate education system. Although the court did not specify a remedy, it did summarize the characteristics of an efficient system of common schools as: the establishment, maintenance and funding of common schools are the sole responsibility of the General Assembly; common schools shall be free and available to all Kentucky children; ... shall be substantially uniform throughout the state; ... shall provide equal educational opportunities to all Kentucky children, regardless of place of residence or economic circumstances.

See footnotes at end of table.

Table 3.4 Selected recent court decisions and state responses for states where the highest court has ruled the funding system unconstitutional and the case has not been resolved, and states where final decisions have found the funding system unconstitutional, by state: 2000—Continued

Status or ruling	Comments
Massachusetts *(McDuffy v. Secretary of Education)* In mid-1993, the Massachusetts State Supreme Court ruled the state violated its constitution by neglecting its responsibility to provide an adequate education for all students. The court emphasized that the state has primary responsibility for education, although it said local money could be part of the funding equation.	Just prior to the court's decision, the legislature had enacted a new funding system, which the court accepted as a remedy to the financial inadequacies. Part of a larger education reform plan, the system sets a per-pupil average of $5,500 to be reached by year 2000, with additional funds to be provided to districts "faced with challenging education problems." The state will play a greater role in making up for differences between wealthy and poor districts. But, in order to ensure that districts make a reasonable tax effort, the state specified a minimum amount that local governments must appropriate to participate in the state's education funding system.
Missouri (*Committee for Educational Equality v. State*) In January 1993, a circuit court judge ruled the state's school finance formula failed to provide equal educational opportunity for children and lacked adequate funding. Further, the court ruled "the deviation from equality on a per-student basis in the distribution of the total resources (both state and local) among the schools in the Missouri school system should not be permitted except to provide resources either (a) to the least advantaged or (b) for specially identified educational needs."	The state enacted a broad education reform plan, the Outstanding Schools Act, which rewrote the school foundation formula and raised new revenue for equity and reform programs. The new foundation program included a required local tax levy and a hold-harmless provision to ensure that no school district receives less money than the prior year. Additional dollars were provided for transportation, special education, at-risk students, a teacher career-ladder initiative and other programs. Revenue to fund the act came from budget cuts, riverboat gambling receipts, limitations on federal income tax deductions and an increase in the required local tax effort for schools. In response to a legal challenge to the Outstanding Schools Act, the State Supreme Court unanimously upheld the main sections of the plan in December 1996.
Montana (*Helena Elementary School District No. 1 v. State)* In 1989, the State Supreme Court found the school funding system unconstitutional stating that as a result of failure to fund the Foundation Program adequately, forcing an over-reliance on property tax levies, the state failed to provide equal education opportunities to each student.	The legislature responded by rewriting the funding system during the 1990 session. However, two plaintiff groups were unsatisfied with the new system and prompted the legislature to return to the table. During the 1993 session, lawmakers passed a radically revised finance system that requires all districts to spend between 80 and 100% of an "optimum" funding level. The plan restricts districts from spending more than the standard, but prompted property tax increases in many communities to reach the optimum funding level. The finance system also equalizes school-building funds and includes a special education component that the state pays to each district.
New Jersey (*Abbott v. Burke*) In May of 1997, the State Supreme Court ruled the revised funding plan unconstitutional because sufficient funds were not provided and the model used to set a base funding level was unacceptable. The court required the department of education to study, identify, fund and implement programs to address needs of students in urban districts (which can include content standards). Also, the court required the education department to ensure that districts are spending money efficiently.	In January 1998, a lower court issued a set of recommendations to the State Supreme Court that would mandate the state to pay $312 million for prekindergarten, extended year and summer school, and social services for urban districts, and $2.7 billion for new classrooms. Both sides appealed—plaintiffs were unsatisfied with dollar amount and the state believed the court overstepped its jurisdiction. In May of 1998, the State Supreme Court issued its final ruling which supported the governor's plan to implement "whole-school reform," expand preschool programs and address school construction. The court called for a continued pursuit of parity between the urban and wealthy districts, but concluded that funding levels should be set by identifiable district needs. The court directed the state to create half-day programs for 3–4 year-olds and full-day kindergarten for children in the 28 urban districts, but rejected the other recommendations by the lower court.
Tennessee *(Tennessee Small Schools System v. McWherter)* The Tennessee Supreme Court struck down the school funding system stating that it short-changed small, rural districts and did not provide equal education opportunities to all students. The State Supreme Court sent the case back to the trial court to determine if a recently enacted new funding system, The Basic Education Program, provided adequate remedies. The trial court accepted the state's new system. In a subsequent court decision, the State Supreme Court ordered the state to improve the equalization of teacher salaries.	The Education Improvement Act of 1992 included a number of education reform initiatives and a new funding formula, the Basic Education Program. The reform programs and equity improvements were funded through a half-cent sales tax increase. The foundation program improved equity by specifying and costing-out the essential components for schools, flowing the majority of money through the equity formula and accounting for the differing school district fiscal capacities. Dollars per student are calculated through a fairly specific system (e.g., providing for a school nurse), but districts can decide how to spend their state aid.

NOTE: In some cases, descriptions have been shortened from original document. Information on cases is as of 2000.
SOURCE: Education Commission of the States, *Clearinghouse Notes: School Finance Litigation*, 2000.

Legislative efforts to respond to judicial directives have generated significant debate, as illustrated by Alabama's experience with adequacy reforms. Although the court decisions in Kentucky and Alabama are very similar, the state responses have been quite different. In Alabama, groups opposed to higher taxes campaigned successfully against comprehensive reform, and the Alabama Education Association opposed the legislature's remedy because of its accountability provisions. As of spring 1999, finance reform had not occurred in Alabama (Ladd and Hansen 1999).

In New Jersey, in *Abbott v. Burke*, 575 A.2d 359 (N.J. 1990), the court found the financing system unconstitutional for the 29 school districts identified in the case as special needs districts. Opposition to the additional taxes needed to increase aid for urban districts made it difficult to comply with the court's ruling, despite repeated attempts. As of 2002, there continues to be challenges to the state remedies (Johnston 2002).

In New Hampshire, in 1997, the court ruled that reliance on local property taxes for education was unconstitutional (Zehr 1999). Opposition to income taxes made it difficult for legislators to fashion a remedy that was acceptable to the court. In October 1999, the state system of financing was again ruled unconstitutional. In November 1999, New Hampshire levied a statewide property tax. This tax was implemented in conjunction with a statewide tax rebate for low-income families and individuals so as not to favor wealthy communities. This financing plan was upheld as constitutional in May 2001, in response to legal challenges by "donor towns"—communities that argued they were subsidizing education in property-poor communities (Viadero 2001).

These examples demonstrate the wide range of experiences that states have had in reforming finance systems to ensure educational adequacy. In Kentucky, adequacy was the impetus for a major overhaul of the education system, and included changes to education financing, governance, and program areas. In contrast, there has been considerable opposition to new taxes and increased accountability in Alabama, and the state has not acted on the court's mandate. New Jersey's experience is also different, with the state reforms focusing only on reforming financing in selected districts, not the overall state system. In New Hampshire, taxpayer preferences have shaped the reform possibilities in that state by limiting the types of revenue options available.

General Revenue Reforms

General revenue reforms make up a second category of state education finance reforms. These efforts differ from adequacy reforms because they are not driven primarily by student outcome concerns (Ladd and Hansen 1999). These state reforms have often broadened the revenue base for a particular tax, shifted the balance among tax sources, or altered the mix of state and local revenues which fund schools. Some have focused on addressing structural issues such as projected long-term deficits that arise from disconnects between state revenue systems and projected needs. Others have been prompted by taxpayer discontent. When tax systems are restructured, education is often affected since it constitutes a large proportion of most state budgets.

Most states make adjustments to their revenue systems every year. During the late 1990s, many states cut taxes, reflecting strong state economies. Another important development during the 1990s was the passage of new constraints on states' taxing abilities. As shown in table 3.5, during the 1990s, nine states passed requirements or constitutional restrictions requiring a legislative supermajority to levy tax increases (Mackey 1999). In these states, the proportion of legislators needed to pass tax increases is higher than that needed for other legislation. This section discusses general state revenue reforms that have direct ties to financing schools, particularly shifts away from local property taxes. These reforms have had major effects on the mix of revenues used for financing schools in particular states.

Many school districts have traditionally relied on local property taxes to fund schools. On average, local governments—towns, townships, municipalities, cities, school districts, and other local governments—raised nearly

Table 3.5 Constitutional restrictions on legislative tax powers for states with supermajority requirements, by state: 1998

State	Adopted	Referendum (R) or voter initiative (I)	Legislative majority required	Applies to
Arizona	1992	I	2/3	All taxes
Arkansas	1934	R	3/4	All taxes except sales and alcohol
California	1979	I	2/3	All taxes
Colorado	1992	I	2/3	All taxes[1]
Delaware	1980	R	3/5	All taxes
Florida	1971	R	3/5	Corporate income tax[2]
Louisiana	1966	R	2/3	All taxes
Michigan	1994	R	3/5	State property tax
Mississippi	1970	R	3/5	All taxes
Missouri	1996	R	2/3	All taxes[3]
Nevada	1996	I	2/3	All taxes
Oklahoma	1992	I	3/4	All taxes
Oregon	1996	R	3/5	All taxes
South Dakota	1978	I	2/3	Sales and income tax
	1996	R	2/3	All taxes
Washington	1993	I	2/3	All taxes[4]

[1]Tax increases automatically sunset (phase out) unless approved by the voters in the next election.

[2]The constitution limits the corporate income tax rate to 5 percent; a 3/5 vote is needed to increase it beyond 5 percent.

[3]The constitution requires voter approval for significant tax increases. In emergencies, the legislature can increase taxes with a 2/3 vote.

[4]Tax increases that produce revenues that do not exceed the spending limit must be approved by a 2/3 legislative vote; tax increases that produce revenue over the limit must be approved by a 2/3 legislative majority and by the voters.

SOURCE: National Conference of State Legislators, *The Appropriate Role of User Charges in State and Local Finance,* 1999.

75 percent of their total tax revenues from the property tax (Ladd and Hansen 1999). Among independent school districts, property taxes play an even more significant role, accounting for 96 percent of school district tax revenue in fiscal year 1994-95. Only in three states—Kentucky, Louisiana, and Pennsylvania—do local school districts generate more than 10 percent of their revenue from sources other than the property tax (Ladd and Hansen 1999).

Taxpayers in many states have expressed frustration with high property tax bills (Ladd and Hansen 1999). This frustration has sometimes led to direct taxpayer action to roll back, cap, or abolish property taxes. In other cases, taxpayer opposition to high rates has prompted state policymakers to take steps to reduce these taxes (Odden 1994, Crampton and Whitney 1996b).

During the 1990s, several states dealt with statewide initiatives to contain property taxes. While some of these actions were motivated by public discontent with the property tax, each of these efforts forced state policymakers to grapple with developing alternative funding mechanisms for education. The experiences of Michigan and Wisconsin, discussed below, illustrate how changes in the property tax have required states to identify other sources of revenue to fund education.

Michigan

Michigan's move to reduce its reliance on the local property tax as a revenue source for education resulted in a major restructuring of its funding system. In the early 1990s, Michigan school districts received two-thirds of their funding from local property taxes.

The state's dependence on local property taxes produced a number of serious concerns. First, disparities in the property tax base resulted in rich and poor districts. Second, public support for local property taxes had eroded, as evidenced by ten statewide ballot initiatives to cut property taxes between 1973 and 1993. Finally, there were

concerns that high property tax rates would discourage business investment (The Finance Project 1997; Courant, Gramlich, and Loeb 1995).

In response to these concerns, the Michigan legislature abolished local school property taxes in 1993, then scheduled a referendum on how to replace the money. The new system of finance approved in 1994 drew on other sources of revenue for funding education. In particular, the state sales tax was increased from 4 to 6 percent, a statewide property tax was enacted, the tax on cigarettes was increased, and real estate transfer taxes were imposed. In addition, a new system of assessing property was enacted, and a state foundation grant formula for distributing funds was put in place (The Finance Project 1997; Courant, Gramlich, and Loeb 1995).

Wisconsin

In 1993, the Wisconsin legislature passed legislation which provided local property tax relief, imposed revenue caps on all of its school districts, and increased state aid. Under the law, the state agreed to pay for two-thirds of the cost for educating public school children. This represented a significant shift in the mix between state and local funds for education as the state share had been 42 percent in previous years. The plan froze the amount that could be raised through general aid and froze property taxes at 1992–93 levels. Since the new law required the state to pay two-thirds of the costs of education, these actions were designed to guarantee that the state could pay its share of the bill by limiting the revenue that local districts could raise (Blair 1999). Annual salary and benefit increases for teachers were limited to 3.8 percent (Blair 1999).

By 1998, 64 percent of 314 superintendents within the state reported that revenue caps were hurting their districts. Nearly a quarter—24 percent—indicated that the revenue caps had a neutral effect on their districts and had neither helped nor hurt them. Twelve percent said that the caps had a positive effect (Blair 1999). A 2000 State Supreme Court decision upheld the funding system as constitutional (Blair 2000).

Although the experiences of Michigan and Wisconsin differed in many ways, the shifts from local property taxes changed revenue sources for education in each state. In both cases, this involved shifting the reliance on local property taxes to different state taxes.

Special Education Financing Reforms

The third group of state reforms involves restructuring the way special education dollars are raised and spent. This set of reforms involves both changes in funding arrangements and in revenue sources.

Over the past two decades, substantial growth in student enrollment in special education has led to heightened scrutiny over spending on special education by state and federal policymakers, legislators, and the public. The percentage of children ages 0 to 21 served by federally funded special education programs for children has increased over the last 20 years. In 1976–77, federally supported programs for the disabled served 8 percent of total enrollment in public schools, (kindergarten through 12th grade, including a relatively small number of prekindergarten students); in 1998–99, they served 13 percent (U.S. Department of Education 2000c). Other policy issues also have encouraged state policymakers to reexamine the incentives built into the system for funding special education. For example, efforts to integrate students into regular education classrooms and those aimed at providing greater local flexibility have also acted as catalysts for change during the 1990s (Parrish 1996).

Special education is financed through a combination of federal, state, and local funds. The passage of the Education for All Handicapped Children Act (P.L. 94-142) guaranteed a free, appropriate education for all students with disabilities. The statute was renamed the Individuals with Disabilities Education Act (IDEA) in the Education of the Handicapped Act Amendments of 1990 (P.L. 101-476) (U.S. Department of Education 2000c).

Under IDEA, school districts must determine whether a child has a disability. For each child with a disability, the school must put together an individualized education program (IEP) that describes the education and supportive services that the child will receive, and then provide these services. In addition to education services, the school must provide related services that permit a child with disabilities to benefit from special education. These services include transportation, speech-language pathology and audiology services, psychological services, physical and occupational therapy, counseling, and medical services. Assistive services may also be required. IDEA services can be provided in settings other than the school (e.g., hospital or clinic) if necessary to provide a free, appropriate education (U.S. General Accounting Office 1999).

IDEA offers federal grants to all participating states. The 50 states and the District of Columbia participate in the program. Prior to the reauthorization of IDEA in 1997, federal funds were allocated to states based on the number of children with disabilities, ages 3 through 21. Under the 1997 amendments, grants to states continued to be based on child counts until fiscal year 2000—the fiscal year in which the federal appropriation for Part B, Section 611 exceeded $4.9 billion. Since then, funds have been allocated using a more complex formula, with states receiving a base allocation equal to their funding levels in fiscal year 1999. Eighty-five percent of remaining program funds are distributed to states based on the age ranges for which states mandate services, and 15 percent based on the number of children in the state living in poverty in those age ranges (U.S. Department of Education 1998c; U.S. Department of Education 2000c).

This section focuses on state reforms for distributing state aid for special education prior to the 1997 reauthorization, as well as state policies for using resources from other areas as well.

State Aid for Special Education

Each state has a different set of policies and procedures for funding special education aid. Funding systems can be divided into four categories: pupil weights, resource-based, percentage reimbursement, or flat grant (Parrish et al. 1997).

Pupil weight systems are used by states to allocate special education funds on a per student basis, with the funding amounts usually expressed as a multiple of regular education aid. Weights usually differ according to the basis of student placement, or the type of disability, or some combination of these elements.

Resource-based systems distribute special education funds based on specific education resources, for example, teachers or classroom units. Classroom units are calculated using prescribed staff/student ratios for each disabling condition or type of placement.

Percent reimbursement funding arrangements provide state funding for a given percent of allowable or actual special education expenditures. Districts may be reimbursed for the full costs incurred for educating children with disabilities, or for some specified percentage.

Flat grants distribute state education aid based on a fixed amount per student or per unit. Census-based funding systems determine state aid using the number of total students within a district and are considered a variant of flat grant systems.

A 1997 Center for Special Education Finance report (Parrish et al. 1997) classifies states by type of special education funding system used in 1994–95, and indicates the basis of allocation used (table 3.6). During 1994–95, pupil weight systems were the most widely used for allocating special education dollars, with 19 states using these systems. Percent reimbursement systems were the second most popular method and were used in 11 states. Ten states funded special education through flat grant systems, and the remaining 10 states used resource-based funding arrangements. Table 3.6 also indicates which states direct their special education dollars to the target

Table 3.6 State special education funding systems used, basis of allocation used, and reform status: 1994–95

State	Current funding formula[1]	Basis of allocation[2]	State special education funding for target population only[3]	Implemented reform between 1990 and 1995	Considering major reform
Alabama	Flat grant	Special ed. enrollment	x	x	x
Alaska	Pupil weights	Type of placement			x
Arizona[4]	Pupil weights	Disabling condition			x
Arkansas	Pupil weights	Type of placement	x		x
California	Resource-based	Classroom unit	x		x
Colorado	Flat grant	Special ed. enrollment	x	x	
Connecticut	% reimbursement	Actual expenditures			x
Delaware	Resource-based	Classroom unit	x		x
Florida	Pupil weights	Disabling condition			x
Georgia	Pupil weights	Disabling condition	For 90% of funds		x
Hawaii	Pupil weights	Placement & condition			
Idaho	% reimbursement	Actual expenditures	x	x	
Illinois	Resource-based	Allowable costs		x	x
Indiana	Pupil weights	Disabling condition			x
Iowa	Pupil weights	Type of placement			x
Kansas	Resource-based	No. of special ed. staff	x		
Kentucky	Pupil weights	Disabling condition		x	
Louisiana	% reimbursement	Actual expenditures	x	x	x
Maine	% reimbursement	Allowable costs	x		x
Maryland	Flat grant	Special ed. enrollment			x
Massachusetts	Flat grant	Total district enrollment		x	
Michigan	% reimbursement	Allowable costs	x		x
Minnesota	% reimbursement	Actual expenditures	x		x
Mississippi	Resource-based	No. of special ed. staff	x		
Missouri	Resource-based	No. of special ed. staff	x	x	x
Montana	Flat grant	Total district enrollment		x	
Nebraska	% reimbursement	Allowable costs	x		x
Nevada	Resource-based	Classroom unit	x		
New Hampshire	Pupil weights	Type of placement			x
New Jersey	Pupil weights	Placement & condition			
New Mexico	Pupil weights	Services received			x
New York	Pupil weights	Type of placement	x		x
North Carolina	Flat grant	Special ed. enrollment	x		x
North Dakota	Flat grant	Total district enrollment		x	
Ohio	Resource-based	Classroom unit			x
Oklahoma	Pupil weights	Disabling condition			
Oregon	Pupil weights	Special ed. enrollment		x	
Pennsylvania	Flat grant	Total district enrollment		x	
Rhode Island	% reimbursement	Actual expenditures			x
South Carolina	Pupil weights	Disabling condition	For 85% of funds		
South Dakota	% reimbursement	Allowable costs	x		x
Tennessee	Resource-based	Classroom unit			x
Texas	Pupil weights	Type of placement	x	x	
Utah[5]	Pupil weights	Type of placement	x	x	
Vermont[6]	Flat grant	Total district enrollment		x	
Virginia	Resource-based	Classroom unit			

See footnotes at end of table.

Table 3.6 State special education funding systems used, basis of allocation used, and reform status: 1994–95—Continued

State	Current funding formula[1]	Basis of allocation[2]	State special education funding for target population only[3]	Implemented reform between 1990 and 1995	Considering major reform
Washington	Pupil weights	Special ed. enrollment	x	x	
West Virginia	Flat grant	Special ed. enrollment	x		
Wisconsin	% reimbursement	Allowable costs	x		
Wyoming	% reimbursement	Actual expenditures			x

[1]State special education formulas are classified into one of the following four broad categories:

Flat grant: A fixed funding amount per student or per unit.

% reimbursement: Funding based on a percentage of allowable or actual expenditures.

Pupil weight: Funding allocated on a per student basis, with the amount(s) based on a multiple(s) of regular education aid.

Resource-based: Funding based on allocation of specific education resources (e.g., teacher or classroom units). Classrooms are derived from prescribed staff/student ratios by disabling condition or type of placement.

[2]Primary factors used in allocating aid (see report for additional details):

Actual expenditures: Allocation is based on actual special education expenditures.

Allowable costs: Reimbursement can only be claimed for allowable costs, as defined, reviewed, and approved by the state.

Classroom unit: Districts generate funds based on a number of authorized units. A unit of funding may incorporate part or all of the estimated cost of a teacher, and a teacher and an aide.

Disability category: The nature of each student's disability (e.g., learning disability, serious emotional disturbance, profound mental retardation) is the basis for allocation. The allocation generally increases as a function of standardized estimates of the cost of the service required for children within each disability category.

Number of special education staff: Allocation is based on the state numbers of various types of authorized staff (e.g., teachers, aides, therapists).

Services received: Allocation for each child is determined from unit rates associated with the mix and quantity of individual services received (e.g., instruction, therapy, transportation).

Special education enrollment: The number of children identified as eligible for special education services and for which Individual Education Programs (IEPs) are in place is the basis for allocation.

Total district enrollment: Funding is based on the total number of students in the district. A percentage of this total district enrollment is assumed to represent the special education population. Also referred to as "census-based" funding, this uniform identification rate serves as the basis for allocation.

Type of placement: Student placement (e.g., in a regular education classroom, a resource room, a special day class, a residential program) is the basis for allocation. The allocation generally increases as a function of some standardized estimate of the cost of the service or placement.

[3]An affirmative response indicates 100 percent of state special education funds are for target population. The percentages indicate the values specified.

[4]Formula also contains a substantial flat grant allocation for selected disabling conditions.

[5]Formula amounts are now frozen and are based on allocations in prior years.

[6]Vermont's special education funding formula also contains a substantial percent reimbursement component.

NOTE: The District of Columbia was not reported in the original source. "X" indicates an affirmative response in the original source, while a blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Center for Special Education Finance, *State Special Education Finance Systems 1994–95*, 1997.

population only. Finally, the table documents the considerable interest in reform during the 1990s. Sixteen states implemented reforms in the 5 years prior to the 1994–95 school year, and over half considered major finance reform in this area during the 1994–95 school year (Parrish et al. 1997).

Other Sources of Revenue for Special Education

States also tap other sources of revenue to provide special education services to children with disabilities. These programs can provide additional funding sources for providing the wide array of services that may be required for educating special education students.

In recognition of the wide scope of services that may be provided to special education students, one of the IDEA requirements is that educational entities coordinate their services with other agencies and programs. In particular, the state must provide services to locate and evaluate all children with disabilities who need special education services. The state must also establish responsibility for providing services. This is often done through an interagency agreement, although other mechanisms are used as well. Interagency agreements or other mechanisms cover financing arrangements, conditions for reimbursement, procedures for resolving disputes, and policies for coordinating services (U.S. General Accounting Office 1999).

Table 3.7 lists other sources of revenue used by 42 states that reported data in 1994–95. Sources of additional funds for special education services included Medicaid, state mental health funds, and private medical insurance. Some states chose to return these funds to the districts, while in others the money was placed in the state's general fund. Fourteen states reported that 100 percent of these revenues was returned to local districts (Parrish et al. 1997).

Medicaid is a source of funds used by many states for special education. Medicaid is a joint federal-state program that provides health services for low-income individuals, one-half of whom are children. Children who qualify for IDEA may also be eligible for Medicaid services. Medicaid is an entitlement program, so states and the federal government are required to fund all covered services for eligible individuals. Medicaid is traditionally the payer of last resort; however, since 1988, Medicaid funds must be used to reimburse IDEA-related medically necessary services before IDEA funds are spent (U.S. General Accounting Office 1999).

In general, the federal government shares Medicaid costs in two categories: health services and administrative services. Health services range from providing contracted service work to a school-based health clinic. In addition, Medicaid covers such services as occupational, physical, and speech therapies. The administrative services covered by Medicaid range from providing information resources to assisting schools with application procedures (e.g., informational outreach and arranging health services).

In 1994–95, 11 of 42 reporting states were able to report estimates of Medicaid revenue. Connecticut, Kansas, Louisiana, Michigan, Montana, North Carolina, North Dakota, Rhode Island, South Dakota, Vermont, and Virginia were able to report Medicaid revenue. In all but three of these states, Medicaid reimbursements accounted for 1 percent or less of all state special education expenditures. Louisiana claimed Medicaid reimbursement for 16 percent of its state allocation for special education, while Rhode Island and Michigan claimed 2 and 3 percent, respectively. In some states, individual districts or consortia of districts applied for these reimbursements directly, so the state may not actually know the extent to which Medicaid funds supplement state special education funds (Parrish et al. 1997).

Table 3.7 Other sources of revenue for special education services and percent of revenue returned to local school districts, by state: 1994–95

State	Other sources of special education revenue			Percent returned to local districts
	Medicaid	Student mental health funds	Private medical insurance	
Alabama	x	x		—
Alaska	x	x		—
Arizona		x		—
Arkansas	x			100%
California	x	x	x	—
Connecticut	x		x	—
Delaware	x			30%
Florida	x	x	x	100%
Idaho	x			—
Illinois	x			100%
Indiana	x	x		—
Kansas	x			100%
Kentucky	x		x	—
Louisiana	x	x	x	100%
Maryland	x		x	100%
Massachusetts	x			—
Michigan	x			50%
Mississippi	x			—
Missouri	x		x	—
Montana	x		x	100%
Nebraska	x			—
Nevada	x	x		—
New Hampshire	x			100%
New Jersey	x			15%
New Mexico	x	x	x	—
New York	x			50%
North Carolina	x			—
North Dakota	x		x	100%
Ohio	x			—
Oklahoma	x	x	x	—
Oregon	x			100%
Pennsylvania	x			—
Rhode Island	x			100%
South Carolina	x			—
South Dakota	x			100%
Tennessee	x	x	x	—
Texas	x			100%
Utah	x	x	x	—
Vermont	x	x		50%
Virginia	x			100%
Washington	x			20%
West Virginia	x			—

—Not available. State did not provide data.

NOTE: States not listed and the District of Columbia did not report using other sources of revenue to provide special education services to school-age children with disabilities. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Center for Special Education Finance, *State Special Education Finance Systems, 1994–95*, 1997.

Summary

School financing systems are complex, relying on a mix of federal, state, and local revenues to fund elementary and secondary education. State governments play a pivotal role in these systems. Accordingly, state reforms affect the way state and local revenues are generated, intergovernmental transfers are made, and education funds are spent. State policies affect financing of general education as well as specific program areas, like special education. When reforming school finance systems, state policymakers seek to balance a number of objectives, including efficiency, equity, adequacy, accountability and stability. This section discussed three key state reforms that have had an impact on school financing: adequacy reforms, general revenue reforms, and special education financing reforms.

State efforts to define and provide funding for an adequate education have been an area of reform for education finance in the last decade. States across the nation have faced similar challenges: defining adequacy; determining the cost of obtaining adequacy; and adjusting these costs for student, resource, and geographic differences, economies of scale, as well as inflation. Given the wide variation in state approaches to dealing with each of these challenges, as well as state political climates, state adequacy reforms have differed. While considerable research still needs to be done to learn about the relationship between costs and outcomes, state efforts to tackle this challenging issue represent a major shift in focus in education finance.

The second group of reforms, general revenue reforms, is not tied as directly to education finance reform. Reforms in this group are often prompted by taxpayer discontent, unbalanced revenue systems, or taxpayer-imposed spending or revenue constraints. These reforms do have implications for school funding, however. Property tax reforms have tended to broaden the revenue base for education, placing more responsibility on state governments. Finally, state reforms in special education finance make up the third group of education finance reforms discussed in the chapter. They include changes in the way states distribute funds to districts, and new policies to finance special education services using revenues from multiple sources. Since 1988, Medicaid funds have become an additional source of special education funds, as Medicaid funds must be used to reimburse IDEA-related medically necessary services before IDEA funds are used.

Chapter Four
Teacher Training and School Resources

Over the past decade, states have adopted legislation intended to raise student achievement through the creation of content and performance standards, large-scale testing programs, and accountability systems. As described in previous chapters, these standards-based reform efforts are intended to ensure that all students attain high levels of competence in all subject areas. Obtaining these goals, however, also depends on factors such as early childhood education, the effectiveness of teachers, the resources available to students and teachers, and academic climate of schools. Over the past decade, states have adopted policies intended to maximize these resources.

State-funded Prekindergarten Programs

State-funded prekindergarten programs are state initiatives that prepare children ages five and younger who have not yet entered kindergarten to enter school. The recent development and expansion of state-funded prekindergarten programs arose amidst a generally increasing interest in early childhood care and education (Schultz, Lopez, and Hochberg 1996). Prekindergarten programs are typically only one of several strategies within a state's overall early childhood policy framework; other components, such as tax credits, family leave policies, and health care access, are beyond the scope of this report (Schultz, Lopez, and Hochberg 1996).

Recent changes in federal legislation have increased states' authority and flexibility to create and implement prekindergarten programs by merging categorical funding streams into social services block grants (National Governors Association [NGA] 1997). An example of such legislation is the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193); this act has allowed states to completely redesign their welfare programs and has increased federal funds, available through block grants, that are used to subsidize child care for low-income families.

While various pieces of legislation have increased states' ability to implement programs for preschoolers, research has demonstrated the importance of experiences in the early years of life on later school performance and lifelong outcomes. For example, a National Research Council (2001) report outlines the importance that early experiences have on the development of the brain. According to the report, from birth to the age of 5, children's foundational capacities develop rapidly, and it is this foundation on which their subsequent development builds. It has been advocated that education begin before kindergarten because disparities between children's knowledge and actual skills are evident prior to this age. These differences are associated with later economic and social circumstances and can predict later academic performance (National Research Council 2001).

High-quality prekindergarten programs may be especially beneficial for children from disadvantaged families. Some studies have documented positive short- and long-term effects of intensive preschool intervention programs on cognitive and academic outcomes as well as on social outcomes and delinquency (see Currie 2000 and Schweinhart 2001 for a review of the research). Research suggests that economically disadvantaged participants in certain high-quality preschool programs are less likely than disadvantaged students who did not participate in such programs to be assigned to special education classes later in school, held back in a grade, involved in crime, or drop out of school (see Karoly et al. 1998 for a review of the research on programs).

It is important to note, however, that a number of observers have highlighted the limitations of existing studies and of prekindergarten programs, and some research has raised questions about the efficacy and implementation of these programs (see, e.g., Ravitch 1998, Zigler and Styfco 1994, Goodson et al. 2000, and U.S. General

Accounting Office 1997 for discussions). Building on a body of research about the Head Start program, a comprehensive childhood development program administered by the U.S. Department of Health and Human Services intended to improve school readiness of young children in low-income families, Currie (2001) discussed a number of issues and their political consequences. She noted that policymakers have become more dissatisfied with the program and that during the most recent Head Start reauthorization in October 1998, Congress required that the Department of Health and Human Services address problems such as uneven quality across centers, insufficient attention to pre-literacy skills, and lack of accountability in demonstrating improvements in child outcomes by mandating the adoption of performance standards related to children's literacy skills and school readiness, expanding the monitoring of child outcomes, and improving the quality of Head Start teachers.

Most state-funded prekindergarten programs are funded through state budget appropriations to a state agency, such as the state education department. These funds are used to administer a defined program for direct operation by school districts or other community entities. A smaller number of programs are funded through traditional education funding mechanisms in which school districts enroll children younger than five, count them in average daily attendance reports, and receive state aid for them.

According to a 1998 publication by the Families and Work Institute (Mitchell, Ripple, and Chanana 1998), 39 states fund at least one kind of prekindergarten program and/or the federal Head Start program, with 11 of these states funding both (table 4.1). Of these 39 states, 37 appropriate state funds for a prekindergarten program, and 13 use state funds to supplement the federal Head Start program within the state. Two states (Alaska and New Hampshire) do not have their own state prekindergarten programs, but direct state funds to support Head Start. While 7 states limit their funding to public schools, 30 states allow other programs or entities such as the Head Start program, child care programs, and community-based organizations to receive funds directly or through their local public school district (not shown in tables; Mitchell, Ripple, and Chanana 1998). Among the states, funding for these programs ranges from $1 million to well over $200 million annually. The number of students served by these programs also varies widely by state, from a few hundred to over 40,000 children annually (Mitchell, Ripple, and Chanana 1998).

Student eligibility criteria for these prekindergarten programs vary from state to state as well. All states use child age as an eligibility criterion, with 14 states limiting entry to four-year-olds and 13 states allowing both three- and four-year-olds (table 4.2). Five states include five-year-olds who are deemed not yet ready for kindergarten in addition to three- and four-year olds; three states allow children from birth through the required age for kindergarten entry; and two enroll children from three years of age (Mitchell, Ripple, and Chanana 1998).

Ten states also consider family income as a criterion for child eligibility with five states using the federal poverty level as a criterion (table 4.2). Because this criterion of family income at or below the federal poverty level is the same as that used by the federal Head Start program to enroll children, the 13 states that have chosen to supplement federal Head Start funds as part of their prekindergarten initiative use it as well (Mitchell, Ripple, and Chanana 1998).

Table 4.1 States that support prekindergarten and/or Head Start programs with state funds: 1998

State	State funding for Pre-K programs	State funding for Head Start	No state funds for Pre-K or Head Start
Total	**37**	**13**	**11**
Alabama			x
Alaska		x	
Arizona	x		
Arkansas	x		
California	x		
Colorado	x		
Connecticut	x	x	
Delaware	x		
Florida	x		
Georgia	x		
Hawaii	x	x	
Idaho			x
Illinois	x		
Indiana			x
Iowa	x		
Kansas			x
Kentucky	x		
Louisiana	x		
Maine	x	x	
Maryland	x		
Massachusetts	x	x	
Michigan	x		
Minnesota	x	x	
Mississippi			x
Missouri	x		
Montana			x
Nebraska	x		
Nevada			x
New Hampshire		x	
New Jersey	x	x	
New Mexico	x		
New York	x		
North Carolina	x		
North Dakota			x
Ohio	x	x	
Oklahoma	x	x	
Oregon	x		
Pennsylvania	x		
Rhode Island	x	x	
South Carolina	x		
South Dakota			x
Tennessee	x		
Texas	x		
Utah			x
Vermont	x		
Virginia	x		
Washington	x	x	
West Virginia	x		
Wisconsin	x	x	
Wyoming			x

NOTE: The District of Columbia was not reported in the original source. "X" indicates that an affirmative response for that state was reported in the original source while a blank cell indicates that an affirmative response for that state was not reported.

SOURCE: Families and Work Institute, *Prekindergarten Programs Funded by the States: Essential Elements for Policy Makers*, 1998.

Table 4.2 Criteria for state-funded prekindergarten programs, by age and income, by state: 1998

	Age criteria					Income level criterion (i.e., percent specific income level required)[1]
	Birth to 5 years (to K entry)	3- and 4-year-olds	3-, 4-, and 5-year-olds (to K entry)	3-year-olds to 3rd grade	4-year-olds	
Total	**3**	**13**	**5**	**2**	**14**	**10**
Arizona				x		
Arkansas			x			
California					x	
Colorado					x	
Connecticut		x				
Delaware					x	100 FPL
Florida		x				
Georgia					x	
Hawaii		x				75 SMI
Illinois			x			
Iowa		x				130 FPL
Kentucky		x				133 FPL
Louisiana					x	
Maine					x	
Maryland					x	
Massachusetts			x			100 SMI
Michigan					x	
Minnesota			x			
Missouri		x				
Nebraska	x					
New Jersey		x				
New Mexico	x					
New York		x				
North Carolina	x					
Ohio		x				185 FPL
Oklahoma					x	
Oregon			x			100 FPL
Pennsylvania					x	
Rhode Island				x		
South Carolina					x	
Tennessee		x				100 FPL
Texas		x				
Vermont		x				
Virginia					x	100 FPL
Washington		x				100 FPL
West Virginia					x	
Wisconsin					x	

[1]FPL = Federal Poverty Level; SMI = State Median Income.

NOTE: States not listed and the District of Columbia were not reported in the original source. "X" indicates an affirmative response by that state for the age criterion was reported in the original source while a blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Families and Work Institute, *Prekindergarten Programs Funded by the States: Essential Elements for Policy for Policy Makers*, 1998.

Teacher Training

In recent years, many states have changed the process through which teachers are trained and certified. Concerns over the academic rigor of traditional teacher training programs, the strength of the certification process, the match between training programs and teaching assignments, and professional development opportunities have led many states to consider applying a similar model of reform to teacher training as they have to student achievement. This model is centered on standards, testing, and accountability (Dilworth and Imig 1995). Another model, the nontraditional alternative certification model, addresses these concerns through streamlined preparation and certification requirements in order to bring qualified professionals into classrooms quickly (U.S. Department of Education 2002).[6] In addition, a relatively new federal law, passed by Congress in 1998, reauthorized Title II of the Higher Education Act (P.L. 105-244). The reauthorization added new accountability measures, which require states to report annually on specific indicators of the quality of their teacher preparation programs and certification and licensure requirements. The following sections outline the steps that teachers must take to fulfill state requirements for obtaining and maintaining a teaching license.

Obtaining and Maintaining a Teaching License[7]

The basic process of becoming a licensed teacher is similar across states, although the details vary considerably. Prospective teachers generally must complete various coursework requirements and earn at least a bachelor's degree from an accredited institution. To be granted a teaching certificate, an individual typically must also pass one or more competency tests, which may cover basic skills, pedagogical skills, and subject matter knowledge, depending on the state. Once licensed, the performance of new teachers may be assessed, and teachers are expected to complete a certain amount of professional development activities to maintain their teaching license. Finally, in many states there are two or three levels of certification, with each successive level requiring additional experience, education, and assessments.

This section describes state policies that define this process of earning and maintaining a teaching certificate. The data presented in the tables are drawn from a variety of sources, including: the National Association of State Directors of Teacher Education and Certification (NASDTEC) *Manual on the Preparation and Certification of Educational Personnel* (NASDTEC 2000), *The Initial Report of the Secretary on the Quality of Teacher Preparation* (U.S. Department of Education 1999), the Council of Chief State School Officers (CCSSO), *Key State Education Policies on K–12 Education* (CCSSO 1998, 2000a), and *Education Week* (*Education Week* 2000, 2001).

Obtaining a Teaching License

According to the CCSSO, "Standards for teachers define the knowledge and skills teachers should have to provide quality instruction to students at given age or grade levels and specific content areas" (CCSSO 1998, p. 26). A CCSSO survey conducted in 2000 found that a majority of states licensed or certified teachers based on state standards, and that most of these states have either developed or revised their statewide teaching standards since 1990 (table 4.3). Of the few states without standards, most indicated that they were soon to be in effect or were being developed.

[6] For an extensive discussion about the divergent approaches to teacher certification reform, characterized here as "traditional" and "nontraditional" models, see Cochran-Smith and Fries (2001).

[7] Given the variations from state to state in the definitions of the terms "certificate" and "license," these terms are used interchangeably in this report.

Table 4.3 Select characteristics of state teaching standards: 2000

State	Teacher standards/date approved by state board	Standards apply to all fields	Standards specific to fields[1]	Based on INTASC standards[2]
Alabama	Jan-97	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	Yes
Alaska	1994	Yes		Yes
Arizona	No standards in place	†	†	†
Arkansas	Developing			
California	Various dates by field	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	No
Colorado	Jan-00	Yes	O	No
Connecticut	Effective July-03	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	Yes
Delaware	Jan-98	Yes		Yes
Florida	July-00	Yes		
Georgia	1999	Yes	Early childhood education., M Ed	Yes
Hawaii	2000	Yes	O	Yes
Idaho	Sep-00	Yes		Yes
Illinois (1998)	Developing	Yes	Core standards and teaching fields	Yes
Indiana	1999; Effective 2002	Yes	E/LA, M, S, SSt, AR, FL, El Ed, M Ed	Yes
Iowa	Fall 1998; Effective 2001		Early childhood	Yes
Kansas	Developing	Yes		Yes
Kentucky	Revised May-99	Yes	ISTE standard for technology	Yes
Louisiana	Standards in place	Yes	Apply to all fields; E/LA & M (under rev.)	Yes
Maine	Standards in place	Yes		Consistent
Maryland	Nov-95	Yes		Yes
Massachusetts	October 2000 vote	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	No
Michigan	1999-2000	Yes	E/LA, M, M Ed, O	Yes
Minnesota	Apr-99	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	Yes
Mississippi	1997	Yes		No
Missouri	Feb-97	Yes		Yes
Montana	Sep-00	Yes		
Nebraska	May-99	Yes	Rule 24: specific fields	No
Nevada	No standards in place	†	†	†
New Hampshire	Revised every 3 years	No	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	No
New Jersey	1985	Yes		No
New Mexico	Jul-00 alternative licensure	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	Yes
New York	No standards in place	†	†	†
North Carolina	May-98	Yes	All teaching fields	Yes
North Dakota	For teacher education		Apply to teacher education	Yes
Ohio	Approved 1996; Implemented 1998	Yes	E/LA, M, SSt, S, AR, FL, M Ed, O	Yes
Oklahoma	1997	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	Yes
Oregon	Jan-99	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	No
Pennsylvania	2000	Yes	E/LA, M, SSt, S, AR, FL, El Ed, O	No
Rhode Island	Oct-99	Yes	Middle grades education	No
South Carolina[3]	No standards in place	†	†	†
South Dakota	Sep-00	No	E/LA, M, SSt, S, AR, FL, El Ed, M Ed	Yes
Tennessee	For teacher education	Yes		Yes
Texas	May-00	Yes	E/LA, M, SSt, S, El Ed, M Ed (AR & FL rev)	Yes
Utah	Jul-00	Yes	NCATE & INTASC	Yes
Vermont	Revised 1999	Yes		Yes
Virginia	Proposed standards by Fall '02	Yes	SSt	No
Washington (1998)	1997-1998	Yes		Yes
West Virginia	Jan-00	Yes	E/LA, M, SSt, S, AR, FL, El Ed, M Ed, O	No
Wisconsin	Jan-00	Yes		Yes
Wyoming	1988	Yes		No

† Not applicable.

[1]E/LA = English/Language arts; FL = Foreign language; M = Mathematics; El Ed = Elementary education; SSt = Social studies; M Ed = Middle grades education; S = Science; AR = Art; O = Other.

[2]INTASC: Interstate New Teacher Assessment and Support Consortium.

[3]Based on information obtained from the South Carolina Department of Education, South Carolina does not have state teacher standards as defined by CCSSO; however, the state's teacher induction and evaluation program for new teachers is based on INTASC standards.

NOTE: The District of Columbia was not reported in the original source. A blank cell indicates that a relevant response for that state was not reported in the original source.

SOURCE: Council of Chief State School Officers, *Key State Education Policies on K–12 Education: 2000*, 2000.

In order to keep track of state standards for teachers, many states have professional standards boards that are responsible for the development and oversight of these standards. Sixteen states have an autonomous standards board that establishes and upholds state teacher standards and three states have semi-autonomous boards that make decisions. Finally, 23 states have advisory boards that make suggestions but do not have the authority to make decisions (not shown in tables; Christie 2000).

Most state teaching standards specify the type of coursework that a prospective teacher should complete while in college. Coursework requirements generally vary by the level of students the prospective teacher expects to be teaching. While most prospective teachers are expected to complete a core set of education classes, including classes such as teaching methods, child development, and supervised teaching experience, those wishing to earn a certificate to teach secondary school students may also be required to take a certain number of hours in the subject they plan on teaching, such as mathematics or English.

In recent years, "out-of-field" teaching—teaching assignments that do not match teacher training or education—has been a concern. Licensing policies in most states address this issue by specifying the amount of coursework in a particular subject that a prospective teacher must have in order to teach that subject in either middle or high school. Table 4.4, based on a survey conducted by *Education Week* (2000), indicates that in 1999, nearly all states set minimum subject-area coursework requirements for high school teachers and about half have established such requirements for middle school teachers.

In addition to various coursework requirements, most states also require prospective teachers to complete one or more assessments before a teaching license or certificate is issued. Written assessments may cover basic skills, professional knowledge of teaching, subject area or content knowledge pedagogy, and include other specialized examinations (U.S. Department of Education 1999). Most states use teacher certification tests developed by the Educational Testing Service (ETS), which produces a series of tests known as Praxis, or by the National Evaluation Systems (NES), which develops customized tests for participating states. The number of states requiring specific written assessments as part of the initial teacher certification or licensure process increased in the 1990s (table 4.5). For example, the number of states, including the District of Columbia, requiring a basic skills exam grew from 26 in 1990 to 41 in 1999. During this same period, the number of states requiring a subject matter test increased from 24 to 31, and the number of states requiring a knowledge of teaching exam increased from 24 to 26.

During the 1990s, a number of states established routes to teacher certification that did not include all the requirements described above. These alternative routes to certification are intended to move, in part, highly-qualified teacher candidates through the preparation and licensure process quicker than the traditional process, and their development reflects skepticism by some about traditional methods of teacher certification (U.S. Department of Education 2002). Like traditional licensure programs and requirements, alternative routes vary by state, but generally these alternatives shorten or eliminate certain requirements, such as coursework in education philosophy, pedagogy, or practice teaching, while requiring successful completion of the same licensure exams as their traditional counterparts (U.S. Department of Education 2002). By 2001, 44 states and the District of Columbia offered alternative routes to teacher certification, and between 1996 and 2001, 20 states created new alternative routes by either expanding existing programs or passing new legislation (not shown in tables; U.S. Department of Education 2002).

Distinct from alternative routes to teacher certification, prospective teachers in many states can gain a waiver for some requirements under special circumstances and often for a limited time only. One common reason a state may grant a waiver is to fill teaching needs in a particular geographic area or subject area experiencing a critical teaching shortage. In some states, waivers have been granted to ease the strain caused by other state policy changes. *Education Week* (2000) reported that California's class-size reduction initiative caused an immediate need for

Table 4.4 Subject-area coursework requirements for middle and high school teachers, by state: 1999

State	Subject-area requirements					
	Minimum options for middle school			Minimum options for high school		
	Degree[1]	Coursework amount (in semester hours)	Other[2]	Degree[1]	Coursework amount (in semester hours)	Other[2]
Alabama			Program			Program
Alaska						Program
Arizona						
Arkansas		18[3]			21	
California	Major[3]			Major[3]	30–45[4]	
Colorado	Major			Major		
Connecticut	Major[3]	24		Major	30–39	
Delaware		24 math, 39 science	Program in math	Major	36	Program
Florida	Major	18		Major	30	
Georgia				Major	55–75 (quarter hours)	Program
Hawaii				Major	30–36	
Idaho				Major and minor	45	
Illinois		18			32	
Indiana	Minor			Minor		
Iowa					30	
Kansas						Program
Kentucky			Program			Program
Louisiana					20–33	
Maine				Major	36	
Maryland					36	
Massachusetts	Major[3]			Major[3]	24	
Michigan	Major[3] and minor			Major and minor		
Minnesota	Major[3] and minor			Major and minor[3]		
Mississippi				Major		
Missouri		21			30–40	
Montana				Minor		
Nebraska		18		Minor	30–60	
Nevada				Minor		
New Hampshire						Program
New Jersey	Major			Major		
New Mexico		24[3]			24	
New York		36			36	
North Carolina			Program			Program
North Dakota				Minor		
Ohio		30		Major		
Oklahoma		12		Major		
Oregon						
Pennsylvania						Program
Rhode Island		30			30–36	
South Carolina		21		Major	30–36	
South Dakota		12		Major	18–24	
Tennessee	Major[3]			Major		
Texas		18[3]	Program		24[3]	Program
Utah	Minor			Major and minor		
Vermont	Major[3] and minor			Major		
Virginia	Major[3]	21		Major	32–51	Program
Washington					16	
West Virginia			Program			Program
Wisconsin				Major		
Wyoming				Minor		

[1] "Major" indicates either requiring a declared undergraduate major for certification or requiring at least 30 semester hours in one subject for certification. "Major and minor" indicates that the state requires teachers to earn both a major and a minor, resulting in certification in two academic subjects.

[2] "Program" indicates subject-area coursework requirements set by teacher-preparation programs rather than by the state.

[3] State requires subject-area degree or coursework but certification need not be in that subject area.

[4] Coursework is waived if candidate passes subject-area tests.

NOTE: The District of Columbia was not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Education Week, *Quality Counts 2000,* 2000.

Table 4.5 Testing requirements for initial certification of teachers, by year and type of test, by state: 1990 and 1999

State	Assessment for certification, 1990				Assessment for certification, 1999				
	Basic skills exam	Subject matter exam	Knowledge of teaching exam	Assessment of teaching performance	Basic skills exam	Subject matter exam	General knowledge exam	Knowledge of teaching exam	Assessment of teaching performance
Total	**26**	**24**	**24**	**18**	**41**	**31**	**14**	**26**	**14**
Alabama					(1)	(2)		(2)	x
Alaska					x				
Arizona	x		x		x	x		x	x
Arkansas		x	x		x	x		x	
California	x	x			(3)	x			
Colorado	x			x	x	x	x	x	
Connecticut	x	x		x	x	x			
Delaware	x				x				
District of Columbia	x	x			x	x			x
Florida		x	x	x	x	x	x	x	x
Georgia		x		x	x	x			
Hawaii	x	x	x		x	x		x	x
Idaho		x	x						
Illinois		x	x		x	x			
Indiana	x	x	x		x	x	x	x	
Iowa	x	x	x	x					
Kansas	x		x		x			x	
Kentucky[4]				x	(1)				x
Louisiana	x	x	x		x	x	x	x	x
Maine	x	x	x	x			x	x	
Maryland	x	x	x		x	x		x	x
Massachusetts[5]									
Michigan					x	x	(6)		
Minnesota	x				x				
Mississippi		x	x	x	x	x	x	x	
Missouri		x			(1)	x			
Montana	x		x		x				
Nebraska	x				x				
Nevada	x	x	x		x	x		x	
New Hampshire	x				x	x			
New Jersey		x				x	(7)		x
New Mexico	x		x	x	x		x	x	
New York	x		x				x	x	
North Carolina				x	(1)	x		x	
North Dakota					(1)		x	x	
Ohio[8]		x	x		x	x		x	
Oklahoma				x	x	x	x	x	x
Oregon	x	x	x	x	x	x		x	(9)
Pennsylvania	x	x	x		x	x	x	x	
Rhode Island	x		x	x	x		x	x	
South Carolina			x	x	x	x		x	x
South Dakota					x	x			x
Tennessee				x	x	x		x	
Texas[10]		x	x			x		x	
Utah									
Vermont									
Virginia	x	x	x	x	x	x			

See footnotes at end of table.

Table 4.5 Testing requirements for initial certification of teachers, by year and type of test, by state: 1990 and 1999—Continued

State	Assessment for certification, 1990				Assessment for certification, 1999				
	Basic skills exam	Subject matter exam	Knowledge of teaching exam	Assessment of teaching performance	Basic skills exam	Subject matter exam	General knowledge exam	Knowledge of teaching exam	Assessment of teaching performance
Washington				x	(1)				
West Virginia[11]	x	x		x	x	x		x	x
Wisconsin	x				x				
Wyoming									

[1]For admission to teacher education program.

[2]Institution's exit exam.

[3]Subject matter exam or completion of an approved subject matter program.

[4]Fingerprint check is required for employment.

[5]In 1990, test required for foreign language, bilingual, and English as a Second Language. In 1999, two-part exam covers communication and literacy skills and the subject matter knowledge for the certificate.

[6]Elementary certificate exam (subject-area exam).

[7]For elementary education.

[8]Test requirements in 1990 set by school districts.

[9]For Oregon graduates.

[10]Screening for admission to a teacher preparation program includes college level skills in reading, oral and written communication, critical thinking, and mathematics.

[11]Required for individuals entering West Virginia-approved education programs as of fall 1985.

NOTE: "X" indicates that an affirmative response for that state was reported in the original source while a blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Council of Chief State School Officers, "State Education Indicators, 1990," and National Association of State Directors of Teacher Education and Certification, "The NASDTEC Manual 2000: Manual on Certification & Preparation of Educational Personnel in the United States & Canada" in U.S. Department of Education, National Center for Education Statistics, *Digest of Education Statistics 2001*, 2002, table 156.

more teachers, requiring California to issue emergency permits and waivers for passing the basic-skills assessment and some of the other requirements for earning a license. Nearly every state had similar policies in 1999 permitting waivers of requirements such as basic-skills tests, subject-area tests, and subject-area courses for the purpose of granting emergency licensure under special circumstances (table 4.6).

Once teachers are certified and in the classroom, many states require either the school principal or a committee to assess the performance of new teachers. In a small number of states, classroom performance assessments of new teachers are administered by the state. *Education Week* (2000) reported that in 1999, 26 states required the principal (or some other individual) to assess the performance of new teachers through observation (table 4.7). One state, Texas, required observation and a review of student achievement, and in four states the principal along with a committee must evaluate the performance of new teachers.

Maintaining a License

A state typically issues an initial teaching license for a limited period of time, ranging from 1 to 8 years, with 5 years being the most common duration (U.S. Department of Education 1999). Depending on the state, teachers holding an initial license may need to complete additional requirements in order to maintain their license, or to advance to a second stage of licensure. These requirements could include coursework, 1 or 2 years of teaching experience, additional assessments, and/or participation in professional development activities (see NASDTEC 2000, table D-1 for a detailed list of requirements for each state).

A growing number of states are moving from a two-stage licensing system toward a three-stage system (U.S. Department of Education 1999). The initial stage, which some states do not utilize, is a provisional status granted to beginning teachers for a limited period. It recognizes that the teacher has met initial licensing requirements. The

Table 4.6 State policies for waiving selected teacher certification requirements: 1999

State and Name	Requirements that may be waived: Basic-skills test	Requirements that may be waived: Subject-area tests	Requirements that may be waived: Subject-area courses	Number of teachers with this certification	Percent with certification (of all teachers)	Maximum time limit
Alabama						
Emergency Certificate	Yes	†	Yes	732	2.8	1 year
Alternative Baccalaureate-Level	Yes	†	Yes	Unknown	<1	None
Preliminary Certificate	Yes	†	Yes	Unknown	<1	None
Alaska						
Emergency Certificate	Yes	†	Yes	5	Unknown	1 year
Arizona						
Emergency Teaching Certificate	Yes	Yes	†	Unknown	Unknown	None
Deficiency	Yes		†	Unknown	Unknown	1 year
Arkansas						
Provisional Certificate	Yes	Yes	Yes	Unknown	Unknown	1 or 3 years
California						
District Waiver	Yes	Yes	Yes	6,599	Unknown	None
Emergency Teaching Permit		Yes	Yes	30,519	11.0	5 years
Colorado						
Type III Emergency Authorization	Yes	Yes	Yes	809	2.1	None
Type V Substitute Authorization	Yes	Yes	Yes	Unknown	Unknown	None
Connecticut						
Substitute Teacher Authorization	Yes	Yes	Yes	7	0.0	1 year
Durational Shortage Area Permit		Yes	Yes	100	0.2	3 years
Temporary Authorization for Minor Assignment			Yes	49	0.1	2 years
Delaware						
Limited Standard License—Test (LS-T)	Yes	†		349	4.5	2 years
License—Shortage (LS-S)	Yes	†		Unknown	Unknown	3 years
Temporary License—Non-Renewable (Substandard)	Yes	†	Yes	94	1.2	1 year
Limited Standard License—Coursework (LS-C)		†	Yes	Unknown	Unknown	3 years
Partial Teaching Assignment		†	Yes	Unknown	Unknown	1 year
Florida						
Chapter 6A- 1.0503	†	†	Yes	Unknown	Unknown	None
Georgia						
Permit	Yes	Yes		Unknown	Unknown	1 year
Emergency Certificate	Yes	Yes	Yes	Unknown	Unknown	1 year
Probationary License			Yes	Unknown	Unknown	3 years
Hawaii						
Credential (with teacher training)	Yes			275	2.5	3 years
Credential (without teacher training)	Yes			239	2.3	3 years
Credential (with teacher training)		Yes		404	3.3	3 years
Credential (without teacher training)		Yes		287	2.3	3 years
Credential			Yes	309	2.5	3 years
Idaho						
Letter of Authorization (LOA) Certificate Approval	†	†	Yes	Unknown	Unknown	None
Misassignment	†	†	Yes	Unknown	Unknown	None
Illinois						
Temporary Employment Authorization	Yes	Yes	Yes	Unknown	Unknown	4 years
Indiana						
Limited License	Yes	Yes	Yes	1,100	2.0	None or 1 year
Iowa						
Conditional License	†	†	Yes	Unknown	Unknown	1 year

See footnotes at end of table.

Table 4.6 State policies for waiving selected teacher certification requirements: 1999—Continued

State and Name	Requirements that may be waived: Basic-skills test	Requirements that may be waived: Subject-area tests	Requirements that may be waived: Subject-area courses	Number of teachers with this certification	Percent with certification (of all teachers)	Maximum time limit
Kansas						
Nonrenewable Certificate	Yes			168	0.5	1 year
Emergency Substitute Teacher Certificate	Yes	†	Yes	Unknown	Unknown	None
Waiver from SBR 91-31-19(b)(1)		†	Yes	250	0.7	None
Kentucky						
Adjunct Instructor Certificate	Yes			398	1.0	None
Emergency	Yes	Yes	Yes	36	0.1	None
Probationary Certificate		Yes	Yes	505	1.3	None
Louisiana						
Interim Emergency Policy	Yes	Yes	Yes	2,398	4.0	5 years
Temporary Teaching Assignment Authorization		Yes	Yes	2,462	5.0	None
Maine						
Conditional Certificate	Yes	†		Unknown	0.7	None
Transitional Endorsement		†	Yes	Unknown	Unknown	None
Maryland						
Provisional Certificate	Yes	Yes	Yes	Unknown	Unknown	2 or 4 years
Massachusetts						
Waiver	Yes	Yes	Yes	378	Unknown	None
Michigan						
Full-Year Special Permit	Yes	Yes	Yes	Unknown	Unknown	None
Emergency Permit	Yes	Yes	Yes	Unknown	Unknown	Varies
Minnesota						
Limited License	Yes	†		Unknown	Unknown	None
Provisional License		†	Yes	Unknown	Unknown	None
Letter of Approval		†	Yes	Unknown	Unknown	None
Mississippi						
Special Emergency Educator License	Yes	Yes	Yes	Unknown	Unknown	None
Non-Licensed Teaching Personnel	Yes	Yes	Yes	Unknown	Unknown	None
Missouri						
Special Assignment Certificate	Yes	Yes	Yes	Unknown	0.1	3 years
Provisional Certificate		Yes	Yes	Unknown	9.0	2 years
Montana						
Class 5 Provisional Certificate	Yes			Unknown	Unknown	3 years
Emergency Authorization of Employment	Yes	†	Yes	Unknown	0.1	None
Nebraska						
One Year Temporary Certificate Affidavit	Yes	†		252	1.3	1 year
Provisional Commitment Teaching Certificate			Yes	(Included in above)	(Included in above)	3 years
Nevada						
Limited Endorsement for Elementary Teaching	Yes			Unknown	Unknown	3 years
Emergency Substitute Teacher Endorsement	Yes	Yes	Yes	10	Unknown	None
Three-Year Nonrenewable License	Yes	Yes	Yes	Unknown	Unknown	3 years
Substitute Teacher	Yes	Yes	Yes	Unknown	Unknown	None
Exception			Yes	Unknown	Unknown	2 years
New Hampshire						
Individualized Professional Development Plan	Yes	Yes	Yes	Unknown	Unknown	3 years
Exception	Yes	Yes	Yes	Unknown	Unknown	1 year
New Jersey						
NONE				†	†	†

See footnotes at end of table.

Table 4.6 State policies for waiving selected teacher certification requirements: 1999—Continued

State and Name	Requirements that may be waived: Basic-skills test	Requirements that may be waived: Subject-area tests	Requirements that may be waived: Subject-area courses	Number of teachers with this certification	Percent with certification (of all teachers)	Maximum time limit
New Mexico						
Emergency License	Yes	†	Yes	1,994	6.0	1 year
Waiver	Yes	†	Yes	(Included in above)	(Included in above)	None
New York						
Temporary License	Yes	†		10,200	5.1	4 years
Incidental Teaching		†	Yes	2,423	1.3	None
North Carolina						
Temporary Permit	Yes	Yes	Yes	Unknown	13.0	5 years
Provisional License for Out-of-Field Assignments		Yes	Yes	Unknown	6.5	5 years
Lateral Entry License		Yes	Yes	Unknown	4.0	5 years
Emergency Credential			Yes	Unknown	Unknown	1 year
North Dakota						
Interim Certificate	†	†	Yes	7	0.1	None
Ohio						
Long Term Substitute License	†	Yes	Yes	Unknown	Unknown	None
Temporary License	†	Yes	Yes	Unknown	Unknown	5 years
Oklahoma						
Emergency Certificate		Yes	Yes	340	Unknown	90 days
Oregon						
Transitional Certificate	Yes	Yes	†	1,860	7.1	3 years
Pennsylvania						
Emergency Certificate	Yes	Yes	Yes	300	1	2 years
Rhode Island						
Special Provisional Certificate	Yes	†		50	0.5	None
Emergency Certificate		†	Yes	150	1.4	None
South Carolina						
Out-of-Field Permit		Yes	Yes	766	1.8	3 years
South Dakota						
Authority to Act	†	†	Yes	446	21.0	None
Long-Term Substitutes	†	†	Yes	54	5.0	None
Tennessee						
Interim Probationary 'A' Teacher License	Yes	Yes		Unknown	0.1	3 years
Interim Probationary 'B' Teacher License	Yes	Yes		Unknown	0.1	3 years
Permit	Yes	Yes	Yes	900	0.1	3 years
Waiver			Yes	500	0.1	None
Texas						
Non-Renewable Permit (NRP)	†	Yes		1,857	1.0	1 year
School District Teaching Permit	†	Yes		Unknown	Unknown	None
Waiver of Certification Law	†	Yes		Unknown	Unknown	None
Temporary Classroom Assignment Permit (TCAP)	†	Yes	Yes	Unknown	33.0	1 1/2 years
Temporary Exemption Permit	†		Yes	65	0.0	1 year
Hardship Approval	†		Yes	Unknown	Unknown	3 1/2 years
Emergency Permit	†		Yes	12,800	5.0	3 1/2 years
Utah						
Letter of Authorization (Temporary Provisional License)	†	†	Yes	Unknown	Unknown	None
Vermont						
Waiver	†	†	Yes	Unknown	1.7	None
Virginia						
Provisional License	Yes	Yes	Yes	Unknown	Unknown	3 years

See footnotes at end of table.

Table 4.6 State policies for waiving selected teacher certification requirements: 1999—Continued

State and Name	Requirements that may be waived: Basic-skills test	Requirements that may be waived: Subject-area tests	Requirements that may be waived: Subject-area courses	Number of teachers with this certification	Percent with certification (of all teachers)	Maximum time limit
Washington						
Conditional Certificate	†	†	Yes	231	Unknown	None
Emergency Substitute Teacher	†	†	Yes	424	Unknown	1 year
West Virginia						
Permit	Yes	Yes	Yes	744	3.2	1 year
Out-of-Field Authorization		Yes	Yes	245	1.0	None
Wisconsin						
[Colleges may waive requirement.]	Yes	†		Unknown	Unknown	None
Emergency License		†	Yes	Unknown	Unknown	None
Wyoming						
Temporary Permit	†	†	Yes	7	0.0	None

† Not applicable. State does not have a requirement.

NOTE: Numbers and percentages are teachers out of total workforce. The District of Columbia was not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Education Week, *Quality Counts 2000,* 2000.

Table 4.7 Local evaluation of new teachers for states that use local evaluation, by type, by state: 1999

State	Local evaluation			Number of other team members
	Principal (or other individual) observes novice teacher	Principal observation, plus student achievement	Principal, plus other team members evaluate novice teacher	
Total	**26**	**1**	**4**	
Alabama	x			
Alaska	x			
Arizona				
Arkansas				
California	x			
Colorado				
Connecticut	x			
Delaware	x			
Florida	x			
Georgia	x			
Hawaii	x			
Idaho				
Illinois				
Indiana	x			
Iowa	x			
Kansas	x			
Kentucky			x	3
Louisiana			x	2
Maine				
Maryland	x			
Massachusetts	x			
Michigan				
Minnesota				
Mississippi				
Missouri	x			
Montana				
Nebraska				
Nevada				
New Hampshire				
New Jersey	x			
New Mexico	x			
New York				
North Carolina	x			
North Dakota	x			
Ohio	x			
Oklahoma			x	3
Oregon	x			
Pennsylvania	x			
Rhode Island				
South Carolina			x	3
South Dakota				
Tennessee	x			
Texas		x		
Utah	x			
Vermont	x			
Virginia				
Washington				
West Virginia	x			
Wisconsin	x			
Wyoming				

NOTE: The District of Columbia was not reported in the original source. "X" indicates an affirmative response for that state was reported in the original source while a blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Education Week, *Quality Counts 2000,* 2000.

second stage, sometimes called a "standard" license, indicates that the state recognizes the teacher as fully qualified and competent. The states that have a third, or advanced stage, require or allow teachers to earn a higher credential based on experience and performance. One form of this third stage is certification by the National Board for Professional Teaching Standards (see U.S. Department of Education 1999). Table 4.8 indicates that 14 states had three stages of certification or licensure in 1998 excluding emergency or temporary certification.

Professional development activities, defined as "any coursework, experience, training or renewal activity required by a state to keep a certificate in force" (U.S. Department of Education 1999, p. 3), have become a common requirement set by states for maintaining a license. In line with the reforms affecting preparation and initial certification of teachers, professional development activities have been the focus of legislation. Requirements vary from state to state and may include seminars or workshops on new teaching methods, use of technology in the classroom, further study in a particular subject, or addressing the needs of students with disabilities or from diverse cultural backgrounds (Lewis et al. 1999). In 2000, such activities were required by 44 states and the District of Columbia, up from 39 states and the District of Columbia in 1994 (table 4.9).

Instructional Resources

State content and performance standards represent challenging expectations for the academic achievement of students. Such expectations imply that the instructional resources necessary for this attainment will be available to teachers and students. Measuring the results of school efforts to provide instructional resources—materials and equipment used by both teachers and students for instructional purposes—is complicated. There are several jurisdictional layers of decision making for acquiring resources, and there are varied policies and practices within the jurisdictions (Bauman 1996).

Local school districts typically follow their own policies and procedures for the selection of instructional materials and equipment. These range from highly centralized, where school resources are largely determined at the district level, to decentralized processes, where the schools themselves make the choices; in some cases, centralized and decentralized processes may be combined. Further, the availability of instructional resources is often enhanced by contributions of funds or of actual materials and equipment by local parent groups, classroom teachers, and corporations and associations. Even more difficult than measuring availability of instructional resources in schools is the measurement of the *quality* of available resources and their *actual use* in learning activities. With these caveats, this discussion focuses on the selection of textbooks and the availability and use of selected resources as reported by teachers and students.

Textbook Selection

Textbooks are basic resources that are used by teachers for instruction and for enhanced learning on the part of the student. According to the Council of Chief State School Officers (CCSSO 2000a), states vary widely in their policies for selecting textbooks. In some states, state policy mandates that the state must select the textbooks or curriculum to be used. In others, the state is required to recommend textbooks or materials. Still other states leave textbook selection up to local school boards, and others have no policy at all. In 2000, CCSSO found that 21 states reported having a state policy on textbook selection (table 4.10). Typically, these policies govern textbook selection for grades K–12. Twenty states use content standards to guide their textbook selection and recommendation processes.

Table 4.8 Summary of types of teacher certification and licensure, by state: 1998

State and initial certificate or license	Standard certificate or license	Advanced certificate or license	Emergency/temporary certification
Alabama Alternative Baccalaureate-level Certificate Special Alternative Certificate	Class B Certificate	Class A Certificate	Emergency Certificate
Alaska Provisional Certificate	Type A Teacher Certificate		Temporary Certificate
Arizona Provisional Teacher Certificate	Standard Certificate		Temporary Certificate Emergency Teaching Certificate
Arkansas Provisional License	Standard License	National Board of Professional Teaching Standards Certification	
California Preliminary Credential	Preliminary Clear Credential		University Internship Credential District Internship Pre-Internship Certificate Emergency Permit
Colorado Provisional Teacher License	Professional License		Temporary Authorization (Type VI) Emergency Authorization (Type III)
Connecticut Initial Educator Certificate	Provisional Educator Certificate	Professional Educator Certificate	Interim Educator Certificate
Delaware Initial Standard License	Standard License	Professional Status Certificate Temporary License	Limited Standard License
District of Columbia			
Florida Temporary Certificate	Professional Certificate		Out-of-Field Assignment
Georgia Professional Conditional Certificate Provisional/Conditional Certificate	Clear Renewable Certificate		Emergency Certificate Probationary Certificate
Hawaii	Teacher License	Permanent Certification	Teacher Credential: Code W, Code 5
Idaho	Basic Education Teaching Certificate		Letter of Authorization Approval Consultant Specialist Letter of Approval Missassignment Letter of Approval Alternate Route Program Letter of Permission Transitional Letter of Permission
Illinois	Standard Certificate Substitute Certificate General Certificate Transitional Bilingual Certificate		Provisional Certificate Temp. Provisional Vocational Certificate Certificate Part-Time Provisional Certificate
Indiana	Standard License		Limited License
Iowa Provisional License	Educational License Substitute License Exchange License	Professional Teacher License	One-Year Conditional License
Kansas Initial Kansas Certificate	Three-Year Standard Certificate Substitute Certificate	Five-Year Standard Certificate	One-Year Nonrenewable Certificate
Kentucky Provisional Certificate	Standard Certificate	Professional Certificate	Full Emergency Certificate

See footnotes at end of table.

Table 4.8 Summary of types of teacher certification and licensure, by state: 1998—Continued

State and initial certificate or license	Standard certificate or license	Advanced certificate or license	Emergency/temporary certification
Louisiana Temporary Certificate			Type C Certificate Provisional Certificate Emergency Permit Temporary Employment Permit
Maine Provisional Certificate	Teaching Certificate		Temporary Waiver
Maryland Provisional Certificate	Standard Professional Certificate I & II Extended SPC	Advanced Professional Certificate	Resident Teacher Certificate (1 year)
Massachusetts Provisional Certificate Provisional Certificate with Advanced Standing	Standard Certificate		Temporary Waiver
Michigan Provisional Certificate	Professional Education Certificate		Emergency Permit Full-Year Permit
Minnesota Initial License (1 year) Entrance License (2 years)	Five Year License		Limited License (1 year) Variance; Waiver
Mississippi	Standard Educator License (Class A)	Standard Educator License (Class AA, AAA, AAAA)	Special Emergency Educator License
Missouri Provisional Certificate	Professional Certificate I & II	Continuous Professional Certificate	Special Assignment Certification
Montana Provisional Certificate (Class 5)	Standard Certificate (Class 2)	Professional Certificate (Class 1)	Emergency Authorization of Employment
Nebraska Initial Teaching Certificate Provisional Teaching Certificate	Standard Teaching Certificate	Professional Teaching Certificate	Temporary Teaching Certificate Conditional Permit
Nevada Limited Elementary Endorsement	Elementary License Secondary License	Professional Elementary License Professional Secondary License	Emergency Relief from Regulations
New Hampshire Beginning Educator Certificate	Experienced Educator Certificate		Interim License (1 year, renewable twice)
New Jersey Provisional License	Standard License		Emergency License (1 year)
New Mexico Level I License	Level II License	Level III License	Emergency License (1 year, renewable)
New York Provisional Certificate	Permanent Certificate		Temporary License (1 year, renewable 5 times)
North Carolina Initial License	Continuing License		Temporary License (1 year)
North Dakota Two-Year Entrance Certificate	Professional Certificate		Interim Certificate
Ohio Provisional License	Professional License		Temporary Certificate
Oklahoma Licensed Beginning Educator Provisional Certificate	Standard Certificate		Emergency Certificate

See footnotes at end of table.

Table 4.8 Summary of types of teacher certification and licensure, by state: 1998—Continued

State and initial certificate or license	Standard certificate or license	Advanced certificate or license	Emergency/temporary certification
Oregon Initial Basic Teaching License	Standard Teaching License		Limited Teaching License Transitional Teaching License
Pennsylvania Instructional Level I Certificate	Instructional Level II Certificate		Emergency Certificate Act 97 Waiver Certificate
Rhode Island Provisional Teacher Certificate	Professional Teacher Certificate		Emergency Certificate (1 year)
South Carolina Statement of Eligibility (Critical Needs Program)	Professional Certificate		Temporary Certificate (1 year)
South Dakota Two-Year Nonrenewable Certificate One-Year Certificate	Five-Year Certificate		Authority to Act
Tennessee Apprentice Teacher License	Professional License		Interim Type A Teacher License (2 years, renewable twice) Interim Type B Teacher License (1 year, 1 renewal)
Texas Provisional Teacher Certificate	Professional Teacher Certificate		Temporary Teacher Certificate Emergency Certificate
Utah Basic Certificate	Standard Certificate		Provisional Certificate (2 years) Letter of Authorization (1 year)
Vermont Level I License	Level II License		
Virginia Provisional License	Professional License		
Washington Initial Teaching Certificate	Continuing Certificate		Emergency Certificate Conditional Certificate
West Virginia Provisional Teaching License	Professional Teaching License	Permanent Professional Certificate NBPTS Certification	Out-of-Field Authorization (1 year) Temporary Certificate Permit (1 year)
Wisconsin Minor Deficiencies License	Regular License		One-Year License Special License Permit
Wyoming	Standard Teaching Certificate		Temporary Employment Permit (1 year, non renewable) Transitional Endorsement (1 year, renewable twice)

NOTE: A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: U.S. Department of Education, Office of Educational Research and Improvement, *Initial Report of the Secretary on the Quality of Teacher Preparation*, 1999.

Table 4.9 State requirements and purposes for professional development: 2000

State	State has professional development[1]			State issues a permanent or life certificate	Professional development requirements to renew the second-stage certificate	Purpose of the professional development requirement:		
	1994	1997	2000			Validity of credit	Continued employment	Both
Total[2]	**40**	**42**	**44**	**5**	**32**	**42**	**33**	**29**
Alabama	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Alaska	Yes	Yes	Yes	(3)		Yes	Yes	Yes
Arizona	Yes	Yes	Yes	No	Yes	Yes	No	No
Arkansas	Yes	Yes	Yes	No	(4)	Yes	Yes	Yes
California	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Colorado	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Connecticut	Yes	Yes	Yes	No	(5)	Yes	Yes	Yes
Delaware	No	No	No	Yes(6)	(7)			
District of Columbia	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Florida	Yes	Yes	Yes	No	(8)	Yes	Yes	Yes
Georgia	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Hawaii	No	No	No	No				
Idaho	Yes	Yes	Yes	No	Yes	Yes	No	No
Illinois	No	No	Yes		(9)	Yes	Yes	Yes
Indiana	Yes	Yes	Yes	No	Yes	Yes	No	No
Iowa	Yes	Yes	Yes	No	(10)	Yes	No	No
Kansas	Yes	Yes	Yes	No	(11)	Yes	Yes	Yes
Kentucky	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Louisiana	Yes	Yes	Yes	(12)	No			
Maine	Yes	Yes	Yes	No	Yes	Yes	No	No
Maryland	No	Yes	Yes	No	Yes	Yes	No	No
Massachusetts	No	Yes	Yes	No	Yes	Yes	Yes	Yes
Michigan	Yes	Yes	Yes	No	Yes	Yes	No	No
Minnesota	Yes	Yes	Yes	No	Yes	Yes	No	No
Mississippi	Yes	Yes	Yes	No	Yes	Yes	No	No
Missouri	Yes	Yes	Yes	No	Yes	Yes	No	No
Montana	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Nebraska	No	No	No	No	No	No	Yes	No
Nevada	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
New Hampshire	Yes	No	Yes	No	Yes	Yes	Yes	Yes
New Jersey	No	No	Yes	Yes	No			
New Mexico	No	No	No	No	No			
New York	No	No	No	Yes	No			
North Carolina	Yes	Yes	Yes	No	Yes	No	Yes	No
North Dakota	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Ohio	Yes	Yes	Yes	(13)	Yes	Yes	Yes	Yes
Oklahoma	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Oregon	No	No	(14)	No	(14)	No	Yes	No
Pennsylvania	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Rhode Island	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
South Carolina	Yes	Yes	Yes	No	(15)	Yes	Yes	Yes
South Dakota	Yes	Yes	Yes	No	(16)	Yes	Yes	Yes
Tennessee	Yes	Yes	Yes	No	Yes	Yes	No	No
Texas	No	No	Yes	No	Yes	Yes	Yes	Yes
Utah	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Vermont	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
Virginia	Yes	Yes	Yes	No		Yes	Yes	Yes

See footnotes at end of table.

Table 4.9 State requirements and purposes for professional development: 2000—Continued

State	State has professional development[1]			State issues a permanent or life certificate	Professional development requirements to renew the second-stage certificate	Purpose of the professional development requirement:		
	1994	1997	2000			Validity of credit	Continued employment	Both
Washington	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
West Virginia	Yes	Yes	Yes	(17)	Yes	Yes	Yes	Yes
Wisconsin	Yes	Yes	Yes	No	(18)	Yes	Yes	Yes
Wyoming	Yes	Yes	Yes	No	Yes	Yes	No	No

[1]Professional development is defined as "any course work, experience, training or renewal activity required by a state to keep a certificate in force." See source for additional details.

[2]Totals include only those states for which an affirmative "yes" response was reported in the original source.

[3]Retired teacher certificate issued for life. Can be used for certified substitute teaching only.

[4]Issues only a single-stage certificate.

[5]Three stages of certification. Professional development required to continue third-stage certification.

[6]After July 1, 1991, there will be no renewal for anyone outside the Delaware Public School System. Teachers within and entering the public school system will need 6 semester hours of refresher college credits if they did not teach 3 years out of the 5 years in the area to be renewed.

[7]Seventy-five clock hours are required for nurses; other professionals who are state licensed must show such licensure at time of renewal.

[8]The professional certificate is the initial regular, renewable certificate. The statement of eligibility and the temporary certificate allow individuals to be employed and complete requirements for the professional certificate.

[9]Recent legislation, which creates a multi-tier certificate structure, also requires continual professional development for certificate renewal. Rules for continual professional development are currently being written.

[10]Renewal units or professional development units must be related to an endorsement area, held as part of a planned degree program, or part of a program to add an additional endorsement.

[11]The holder of a certificate and a bachelor's degree must complete 8 semester hours of credit, or 4 semester hours of credit and 80 Kansas in-service points each 5 years. The holder of the certificate and a master's degree must complete 120 Kansas in-service credits or 6 semester hours each 5 years.

[12]The second-stage certificate remains valid provided the holder teaches one semester every 5 years.

[13]The permanent is a third-stage certificate earned only after many years of teaching and a master's degree. This certificate will no longer be issued after 2003.

[14]Requirement was to become effective 2002.

[15]The second-stage professional certificate is renewable on the basis of 6 semester units, or 120 hours' staff development, or 90 hours' in-service.

[16]Renewal of an initial certificate requires 6 semester hours in the applicant's field of study or work toward another endorsement and/or degree.

[17]The third-stage certificate (permanent certificate) is valid for life. It is issued on basis of a master's degree and 5 years experience or second renewal of the professional certificate.

[18]Single-stage certificate only, renewable with 6 semester hours, or their equivalent, every 5 years. Thirty pre-approved clock hours is the equivalent of 1 credit.

NOTE: A blank cell indicates that a relevant response for that state was not reported in the original source. Texas data were revised.

SOURCE: Adapted from National Association of State Directors of Teacher Education & Certification (NASDTEC), *The NASDTEC Manual on the Preparation and Certification of Education Personnel*, 2000.

Table 4.10 State textbook selection policies: 2000

State	State policy[1]	Use state content standards	Subject areas[2]	Grades
Alabama[3]	Select/Recommend	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12
Alaska	Local Board			
Arizona				
Arkansas	Yes	Yes	E/LA, M, S, SSt, HE, PE, Fine Arts	
California[4]	Select	Yes	E/LA, M, S, SSt, AR, FL, HE	K–8
Colorado	No			
Connecticut	No			
Delaware	No			
Florida	Select	Yes	E/LA, M, S, SSt, AR, FL, HE, PE, Voc. areas	K–12 (all)
Georgia				
Hawaii[5]	Other			
Idaho	Recommend	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12
Illinois (1998)[6]	Select			
Indiana	Recommend	Yes	E/LA, M, S, SSt, AR, FL, HE	1–2, 7–12 (FL)
Iowa	No			
Kansas	No			
Kentucky	Yes	Yes	E/LA, M, S, SSt, AR, FL, HE/PE, Voc. Ed.	Pre-K–12
Louisiana	Recommend	Yes	E/LA, M, S, SSt	Varies by subject
Maine	No			
Maryland	No			
Massachusetts	No			
Michigan	No			
Minnesota	No			
Mississippi	Select	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12
Missouri	No			
Montana	No			
Nebraska	No			
Nevada	State review	Yes	E/LA, M, S, SSt, AR, FL, HE	K–12
New Hampshire	No			
New Jersey	Local decision			
New Mexico	Select/Recommend	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12
New York				
North Carolina	Recommend	Yes	E/LA, M, S, SSt, AR, FL, HE	K–12
North Dakota	No			
Ohio	No			
Oklahoma[7]	Select	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12, 1–12
Oregon[8]	Select	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	Varies by subject
Pennsylvania	No			
Rhode Island	No			
South Carolina	Select	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12
South Dakota	No			
Tennessee[9]	Select	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12
Texas	Select	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12
Utah	Recommend	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12, 7–12
Vermont	No			
Virginia	Recommend	Yes	E/LA, M, S, SSt, FL	K–12

See footnotes at end of table.

Table 4.10 State textbook selection policies: 2000—Continued

State	State policy[1]	Use state content standards	Subject areas[2]	Grades
Washington (1998)	No			
West Virginia	Recommended	Yes	E/LA, M, S, SSt, AR, FL, HE, PE	K–12
Wisconsin	No			
Wyoming	No			

[1]State officials were asked whether their state has a policy by which the state *selects* textbooks or curriculum materials, or *recommends* textbooks or curriculum materials. Select = State SELECTS texts/materials; Recommend = State RECOMMENDS texts/materials.

[2]E/LA = English/Language arts; AR = Arts; FL = Foreign language; M = Mathematics; S = Science; HE = Health education; SSt = Social studies/History; PE = Physical education; Voc. Ed. = Vocational education.

[3]Alabama: Multiple choices for local selection.

[4]California: "Select list" means evaluation criteria based on the content standards/frameworks are used to "select" what materials will be adopted by the State Board of Education and recommended to school districts.

[5]Hawaii: School selections must meet learning needs of students.

[6]Illinois: Secular Textbook Loan Program: If a school district receives program funds it must purchase materials from a list compiled by the State Board of Education.

[7]Oklahoma: State Textbook List, from which 80% of allocated textbook funds must be spent.

[8]Oregon: Social studies/ History = Economics, Civics, Geography.

[9]Tennessee: State adopts an approved list, then local board may choose from approved list in order to get state funds.

NOTE: The District of Columbia was not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: Council of Chief State School Officers, *Key State Education Policies on K–12 Education: 2000*, 2000.

Teacher Perceptions of the Availability of Resources

State-level information on the availability of resources for teaching can be found in various data sets from the National Assessment of Educational Progress (NAEP). The 1998 reading assessment asked teachers about the availability of instructional materials and other resources they needed to teach. The percentage of fourth- and eighth-grade students whose reading teachers indicated that they had all of the resources they needed ranged across participating states from 4 to 31 percent for both fourth and eighth grades (Donahue et al. 1999) (table 4.11).

Class Size

A number of studies have examined the relationship between class size and student achievement. The issue frequently enters education policy debates in part because some of these studies have shown that smaller classes may lead to higher student achievement (see, e.g., Mayer, Mullens, and Moore 2000; Finn and Achilles 1999; Mosteller 1995).

Some studies, on the other hand, have shown that smaller classes may not lead to higher student achievement and that practical problems may hamper class size reduction efforts (see, e.g., Hanushek 1999, Pong and Pallas 2001). As mentioned above, for example, California's immediate need for more teachers following a class-size reduction initiative, which required California to issue emergency permits and waivers for passing the basic-skills assessment and some of the other requirements for earning a teaching license, highlights some complications arising from class size reduction initiatives. In addition to the potential for reduced teacher quality, other significant implementation considerations like limited classroom facilities and high cost, and its attendant opportunity cost (e.g., diverting funds from other expenditures like purchasing computers, increasing after-school programs, or increasing electives), have led some researchers to question whether the benefits are worth the cost (Brewer et al. 1999).

Despite these possible complications, the increased attention to this issue has led to efforts to limit class sizes (Brewer et al. 1999). Federal legislation like the *Class-Size Reduction Program* (P.L. 106-113) exemplified this movement at the national level. In the states, the Education Commission of the States (ECS 1999) reported on initiatives that states had taken to limit the student/teacher ratio to 20 or fewer students per teacher. According to the ECS, 20 states had some sort of plan in place to limit class size. These initiatives varied from state legislation, to establishing centers to study the effects of class size, to voluntary grants intended to encourage the reduction of class size. There is also variation in the targeted grade level, with most states targeting grades K-3, though not all states specify a target grade level. Results from the 1998 NAEP reading assessment indicated that in 22 out of 40 participating states, at least 25 percent of fourth-grade students were in reading classes that had 1 to 20 students (Donahue et al. 1999) (table 4.12).

Academic Emphasis

One of the key components of school climate, the social atmosphere of a setting or learning environment in which students have different experiences depending upon the protocols set up by the teachers and administrators (Moos 1979), is *academic emphasis*, a term used to define the extent to which a school demonstrates a commitment to student learning and student achievement. Although states may adopt policies intended to affect the academic emphasis at all grade levels, particular emphasis has been placed on the coursework of secondary students. Several indicators can be used to measure academic emphasis, including coursetaking requirements in high school, and numbers of students enrolled in advanced placement (AP) courses (Thompson 1994).

Table 4.11 Percentage distribution of fourth- and eighth-grade public school students whose reading teachers indicated various levels of instructional resource availability, by state: 1998

	Availability of instructional materials and other resources the teacher needs to teach							
	Grade 4				Grade 8			
State	All	Most	Some	None	All	Most	Some	None
Alabama	13	55	32	#	13	52	35	#
Arizona	12	57	30	#	13	49	38	1
Arkansas	21	49	30	#	17	53	29	#
California	13	53	32	2	13	49	37	1
Colorado	14	63	23	1	10	61	28	1
Connecticut	15	61	24	#	12	51	36	1
Delaware	7	57	35	1	13	48	36	2
District of Columbia	6	31	59	4	4	41	45	10
Florida	14	53	32	1	13	57	30	#
Georgia	21	56	23	#	21	52	27	#
Hawaii	7	56	37	1	4	41	54	1
Iowa	15	63	22	#	—	—	—	—
Kansas	24	55	20	1	25	49	26	#
Kentucky	15	66	19	#	30	55	15	#
Louisiana	18	52	30	#	11	55	33	#
Maine	10	54	37	#	11	55	34	#
Maryland	12	59	28	#	12	48	38	2
Massachusetts	16	54	29	1	7	57	32	4
Michigan	10	48	41	1	—	—	—	—
Minnesota	8	57	35	#	16	55	29	1
Mississippi	23	56	21	#	26	50	23	1
Missouri	12	62	26	#	19	55	26	1
Montana	15	63	22	#	15	51	34	#
Nevada	14	54	31	#	31	43	25	1
New Hampshire	9	58	33	#	—	—	—	—
New Mexico	8	48	42	2	8	42	48	2
New York	16	48	35	#	23	45	29	3
North Carolina	10	61	30	#	15	51	33	1
Oklahoma	11	59	29	1	21	53	25	1
Oregon	8	54	38	#	9	49	40	2
Rhode Island	4	44	50	2	6	45	47	2
South Carolina	25	58	16	#	20	56	24	#
Tennessee	12	52	36	#	17	44	38	#
Texas	31	55	14	#	23	58	18	1
Utah	7	62	31	1	11	58	31	#
Virginia	13	61	26	#	20	52	28	#
Washington	11	53	36	#	8	52	39	1
West Virginia	20	54	26	#	16	49	34	#
Wisconsin	17	60	23	#	15	48	37	1
Wyoming	13	59	27	1	15	53	31	#

Rounds to zero.

— Not available. State's data for that grade level was not reported in the original source.

NOTE: Due to rounding, rows for each state by grade many not sum to 100. States not listed were not reported in the original source.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), *NAEP Data Tool*, Summary Data Tables, Retrieved June 25, 2001, from *http://nces.ed.gov/nationsreportcard/naepdata/*.

Table 4.12 Percentage distribution of fourth-grade public school students by average reading class size as reported by their reading teachers, by state: 1994 and 1998

State and year	Average reading class size				
	1–20	21–25	26–30	31–35	36+
U.S.					
1994	**20**	**39**	**32**	**8**	**1**
1998	**22**	**42**	**29**	**7**	**#**
Alabama					
1994	22	34	34	8	1
1998	27	48	22	3	#
Arizona					
1994	14	34	42	10	#
1998	14	35	44	7	#
Arkansas					
1994	27	48	24	1	#
1998	31	47	21	#	#
California					
1994	9	5	44	41	1
1998	7	14	41	37	1
Colorado					
1994	17	39	39	5	#
1998	17	43	39	2	#
Connecticut					
1994	43	42	15	#	#
1998	31	61	7	#	#
Delaware					
1994	23	35	36	6	#
1998	21	35	35	9	#
District of Columbia					
1994	42	42	15	1	#
1998	36	42	20	1	#
Florida					
1994	16	22	44	16	2
1998	19	27	35	18	1
Georgia					
1994	30	37	31	2	1
1998	27	40	30	2	#
Hawaii					
1994	15	32	44	9	#
1998	10	33	48	10	#
Iowa					
1994	29	49	21	#	#
1998	28	56	16	#	#
Kansas					
1994	—	—	—	—	—
1998	36	58	6	#	1
Kentucky					
1994	26	43	31	1	#
1998	25	48	27	#	1
Louisiana					
1994	16	38	38	7	1
1998	23	46	23	8	#

See footnotes at end of table.

Table 4.12 Percentage distribution of fourth-grade public school students by average reading class size as reported by their reading teachers, by state: 1994 and 1998—Continued

State and year	Average reading class size				
	1–20	21–25	26–30	31–35	36+
Maine					
1994	52	43	5	#	#
1998	58	40	3	#	#
Maryland					
1994	17	35	35	11	2
1998	17	35	40	7	#
Massachusetts					
1994	31	48	19	2	#
1998	30	52	18	#	#
Michigan					
1994	—	—	—	—	—
1998	11	40	44	4	#
Minnesota					
1994	15	41	40	4	#
1998	17	49	30	4	#
Mississippi					
1994	22	49	29	1	#
1998	17	57	26	#	#
Missouri					
1994	22	44	32	1	#
1998	24	54	20	1	#
Montana					
1994	33	39	28	#	#
1998	33	44	22	1	#
Nevada					
1994	—	—	—	—	—
1998	13	22	41	22	2
New Hampshire					
1994	27	49	24	1	#
1998	33	48	19	#	#
New Mexico					
1994	18	42	35	3	1
1998	40	54	5	1	#
New York					
1994	23	30	32	14	1
1998	20	42	22	15	1
North Carolina					
1994	18	46	35	2	#
1998	19	44	36	1	#
Oklahoma					
1994	—	—	—	—	—
1998	49	44	6	#	1
Oregon					
1994	—	—	—	—	—
1998	16	36	44	3	#
Rhode Island					
1994	15	62	23	#	#
1998	26	58	16	#	#

See footnotes at end of table.

Table 4.12 Percentage distribution of fourth-grade public school students by average reading class size as reported by their reading teachers, by state: 1994 and 1998—Continued

State and year	Average reading class size				
	1–20	21–25	26–30	31–35	36+
South Carolina					
1994	27	43	30	1	#
1998	25	56	19	#	#
Tennessee					
1994	35	37	24	3	#
1998	29	50	19	2	#
Texas					
1994	61	39	#	#	#
1998	60	37	2	#	#
Utah					
1994	8	17	52	22	2
1998	14	25	54	7	#
Virginia					
1994	29	50	21	#	#
1998	33	49	15	3	#
Washington					
1994	13	38	47	2	#
1998	18	33	47	3	#
West Virginia					
1994	31	54	15	#	#
1998	42	47	11	#	#
Wisconsin					
1994	24	53	22	1	#
1998	24	55	19	3	#
Wyoming					
1994	30	58	10	1	1
1998	44	47	9	#	#

Rounds to zero.

— Not available. State's data for that grade level was not reported in the original source.

NOTE: Due to rounding, rows for each state by grade many not sum to 100. States not listed were not reported in the original source.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), *NAEP Data Tool*, Summary Data Tables, Retrieved June 25, 2001, from *http://nces.ed.gov/nationsreportcard/naepdata/*.

Coursetaking Requirements in High School

States may promote an academic emphasis by setting overall high school coursetaking requirements, including both the total number of courses and the number of courses in specific subject areas that students must pass to graduate from high school. In 1983, the National Commission on Excellence in Education presented its report, *A Nation at Risk,* which recommended that all high school students be required to study five "New Basics": 4 years of English, 3 years each of mathematics, science, and social studies, and one-half year of computer science. Since then, several states have revised their high school coursetaking requirements. CCSSO reports that in 2000, 36 states required students to earn 4 credits, or 4 years in English; 24 states required 3 or more credits in mathematics, 19 states required 3 or more credits in science, and 31 states required 3 or more credits in social studies (table 4.13). In several states, the local school board determines course credit requirements for high school graduation. CCSSO reports that between 1987 and 2000, 13 states raised their mathematics requirements by one or more credits, and 14 states did so in science (CCSSO 2000a).

Advanced Placement Courses

Some educators also consider the number of advanced placement (AP) courses offered in high school to be an indicator of academic climate (Thompson 1994). In response to concerns that AP courses may not be offered equally in schools where there are economically disadvantaged or racial/ethnic minority students, a handful of states have implemented policies to mandate course offerings or to otherwise encourage advanced course offerings (Dounay 2000). Four states (Indiana, Ohio, South Carolina, and West Virginia) have mandated that all secondary schools offer AP courses for students who are qualified to take them. Other states have provided financial incentives, accountability incentives, and have set up other programs to encourage both course offerings and students to take the courses. An *Education Week* (2001) survey found that the percentage of public high schools within a state offering AP courses ranged from 8 to 100 percent across states, with the U.S. average being 60 percent (table 4.14).

Instructional Time and Intensity

Since the publication of *A Nation at Risk* in 1983, which called for longer school days and a longer school year, state reforms have often focused on "time on task." Table 4.15, based on a survey conducted by CCSSO in 2000, indicates that 2 states required a 7-hour school day for grades 9 through 12. A number of states have also adopted legislation that permits schools to operate on a year-round basis, prompted in part over concerns that students may have to "catch up" in the fall after a long summer break. The CCSSO reports that 16 states have adopted state policies regarding year-round schooling and 34 states had districts with year-round schools. The number of districts within a state that had year-round schools varied from state to state; California had the largest number of districts—180—with year-round schools (CCSSO 2000a, table 4.16).

Some states have revised their policies regarding compulsory attendance requirements. Table 4.17 summarizes state policies regarding compulsory school attendance and special education services for students. In 2000, attendance policies generally required students to attend school from age 5, 6, 7, or 8 until age 16, 17, or 18. Between 1992 and 1997, 11 states changed their compulsory attendance requirements (Snyder and Hoffman 2000). Ten states increased their requirements by at least one year, while one state, Arkansas, decreased its compulsory attendance requirements by one year. For special education services, states mandated students to receive services from birth or age 3 to age 19, 20, 21 or, in one state, Michigan, age 25. In 2000, all states and the District of Columbia set their kindergarten entrance age at 5 years old, with the exception of six states (table 4.17). Four of these six states—Massachusetts, New Hampshire, New Jersey, and Pennsylvania—allowed their local education agencies to adopt their own policies on kindergarten entrance, and California was in the process of developing policies regarding kindergarten entrance.

Table 4.13 Course credit requirements for high school graduation by core academic subjects, by state: 2000

State	Number of credits for a regular diploma					
	Math	Science	English	Social Studies	Arts	Total credits (core subj. & elec.)
Alabama	4	4	4	4	0.5	24
Alaska	2	2	4	3	†	21
Arizona (1994)	2	2	4	2.5	†	20
Arkansas	3	3	4	3	0.5	21
California	2	2	3	3	1 or foreign language	13 & L
Colorado	L	L	L	L	†	L
Connecticut	3	2	4	3	1	20
Delaware	3	3	4	3	†	22
Florida	3	3	4	3	0.5	24
Georgia	3	3	4	3	1	19
Hawaii	3	3	4	4	†	22
Idaho	4	4	4	2.5	1	21
Illinois (1998)	2	1	3	2	1 or foreign language	10.25
Indiana	4	4	4	4	†	22
Iowa	L	L	L	1.5	†	1.5 & L
Kansas	2	2	4	3	†	21
Kentucky	3	3	4	3	1	22
Louisiana	3	3	4	3	†	23
Maine	2	2	4	2	1	16
Maryland	3	3	4	3	1	21
Massachusetts	L	L	L	1	1	L
Michigan	L	L	L	0.5	L	L
Minnesota[1]						
Mississippi	3	2	4	3	1	20
Missouri	2	2	3	2	1	22
Montana	2	2	4	2	1	20
Nebraska	L	L	L	L	L	L
Nevada	3	2	4	2	1	22.5
New Hampshire	2	2	4	2.5	0.5	19.75
New Jersey	3	3	4	3	1	22
New Mexico	3	2	4	3	†	23
New York (1996)	2	2	4	4	†	12
North Carolina	3	3	4	3	†	20
North Dakota	3	4	4	3	†	17
Ohio	2	1	3	2	†	18
Oklahoma[2]	2	2	4	2	2	23
Oregon	2	2	3	3	1 or foreign language	22
Pennsylvania[3]						
Rhode Island	2	2	4	2	†	16
South Carolina	4	3	4	3	†	24
South Dakota	2	2	4	3	0.5	20
Tennessee	3	3	4	3	†	20
Texas	3	2	4	2.5	†	18.5
Utah	2	2	3	3	†	24
Vermont (1996)	5 combined		4	3	1	12
Virginia	3	3	4	3	1	22
Washington	2	2	3	2.5	1	19
West Virginia	3	3	4	3	1	24
Wisconsin	2	2	4	3	†	13 & L
Wyoming	3	3	4	3	†	13 & L

† Not applicable. State did not have a requirement in this category.

L Decision is made by a local education agency.

[1]Standards-based reform.

[2]New legislation increased graduation requirements for 2002-03 graduates.

[3]Requirements under revision.

NOTE: Parenthetical years indicate the latest year for which information was obtained.

SOURCE: Council of Chief State School Officers, *Key State Education Policies on K–12 Education: 2000*, 2000.

Table 4.14 Percentage of public high schools offering Advanced Placement courses, by state: 2000

State	Percentage of public high schools offering Advanced Placement courses
United States	60
Alabama	38
Alaska	12
Arizona	51
Arkansas	32
California	83
Colorado	49
Connecticut	97
Delaware	100
Florida	82
Georgia	80
Hawaii	81
Idaho	42
Illinois	54
Indiana	77
Iowa	31
Kansas	23
Kentucky	68
Louisiana	20
Maine	76
Maryland	93
Massachusetts	91
Michigan	62
Minnesota	45
Mississippi	38
Missouri	27
Montana	36
Nebraska	18
Nevada	42
New Hampshire	89
New Jersey	97
New Mexico	47
New York	83
North Carolina	87
North Dakota	8
Ohio	64
Oklahoma	37
Oregon	52
Pennsylvania	73
Rhode Island	73
South Carolina	92
South Dakota	17
Tennessee	50
Texas	66
Utah	80
Vermont	88
Virginia	86
Washington	60
West Virginia	64
Wisconsin	75
Wyoming	36

NOTE: The District of Columbia was not reported in the original source.

SOURCE: Education Week, *Quality Counts 2001*, 2001.

Table 4.15 Length of school day in minimum hours, by grade level and state: 2000

State	Pre-K	Half-day kindergarten	Full day kindergarten	Grades 1–3	Grades 4–6	Grades 7–8	Grades 9–12
Alabama	†	†	6	6	6	6	6
Alaska	†	< 4	> 4	4	5	5	5
Arizona (1994)	1.2	2	†	4–5	4–5	6	†
Arkansas	†	†	6	6	6	6	6
California	†	3.3	†	4.7	5	5	6
Colorado	†	†	†	†	†	†	†
Connecticut	†	†	†	†	†	†	†
Delaware	†	2.5	†	6	6	6	6
Florida	†	†	†	5	5	5	5
Georgia	4.5	†	4.5	4.5	5 and 5.5[1]	5.5	5.5
Hawaii	6	6	6	6	6	6	6
Idaho	†	2.5	4	4	4	4	4
Illinois (1998)	†	2	4	5	5	5	5
Indiana	†	2.5	†	5	5	6	6
Iowa	†	†	†	5.5	5.5	5.5	5.5
Kansas	†	2.5	5	6	6	6	6
Kentucky	†	3	6	6	6	6	6
Louisiana	6	†	6	6	6	6	6
Maine	†	2.5	2.5	5	5	5	5
Maryland	†	†	†	6	6	6	6.5
Massachusetts	†	†	†	†	†	†	†
Michigan	†	†	†	†	†	†	†
Minnesota	†	†	†	†	†	†	†
Mississippi	5.5	†	5.5	5.5	5.5	5.5	5.5
Missouri	†	1.5	3–7	3–7	3–7	3–7	3–7
Montana[2]							
Nebraska	†	†	†	†	†	†	†
Nevada	†	†	2	5	5	5.5	5.5
New Hampshire	†	2.5	†	6	6	6	6
New Jersey	2.5	2.5	6	6	6	6	6
New Mexico	†	2.5	†	5.5	5.5	6	6
New York (1996)	†	2.5	5	5	5	5.5	5.5
North Carolina[3]							
North Dakota	†	2.75	5.5	5.5	5.5	6	6
Ohio	†	2.5	†	5	5	5.5	5.5
Oklahoma	2.5	2.5	6	6	6	6	6
Oregon	†	†	†	6	6.5	6.5	7
Pennsylvania	None	2.5	5	5	5	5.5	5.5
Rhode Island	2.5	2.5	5	5	5	5-5.5	5.5
South Carolina	2.5	2.5	5	6	6	6	6
South Dakota[4]							
Tennessee	5.5	4	4	6.5	6.5	6.5	6.5
Texas	†	†	7	7	7	7	7
Utah	†	2	†	4	4	4	4
Vermont	†	2	†	4 and 5.5[5]	5.5	5.5	5.5[6]
Virginia	†	3	5.5	5.5	5.5	5.5	5.5
Washington (1998)	†	2	4	4	5	5	5
West Virginia	†	†	5.25	5.25	5.25 and 5.5[7]	5.5	5.75
Wisconsin[8]							
Wyoming	†	2.5	5	5	5	6	6

† Not applicable. State did not have a requirement in this category.
[1]Grades 4–5: 5. Grade 6: 5.5.
[2]Annual aggregated hours requirement.
[3]One thousand hours for whole school year.
[4]No minimum hourly requirement in law.
[5]Grades 1–2: 4. Grade 3: 5.5.
[6]Grades 9–10.
[7]Grade 4: 5.25. Grades 5–6: 5.5.
[8]No minimum length.
NOTE: Parenthetical years indicate the latest year for which information was obtained. The District of Columbia was not reported in the original source.
SOURCE: Adapted from Council of Chief State School Officers, *Key State Education Policies on K–12 Education: 2000*, 2000.

Table 4.16 State and district policies regarding year-round schools, and the number of districts in a state that run year-round schools: 2000

State	State has policy regarding year-round school	State has districts with year-round schools	Number of districts with year-round schools
Alabama	Yes	Yes	(1)
Alaska	No	Yes	(1)
Arizona (1994)	No	Yes	—
Arkansas	Yes	Yes	4
California	Yes	Yes	180
Colorado	No	Yes	4
Connecticut	No	No	†
Delaware	No	No	†
Florida	Yes	Yes	10
Georgia	No	Yes	—
Hawaii	Yes	Yes	—
Idaho	No	Yes	4
Illinois (1998)	Yes	Yes	5
Indiana	No	Yes	6[2]
Iowa	Yes	Yes	5
Kansas	No	No	†
Kentucky	Yes	Yes	27
Louisiana	No	Yes	2
Maine	No	Yes	2
Maryland	No	Yes	1
Massachusetts	No	No	†
Michigan	No	No	†
Minnesota	Yes	Yes	10
Mississippi	No	No	†
Missouri	No	Yes	1[3]
Montana	No	No	†
Nebraska	No	No	†
Nevada	Yes	Yes	6
New Hampshire	No	No	†
New Jersey	No	Yes	(4)
New Mexico	No	Yes	2
New York (1996)	No	No	†
North Carolina	Yes	Yes	32[5]
North Dakota	No	No	†
Ohio	No	Yes	-
Oklahoma	Yes	No	†
Oregon	No	Yes	3 or 4
Pennsylvania	Yes	Yes	4
Rhode Island	No	No	†
South Carolina	No	Yes	—
South Dakota	No	No	†
Tennessee	No	Yes	8[2]
Texas	Yes	Yes	52
Utah	Yes	Yes	7[6]
Vermont	No	No	†
Virginia	No	Yes	3[7]

See footnotes at end of table.

Table 4.16 State and district policies regarding year-round schools, and the number of districts in a state that run year-round schools: 2000

State	State has policy regarding year-round school	State has districts with year-round schools	Number of districts with year-round schools
Washington (1998)	No	Yes	2
West Virginia	Yes	Yes	2
Wisconsin	No	Yes	2
Wyoming	No	No	†

— Data not available.

[1]"A few" was reported in the original source.

[2]Select schools in these districts have year-round schedules.

[3]Only elementary schools in this district have year-round schedules.

[4]Schools in every district decide.

[5]Twelve additional charter schools not included in the district total have year-round schedules.

[6]Schools in these districts decide.

[7]Five schools in these districts have year-round schedules.

State definition of year round school:
Arkansas: 12-month school with no more than 6 weeks vacation.
California: No more than 8 weeks vacation.
Florida: 11-, 12-month calendar offering at least 180 days of instruction with staggered vacation period throughout the year.
Hawaii: No more than 8 weeks vacation.
Louisiana: Breakup of 3-month vacation of traditional calendar; school in smaller instructional blocks with each followed by short vacation breaks.
New Jersey: Greater than 180 days/year; instruction during traditional vacation time.
New Mexico: 10-, 11-, 12-month calendar permitting attendance on a staggered schedule.
Oklahoma: 11- or 12-month year in excess of 200 school days, of at least 6 hrs. each day.
Oregon: 12-month class schedule.
Pennsylvania: School year is extended to August 15 for students whose 180 days of instruction continue into summer months.

NOTE: States not listed and the District of Columbia were not reported in the original source. Parenthetical years indicate the latest year for which information was obtained.

SOURCE: Council of Chief State School Officers, *Key State Education Policies on K–12 Education: 2000*, 2000.

Table 4.17 Compulsory school attendance requirements, by state: 2000

State	Kindergarten entrance		Age students must enter school	Age students must remain in school
	Age	Cut-off date		
Alabama	5	9/1	7	16
Alaska	5	8/15	7	16
Arizona (1994)	5	9/1	6	16 or gr. 10
Arkansas	5	9/15	5	17 by 10/1
California[1]	†	†	†	†
Colorado	†	†	†	†
Connecticut	5	1/1	7	16
Delaware	5	8/31	5 by 8/31	16
Florida	5	9/1	6	18 (pilot program)
Georgia	5	9/1	6	16
Hawaii	5	12/31	6	18
Idaho	5	9/1	7	16
Illinois (1998)	5	9/1	7	16
Indiana	5	6/1	7	16
Iowa	5	9/15	6	16 by 9/15
Kansas	5	8/31	7	18 or waiver at 16
Kentucky	5	10/1	6 by 10/1	16
Louisiana	5	9/30	7	17
Maine	5	10/15	7	17
Maryland	5	12/31	5	16
Massachusetts[2]	†	†	6	16
Michigan	5	12/1	6	16
Minnesota	5	9/1	7	18 or waiver
Mississippi	5	9/1	6	17
Missouri	5	8/1	7	16
Montana	5	9/10	7	16 & complete gr. 8
Nebraska	5	10/15	7	16
Nevada	5	9/30	7	17
New Hampshire[2]	†	†	6	16
New Jersey[2]	†	†	6	16
New Mexico	5	9/1	5	18
New York (1996)	5	12/1	6	16 & complete sch. year
North Carolina	5	10/16	7	16
North Dakota	5	8/31	7	16
Ohio	5	9/30	6	18
Oklahoma	5	9/1	5	18
Oregon	5	9/1	7	18
Pennsylvania[2]	†	†	8	17
Rhode Island	5	12/31	6	16
South Carolina	5	9/1	5	16
South Dakota	5	9/1	6	16
Tennessee	5	9/30	6	17
Texas	5	9/1	6	18
Utah	5	9/2	6	18
Vermont	5	1/1	7	16
Virginia	5	9/30	5	18
Washington (1998)	5	8/31	8	18 or waiver
West Virginia	5	9/1	6	16
Wisconsin	5	9/1	6	18
Wyoming	5	9/15	6	16 or complete gr. 10

† Not applicable. State did not have a requirement in this category.

[1]Legislation pending.

[2]Local education agency option.

NOTE : The District of Columbia was not reported in the original source.

SOURCE: Council of Chief State School Officers, *Key State Education Policies on K–12 Education: 2000*, 2000.

Summary

As illustrated in this chapter, there is variation in state policies affecting schools, teachers, and classroom resources. For teachers to obtain a license or certificate, they must follow a set of state-established guidelines for required courses and exams. The levels of licensure or certification vary from state to state, and the requirements for maintaining that license also vary. In addition, many states have created nontraditional, alternative certification models, which are intended to move highly-qualified subject matter experts through preparation and certification quicker than traditional models.

Instructional resources, such as textbooks, are provided to schools in different ways. Some states have state-level mandates on how textbooks will be chosen and allocated, while others allow district and/or local level school boards to decide. As shown in this chapter, variation exists nationwide in teachers' perceptions of the resources available to them and the actual availability of resources.

Like instructional resources, school climate varies from school to school. Each school has its own climate based on its students, its teachers, and many other variables. However, state policies can affect a number of aspects related to school climate, including class size, states' course requirements, AP courses offered, and instructional time.

Chapter Five
State Support for School Choice Options

Introduction

Traditionally, students attending public schools have been assigned to a specific school based on the location of their residence. For some parents or guardians wishing to send their children to a school other than the one in their neighborhood, the options have been limited. Parents with the resources to do so can move their families to communities with public schools that they think might be best for their children or may enroll their children in a private school. In special cases, some families may gain permission to enroll their children in another public school (e.g., if attending a neighborhood school presents a significant hardship for a family). But, in general, families that wish to keep their children in public schools have had few if any choices outside of their local public school. In recent years, several states have adopted legislation that is intended to provide more parents with choice in where their children attend school. States have taken a variety of approaches to meet this goal. *Public school choice* allows students to attend the public school that they and their families select, while *charter schools* give parents the option of sending their children to a public school that operates largely independently of the local school district. In addition, some states have adopted policies that provide *public support for private education* in the form of tax credits, vouchers, or other resources for parents who send their children to private schools. *Homeschooling* is now an option in all states (Lines 2001), although states do not necessarily provide financial or other support for parents who homeschool. Each of these options is discussed below.

Public School Choice

Public school choice policies are intended to give parents the option of selecting the public schools their children attend rather than being required to send their children to schools assigned on the basis of residence. Current policies, which often allow parents to send their children to a wide range of public schools, are predated by magnet school policies. First created as part of the desegregation efforts in several states and school districts, magnet schools have offered some students and their families alternatives to neighborhood public schools since the 1970s. Magnet schools are public schools that focus on particular subject areas or instructional philosophies and are open to students who live outside of the neighborhood in which the school is located.

Although magnet schools represent choice in public education for some children, it was not until the late 1980s that a number of states began extending public school choice to more families. These polices, typically known as public school choice or open enrollment, allow students to attend the public schools that they and their families select without having to pay tuition.[8] In some states, students are allowed to attend any public school in the state while other states limit choice to those schools in a student's district of residence (typically subject to space availability). For example, a summary of the purpose and operation of the open enrollment program in Connecticut is found in *Public School Choice in Connecticut: A Guide for Parents, Guardians and Primary Caregivers:*

> Open Choice is an interdistrict public school program which is intended to improve academic achievement; reduce racial, ethnic and economic isolation; and provide a choice of educational programs for public school students. … The Open Choice program allows urban students to attend public schools in nearby suburban towns. It also allows suburban and rural students to

[8] Some states have allowed students to pay tuition to attend an out-of-district public school on a space-available basis.

> attend public schools in a nearby urban center. Enrollments are offered by school districts on a space-available basis in Grades K–12. Lotteries are used to place students when there are more applicants than spaces available. The program currently operates in Hartford, New Haven and Bridgeport and their surrounding towns. The General Assembly plans to expand the program over time. … The state pays a grant of $2,000 per student enrolled in the program to the receiving districts. There is no tuition cost to parents. … Transportation costs are paid by the state. Arrangements are made by the regional educational service center serving the area (Connecticut Department of Education 1999, p. 6).

The Education Commission of the States (ECS) reports that as of February 2001, 32 states had passed legislation permitting or requiring some form of public school choice (table 5.1). Open enrollment laws can be grouped into two main types: intradistrict, which allows choice of public schools within district boundaries, and interdistrict, which permits choice across (and within) districts. A distinction can also be made as to whether the programs are voluntary or mandatory. Voluntary programs allow districts to choose whether to participate, given space availability in the district, while mandatory programs require districts within a state to participate in the program, given space availability in the district. In 2001, 2 states had mandatory intradistrict policies, 17 states had mandatory interdistrict policies, and 14 had voluntary interdistrict policies. Results from the National Household Education Survey (NHES) indicate that in 1999, 14 percent of students in grades 3 to 12 attended public schools that their families had chosen, and that between 1993 and 1999, the percentage of students in grades 3 to 12 attending an assigned public school dropped from 80 to 77 percent (Wirt et al. 2001).

While public school choice legislation increases the number of public schools students and parents can choose from, it does not generally affect the operation of the schools. A second type of legislation adopted by many states during the 1990s, however, allows the creation of public schools that operate largely independently of local school districts and state education agencies. The greater autonomy of these schools, known as charter schools, provides parents with an alternative to traditional public schools. The following section describes charter school legislation and the rapid growth of this new form of public school.

Charter Schools

As of 1999, 36 states and the District of Columbia had adopted legislation that enabled parents, teachers, community members and, in some instances, private corporations to create and operate public schools (Nelson et al. 2000). These charter schools are intended to offer parents and students alternatives to traditional public schools and operate with varying degrees of independence from local school districts and state education agencies. States often give charter schools the authority to make decisions concerning curriculum, instructional practices, staffing, and budgeting, while requiring them to comply with health and safety regulations and nondiscrimination laws. In exchange for this autonomy, charter schools are held accountable for student performance. Schools are chartered for a limited time, typically 3 to 5 years, and their charter specifies the educational goals the school is expected to meet. If these goals are not met, the charter may be terminated.

Table 5.1 States with open enrollment laws, by type: 2001

	Open enrollment law	Type of open enrollment
Total	**32**	
Alabama		
Alaska		
Arizona	X	Interdistrict/Mandatory
Arkansas	X	Interdistrict/Mandatory
California	X	Interdistrict/Voluntary
Colorado	X	Interdistrict/Mandatory
Connecticut[1]	X	Interdistrict/Mandatory
Delaware	X	Interdistrict/Mandatory
District of Columbia		
Florida	X	Interdistrict/Voluntary
Georgia		
Hawaii		
Idaho	X	Interdistrict/Mandatory
Illinois		
Indiana[2]	X	Intradistrict/Mandatory *and* Interdistrict/Voluntary
Iowa	X	Interdistrict/Mandatory
Kansas		
Kentucky		
Louisiana	X	Interdistrict/Voluntary
Maine	X	Interdistrict/Voluntary
Maryland		
Massachusetts	X	Interdistrict/Voluntary
Michigan	X	Interdistrict/Mandatory
Minnesota	X	Interdistrict/Mandatory
Mississippi		
Missouri	X	Interdistrict/Voluntary
Montana		
Nebraska	X	Interdistrict/Mandatory
Nevada		
New Hampshire	X	Interdistrict/Voluntary
New Jersey	X	Interdistrict/Voluntary
New Mexico	X	Interdistrict/Voluntary
New York	X	Interdistrict/Voluntary
North Carolina		
North Dakota	X	Interdistrict/Mandatory
Ohio	X	Interdistrict/Voluntary
Oklahoma	X	Interdistrict/Mandatory
Oregon		
Pennsylvania		
Rhode Island		
South Carolina		
South Dakota	X	Interdistrict/Mandatory
Tennessee	X	Interdistrict/Mandatory
Texas	X	Interdistrict/Voluntary
Utah	X	Interdistrict/Mandatory
Vermont		
Virginia		
Washington	X	Interdistrict/Mandatory
West Virginia	X	Intradistrict/Mandatory
Wisconsin	X	Interdistrict/Mandatory
Wyoming	X	Interdistrict/Voluntary

[1]In the 1998–99 school year, Connecticut began phasing in an open enrollment program. By the 2001–02 school year, the program was expected to be in operation in every priority school district in the state, as well as in those school districts in the area of a priority school district as determined by the regional educational service center.

[2]Indiana law requires the Indianapolis school district to offer a parental choice program that allows parents the opportunity to choose the school within the school district that the parents' child will attend.

NOTE: The Education Commission of the States (ECS), which compiled and first published the information in this table, notes that most states have enacted laws that accommodate the attendance needs of students. In this table, however, ECS indicates that they only included those states with laws as of February 2001 that encourage and support enrollment in public schools of choice. "Interdistrict" programs allow choice of public schools across and within district boundaries. "Intradistrict" programs allow choice of public schools within district boundaries. "Mandatory" programs require districts within a state to participate in the program, given that space is available in the district. "Voluntary" programs allow districts to choose whether to participate, given that space is available in the district. "X" indicates that an affirmative response for that state was reported in the original source, while a blank cell indicates that a relevant response for that state was not reported.

SOURCE: Education Commission of the States, *State Notes: School Choice: State Actions*, February 2001.

Variation in State Charter Laws

Throughout the 1990s, the number of states that adopted charter school legislation increased, from 1 state (Minnesota) in 1991 to 36 states and the District of Columbia in September 1999 (table 5.2). Similarly, the number of charter schools in operation also increased during the 1990s. Table 5.3 provides information on the total number of charter schools opened each year in each state from school year 1992–93 to September 1999 and the total number of schools that had closed as of September 1999. Almost 1,500 charter schools were in operation as of September 1999, about twice the number of charter schools operating in September 1997 (Nelson et al. 2000; Berman et al. 1998). On average, enrollment in charter schools represented about 0.8 percent of all public school students in the 26 states and the District of Columbia that had charter schools in operation in 1998–99 (table 5.4). Charter school enrollment was 1 percent or higher in 8 states, and in the District of Columbia 4.4 percent of public school students were enrolled in charter schools.

State legislation enabling the creation of charter schools varies considerably among the states. State law, for example, defines which public agencies have the authority to grant charters. Local school boards, the state board of education, and colleges and universities are some of the agencies that the state may allow to grant charters. As of September 1999, 14 states allowed only the local school board to grant charters, 7 states permitted only a state-level agency to grant charters, and the remaining states allowed more than one agency to grant charters (table 5.5). In all states, charters are granted for a specific time period, after which the school must apply for a renewal. In 31 states, the length of the charter ranged between 3 and 5 years. One state and the District of Columbia have charter terms of 15 years, although both of these require a review at the end of 5 years. While all states with charter legislation allow existing public schools to convert to charter schools, the majority of states do not allow private schools to convert to charter schools. In the 1998–99 academic year, 72 percent of all charter schools were newly created, while 18 percent were converted public schools, and 10 percent were converted private schools (Nelson et al. 2000).

Table 5.2 States with charter school legislation, by year passed: 1991 to 1999

1991	1992	1993	1994	1995	1996	1997	1998	1999
Minnesota	California	Colorado	Arizona	Alaska	Connecticut	Mississippi	Idaho	New York
		Georgia	Hawaii	Arkansas	District of Columbia	Nevada	Missouri	Oklahoma
		Massachusetts	Kansas	Delaware	Florida	Ohio	Utah	Oregon
		Michigan		New Hampshire	Illinois	Pennsylvania	Virginia	
		New Mexico		Louisiana	New Jersey			
		Wisconsin		Rhode Island	North Carolina			
				Wyoming	South Carolina			
					Texas			

NOTE: States not listed were not reported in the original source.
SOURCE: U.S. Department of Education, Office of Educational Research and Improvement, *The State of Charter Schools: Fourth-year Report*, 2000.

Table 5.3 Estimated number of charter schools opened each year from 1992–93 to September 1999 and the total number of charter schools operating and closed as of September 1999, among states with charter schools

State	Number of charter schools starting each year							Charter schools as of September 1999		
	1992–93	1993–94	1994–95	1995–96	1996–97	1997–98	1998–99	Total schools closed as of Sept. 1999*	New schools as of Sept. 1999	Total schools operating Sept. 1999
Total	**2**	**34**	**64**	**154**	**178**	**289**	**401**	**59**	**421**	**1,484**
Minnesota	2	5	7	3	3	8	12	3	17	54
California		28	36	30	21	19	29	9	56	210
Colorado		1	13	10	8	19	10	1	8	68
Michigan			2	41	33	36	24	5	15	146
New Mexico			4	0	1	0	0	3	1	3
Wisconsin			2	3	6	7	12	1	11	40
Arizona				47	58	45	44	16	44	222
Georgia				3	9	9	7	1	4	31
Hawaii				2	0	0	0	0	0	2
Massachusetts				15	7	3	10	1	5	39
Alaska					2	13	2	1	2	18
Delaware					2	1	1	0	1	5
District of Columbia					2	1	17	2	10	28
Florida					5	28	42	4	38	109
Illinois					1	7	6	1	7	20
Louisiana					3	3	5	0	7	18
Texas					17	21	71	5	64	168
Connecticut						12	4	1	2	17
Kansas						1	14	0	0	15
New Jersey						13	17	0	19	49
North Carolina						34	26	5	23	78
Pennsylvania						6	25	0	17	48
Rhode Island						1	1	0	0	2
South Carolina						2	3	0	5	10
Idaho							2	0	6	8
Mississippi							1	0	0	1
Nevada							1	0	0	1
Ohio							15	0	31	46
New York									5	5
Missouri									15	15
Utah									6	6
Oklahoma									2	2

*Reflects the cumulative number of charter schools closed since 1992.

NOTE: The Study [The National Study of Charter Schools, see "SOURCE"] reports the number of charters given to individual entities, though some charters may use space within another school or be connected to another school by another arrangement. The number of charters shown above does not include the total number of school sites operating under a charter. Some charters, particularly in Arizona, run similar programs in several sites. In those cases, the Study only counts the charter once. Several charters in California were awarded to districts or complexes of schools. Since previously each school within the group was a separate school, the Study counts each school as a separate charter school. Taking into account multiple school sites operating under one charter (121), the Study estimates that the total number of school sites operating under charters was 1,605 (1,484+121) as of September 1999. Charter school enrollment includes data for 1,010 charter schools and is based on responses from all 975 open charter schools that responded to the survey, supplemented with data from state departments of education. The Study contacted officials at each state department of education and supplemented their information from a variety of sources, including the Common Core of Data Survey (1997–98), charter school directories, and state charter school resource centers. States not listed were not reported in the original source. A blank cell indicates that an affirmative response for that state was not reported in the original source.

SOURCE: U.S. Department of Education, Office of Educational Research and Improvement, *The State of Charter Schools: Fourth-year Report*, 2000.

Table 5.4 Estimated charter school enrollment among states with charter schools: 1998–99

State	Charter school enrollment, 1998–99	Percent of public school students in charter schools
Total	**252,009**	**0.8**[1]
Alaska	2,047	1.6
Arizona	32,209	4.0
California	73,905	1.3
Colorado	13,911	2.0
Connecticut	1,613	0.3
Delaware	988	0.9
District of Columbia	3,364	4.4
Florida	10,561	0.5
Georgia	18,611	1.4
Hawaii	790	0.4
Idaho	57	0.1
Illinois	3,333	0.2
Kansas	1,545	0.3
Louisiana	1,589	0.2
Massachusetts	9,673	1.0
Michigan	25,294	1.5
Minnesota	4,670	0.6
Mississippi	340	0.1
New Jersey	4,001	0.3
New Mexico	4,601	1.4
North Carolina	9,513	0.8
Ohio	2,509	0.1
Pennsylvania	5,474	0.3
Rhode Island	397	0.3
South Carolina	364	0.1
Texas	18,590	0.5
Wisconsin	2,060	0.2

[1]This estimate is the percentage of public school students who were enrolled in charter schools in the 26 states and the District of Columbia that had charter schools in operation in 1998–99.

NOTE: Charter school enrollment includes data for 1,010 charter schools and is based on responses from all 975 open charter schools that responded to the survey, supplemented with data from state departments of education. States not listed were not reported in the original source.

SOURCE: U.S. Department of Education, Office of Educational Research and Improvement, *The State of Charter Schools: Fourth-year Report*, 2000.

Table 5.5 Selected characteristics of charter school legislation, by state: 1999

State	Who can grant charter	Schools eligible			Number of charter schools allowed	Duration of charter term
		Newly created	Pre-existing public	Pre-existing private		
Alaska	Local boards	Yes	Yes	No	30	Up to 5 years
Arizona	Local boards, State board, and State charter board	Yes	Yes	Yes	No limit	15 years
Arkansas	State board	Yes	Yes	No	No limit	3 Years
California	Local boards + appeals	Yes	Yes	No	100 annually	5 Years
Colorado	Local boards + appeals	Yes	Yes	No	No limit	5 Years
Connecticut	State board	Yes	Yes	No	24	5 Years
Delaware	Local boards for conversions and State board for newly created	Yes	Yes	No	No limit	3 Years
District of Columbia	Local boards, State board, and State charter board + appeals	Yes	Yes	Yes	20 annually	15 Years
Florida	Local boards + appeals	Yes	Yes	No[1]	Other limits[2]	3 years
Georgia	State board	Yes	Yes	No	No limit	5 years
Hawaii	State board	Yes	Yes	No	25	4 years
Idaho	Local boards + appeals	Yes	Yes	No	60[3]	Up to 5 years
Illinois	Local boards with State board review + appeals	Yes	Yes	No[4]	45	3–5 years
Kansas	Local boards	Yes	Yes	No	15	3 years
Louisiana	Local boards and State board + appeals	Yes	Yes	No	42	5 years
Massachusetts	Local boards for conversions and State board for newly created	Yes	Yes	No	50	5 years
Michigan	Local boards and IHEs	Yes	Yes	Yes	No limit	Up to 10 years
Minnesota	Local boards and IHEs + appeals	Yes	Yes	Yes	No limit	3 years
Mississippi	Local boards and State board	No	Yes	No	6	4–6 years
Missouri	Local boards, IHEs, and community colleges[5]	Yes	Yes	Yes	Other limits[6]	5–10 years
Nevada	Both Local boards and State board	Yes	Yes	No	Other limits[7]	3 years
New Hampshire	Local boards + appeals	Yes	Yes	No	10 annually[8]	5 years
New Jersey	State Commissioner	Yes	Yes	No	135[9]	4 years
New Mexico	Local boards and State board	Yes	Yes	No	20 annually[10]	5 years
New York	Local boards, state board, SUNY board of trustees	Yes	Yes	No	100 new; unlimited public conversion	5 years
North Carolina	Local boards, State board, and IHEs	Yes	Yes	Yes	100	5 years
Ohio	Local boards and State board	Yes	Yes	No	No limit	Up to 5 years
Oklahoma	Local boards + appeals	Yes	Yes	No	Other limits[11]	3 years
Oregon	Local boards and State board	Yes	Yes	No	Other limits[12]	Up to 5 years
Pennsylvania	Local boards	Yes	Yes	Yes	No limit	3–5 years
Rhode Island	State board	Yes	Yes	No	20	Up to 5 years
South Carolina	Local boards + appeals	Yes	Yes	Yes	No limit	3 years
Texas	Local boards for conversions and State board for new created	Yes	Yes	Yes	No limit[13]	Specified in charter
Utah	State board	Yes	Yes	No	8	3 years
Virginia	Local boards	Yes	Yes	No	2 per district	3 years
Wisconsin	Local boards	Yes	Yes	Yes[14]	No limit	Up to 5 years
Wyoming	Local boards	Yes	Yes	No	No limit	Up to 5 years

[1]Although Florida's legislation does not allow private schools to apply directly for charter status, the state allows private schools to convert to charter status if they disband, reincorporate as a new organization with a new board, and enroll students in a public lottery.

[2]While Florida's legislation does not specify a statewide limit on the number of charter schools; the legislation does restrict the number of charters granted in each district based on district size. The effective cap for the state is 974 schools.

[3]Idaho's legislation limits the annual number of new charters to 12 with a statewide limit of 60.

[4]Illinois' legislation stipulates that a private school must cease operation as a private school before applying for charter status.

[5]Missouri's legislation limits charter schools to St. Louis and Kansas City with those districts, colleges and universities, and community colleges authorized to grant charters only in St. Louis and Kansas City.

[6]Missouri's legislation states that no more than 5 percent of the buildings used for instruction in a district may be converted to charter schools.

[7]Nevada's legislation limits the number of charters granted in each district based on district size, creating an effective cap of about 17 schools, with an exception for schools focusing on at-risk students.

[8]New Hampshire's legislation allows 10 new charters annually until the year 2000.

[9]Charter legislation in New Jersey requires a legislative review (including a review of the number of charter schools allowed) in 2000.

[10]New Mexico's legislation allows up to 20 new schools annually up to a maximum of 100 schools.

[11]Oklahoma's legislation only allows charter schools in districts enrolling 5,000 or more students.

[12]Oregon's legislation limits charter school enrollment to 10 percent of the total number of students enrolled in public schools in the district.

[13]Texas' legislation does not limit campus charters (schools that were previously district public schools) but limits open-enrollment charters (newly created schools or previously private schools) to 100 with no limit for charters serving at-risk students.

[14]Wisconsin's legislation allows the conversion of private schools only in Milwaukee.

SOURCE: U.S. Department of Education, Office of Educational Research and Improvement, *The State of Charter Schools: Fourth-year Report*, 2000.

Issues of Accountability and the Effect on Traditional Public Schools

Proponents of charter schools suggest that these institutions are likely to improve student achievement because they are free to experiment with alternative curricula and new instructional practices (McGree 1995). Successful strategies might also be incorporated into other public schools, thus benefiting students beyond the charter school. Manno et al. (1997) suggest that in this way charter schools may serve as "research and development" centers in which new ideas are tried out and evaluated. Because charter schools provide parents with additional options in public education, proponents also suggest that they may improve educational quality by introducing competition among public schools. Charter schools are also intended to contribute to the professional development of teachers, enabling them to learn and experiment with new ideas and instructional practices (McGree 1995).

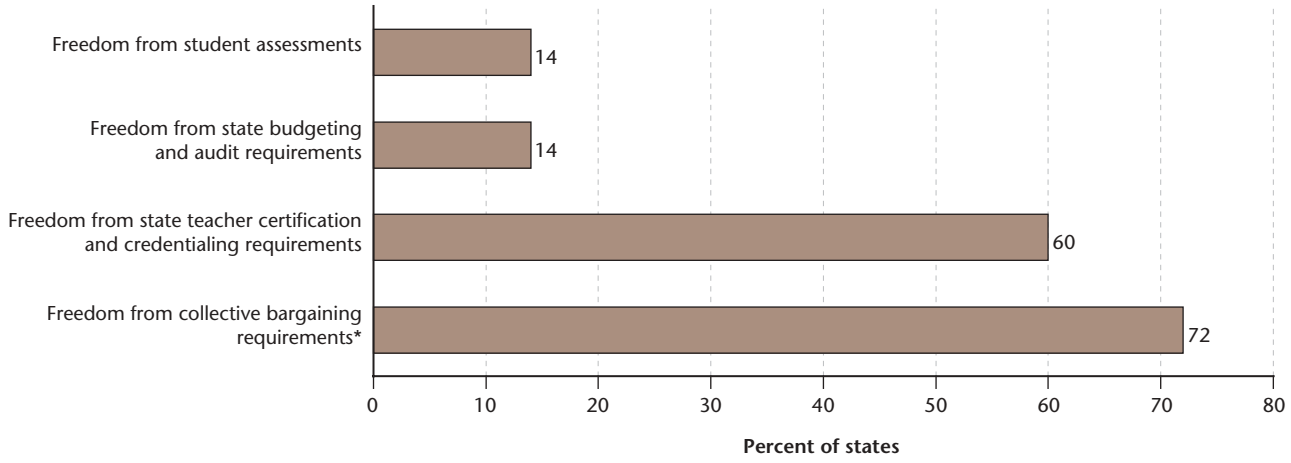
Some observers of charter schools, however, have noted the difficulty of measuring the educational outcomes that charter schools are intended to meet in the trade of "autonomy for accountability" (Rothstein 1998). States, for example, intend charter schools to be directly accountable for student achievement. If a charter school meets the academic achievement expectations and other goals set forth in its charter, then its charter is likely to be renewed. However, if the school fails to meet those expectations, then the agency that granted the charter may refuse to renew it. One issue that states have faced when drafting charter school legislation is how academic achievement will be defined and measured in charter schools. As described in chapter 2 of this report, the majority of states are developing content and performance standards that set high expectations for student achievement. States are also revising statewide assessment programs and implementing standards-based accountability systems. Determining just what "accountability" means for charter schools, and whether to require charter schools to use the same assessments and be included in state accountability systems, is an issue that states must address when drafting charter school legislation (see, e.g., Manno et al. 1997; Schnailberg 1998; AFT 1996; and Hill et al. 2001 for discussions of charter school accountability).

As part of an evaluation of the U.S. Department of Education's Public Charter Schools Program, state charter school coordinators were asked whether charter schools were subject to certain state regulations (U.S. Department of Education 2000b). The report concluded that, "In general, state charter school policies do not exempt charter schools from state student assessment or budgeting auditing requirements" (p. 40). While 60 percent of participating states, for example, reported that charter schools were free from state teacher certification and credentialing requirements, 14 percent reported that charter schools did not have to adhere to student assessment regulations (figure 5.1). It was summarized that, "In general, states reported that charter schools are held to the same student outcome measures as other public schools, particularly with respect to state testing requirements" (p. 43).

Observers of charter schools are also paying close attention to the degree to which enrollments in charter schools reflect the social and economic diversity of the area from which the schools draw students (Nelson et al. 2000). Because the charter school movement is relatively new, much of the research concerning the characteristics of charter schools and the students who attend them can be considered tentative. Thus far, research suggests that charter schools generally enroll a student population similar to all public schools in terms of social and economic diversity. In an analysis of charter schools operating in the 1998–99 school year, for example, the authors of *The State of Charter Schools* (Nelson et al. 2000, p. 2) highlight several of their findings related to student diversity in charter schools compared with traditional schools:

- Nationwide, students in charter schools have similar demographic characteristics to students in all public schools. However, charter schools in some states serve significantly higher percentages of minority or economically disadvantaged students.

Figure 5.1 Percentage of states reporting that some or all charter schools are granted various types of freedoms: 1999



*Seven states reported that collective bargaining was not an issue because they had no collective bargaining requirements.

NOTE: This figure is based upon 37 states surveyed as part of the evaluation of the Public Charter Schools Program.

SOURCE: U.S. Department of Education, Office of the Under Secretary, *Evaluation of the Public Charter Schools Program: Year One Evaluation Report*, 2000.

- White students made up about 48 percent of charter school enrollment in 1998 compared to about 59 percent of public school enrollment in 1997–98. The percentage of white students in charter schools is slightly lower than reported in 1997–98.
- Charter schools in several states—Connecticut, Illinois, Louisiana, Massachusetts, Michigan, Minnesota, New Jersey, North Carolina, and Texas—enroll a much higher percentage of students of color than all public schools in those states. Charter schools in Alaska, California, and Georgia serve a higher proportion of white students than do all public schools in those states.
- Nearly 7 of 10 charter schools have a student racial/ethnic composition that is similar (i.e., within 20 percent) to their surrounding district. About 17 percent of charter schools serve a higher percentage of students of color than their surrounding district while about 14 percent have a lower percentage of students of color.
- Charter schools enroll a slightly higher percentage of students eligible for free or reduced-price lunch than do all public schools in the 27 charter states.
- The estimated percentage of limited-English-proficient (LEP) students in charter schools is about 10 percent, which is about the same as for all public schools in the 27 charter states. The percentage of LEP students is about the same as reported for 1997–98.
- Without regard to differences across states, the reported percentage of students with disabilities at charter schools is about 8 percent, which is lower than the 11 percent for all public schools in these states.

However, using a different methodology than Nelson et al. (2000), Cobb and Glass (1999) compared the ethnic composition of charter schools in Arizona to adjacent traditional schools and found that the charter schools they studied "not only contained a substantially greater proportion of White students, but when comparable nearby

traditional public schools were used for comparison, the charters were typically 20 percentage points higher in White enrollment than the other publics." Additional research may suggest the conditions under which the racial and ethnic composition of charter schools might differ from that of traditional public schools.

In addition to the academic achievement and diversity of students who attend charter schools, research is also beginning to examine several other dimensions of charter schools, including the impact that charter schools have on traditional public schools. In a study of 10 California school districts, for example, the UCLA Charter School Study (1998), "found few direct effects of charter schools on the ways in which nearby public schools operated and educated children" (p. 55). However, in a 1997 study of 25 school districts in 8 states, Rofes (1998) found that about half of the districts had experienced what Rofes characterized as a "strong" or "moderate" impact, and about a quarter had "responded energetically to the advent of charters and significantly altered their educational programs" (pp. 1–2). In addition, a recent Center for Education Reform report cites evidence of charter schools having a range of effects on regular public schools (Center for Education Reform 2000). It should be noted, however, that charter schools are relatively new, and some of the predicted effects on regular public schools may not be apparent for several years.

Public Support for Private Education

Allowing open enrollment in public schools and enabling the creation of charter schools are both ways in which states have sought to provide greater choice in public education. Proposals have also been made to increase *private school choice* by using public funds to subsidize the cost of private school attendance (Moffit, Garrett, and Smith 2001). Because about 78 percent of private schools have a religious affiliation (Broughman and Colaciello 1999), issues concerning the separation of church and state frequently arise over laws that permit the use of public funds to support private schools. Consequently, state laws have been shaped by a number of Supreme Court decisions concerning the provision of public assistance to private schools and private school children. The U.S. Department of Education report, *State Regulation of Private Schools* (U.S. Department of Education 2000d), summarizes a number of court decisions that have had an effect on the provision of public support for private education, from a 1947 case in which the U.S. Supreme Court upheld a New Jersey statute that made transportation equally available to both public and private school children, to a 1997 decision that upheld placement of public school teachers in parochial schools to provide remedial educational services under a federal program. Reflecting U.S. Supreme Court decisions, several states currently permit the limited use of public funds to support private education in the form of transportation, textbooks, and various auxiliary services. See *State Regulation of Private Schools* (U.S. Department of Education 2000d) for a summary of state policies in these areas.

Less common are programs that use public funds to cover part or all of private school tuition. Although programs and proposals vary considerably, most involve either a state tax credit or a voucher that parents or guardians use to offset the cost of sending their child to a private school. Proponents argue that vouchers and tax credits will bring about a number of positive outcomes, such as allowing parents with limited resources to send their children to private schools, raising academic achievement, increasing competition among schools, and resulting in schools with greater economic and social diversity (see Ziebarth 2000b for a summary of the debate and research on vouchers). But in addition to concerns about the separation of church and state, opponents argue that vouchers and tax credits will drain resources and the best students away from public schools, resulting in greater inequality and benefiting few at the expense of many (see Ziebarth 2000b).

In Vermont and Maine, public funds have been used for many years to help cover tuition costs at nonsectarian (i.e., not affiliated with a religious body) schools for students living in areas in which a public school is not readily accessible. Since 1993, Georgia has funded a voluntary program that covers the cost of sending four-year-olds to prekindergarten programs in public schools or private providers of preschool services on a space-available basis

(Georgia Department of Education 2003). Three states—Wisconsin, Ohio, and Florida—have passed legislation enabling the creation of voucher programs. In 1989, the Wisconsin legislature adopted legislation that allows eligible students from low-income families who reside in the city of Milwaukee to attend any participating private school located in the city at no charge. In 1995, the Ohio legislature authorized a pilot voucher program that provides up to $2,250 in tuition scholarships for students of low-income families residing in the Cleveland school district. In 1999, Florida became the first state to create a statewide program that provides private school vouchers for students attending public schools that fail to attain certain performance levels in the state's school accountability system. Legal challenges in these states have focused primarily on the use of vouchers for sectarian schools, and in some instances their legal status remains somewhat uncertain (see McCarthy 2000 and Ziebarth 2000b for a discussion of legal activity).[9]

Homeschooling

Another education option available to parents in all 50 states and the District of Columbia is to homeschool their children. Although some states support homeschooling by requiring, for example, that public schools admit students on a part-time basis (Lines 2001), in this section "support" refers to the fact that states enable parents to have this option. The 1999 National Household Education Surveys Program (NHES) found that 850,000 students nationwide, or 1.7 percent of U.S. students ages 5 to 17, were homeschooled in spring 1999 (Bielick, Chandler, and Broughman 2001). Students were considered to be homeschooled if their parents reported them being schooled at home instead of at a public or private school, if their enrollment in public or private schools did not exceed 25 hours a week, and if they were not being homeschooled solely because of a temporary illness.

Parents may choose to homeschool for a number of reasons, including religious beliefs, concern over school safety, or because they believe their child will receive a better education at home. Although homeschooling is legal in all states (Lines 2001), the laws and regulations affecting homeschooling vary considerably across states. According to an analysis of state laws conducted by the Home School Legal Defense Association (HSLDA) in August 1998, 7 states required homeschool parents to hold a high school diploma or GED, 2 states required a diploma or GED along with additional requirements (such as requiring parents' education to stay 4 years ahead of the student), and 41 states did not require parents to have specific education credentials. The HSLDA analysis also found that 26 states required standardized testing or evaluation of homeschooled children, with 10 states requiring standardized testing only, and 16 states providing an alternative to testing, such as a review of the student by a certified teacher (Klicka 1998).

Summary

Offering parents greater choice in where their children attend school has been a theme of the reform efforts of the 1990s. By the end of the decade, more than half the states and the District of Columbia had adopted legislation intended to give parents more public school options. Some parents may now choose to enroll their children in a traditional public school outside their district of residence, while others may opt to send their children to a newly created charter school. Some parents who have chosen to enroll their children in private schools receive public support, such as publicly subsidized textbooks, while public support in the form of vouchers and tax credits is available in a few jurisdictions. Finally, homeschooling remains an option for parents, and a number of states have enacted legislation that regulates certain aspects of educating children in the home, such as the administration of standardized testing.

[9] Although this report focuses on the 1990s, it should be noted that in 2002, the U.S. Supreme Court ruled in a 5-4 decision that Ohio's Pilot Project Scholarship Program does not violate the Establishment Clause of the U.S. Constitution.

Chapter Six
Summary and Conclusion

This report describes some of the developments in state-level education policies that occurred during the 1990s and indicates the degree to which states have adopted these reform measures. In doing so, this report updated an earlier National Center for Education Statistics (NCES) report, *Overview and Inventory of State Requirements for School Coursework and Attendance* (Medrich et al. 1992), which examined state-level reform efforts during the 1980s.

This report groups reform efforts into four broad reform areas that reflect the primary ways in which states have sought to change the provision of education:

Standards, Assessment, and Accountability. Nearly all states undertook some type of reform effort that centered on setting high academic standards. States have worked to define content and performance standards—what students should know and be able to do and how well they should perform to be proficient in particular subject areas. They are also developing statewide assessments and accountability systems to measure student progress toward these goals and to collect information to hold schools responsible for student performance.

School Finance Reforms. State efforts to reshape education finance systems during the 1990s focused on defining adequacy and developing systems to ensure appropriate funding for achieving high standards. Other active areas of reform focused on general revenue reforms and special education financing reforms.

Teacher Training and School Resources. Other state reform efforts have focused on early childhood education, the effectiveness of teachers, the resources available to students and teachers, and the academic climate of schools. Efforts to ensure that all students have high-quality teachers, for instance, have led a number of states to apply a standards-based reform model to the training and certification of teachers. In doing so, states intend to provide teachers with the skills necessary to enable their students to attain high academic standards.

School Choice Options. A number of states adopted legislation intended to provide more parents with choice in where their children attend school. Many states have enabled the creation of public school choice programs and charter schools, both of which are intended to increase the public school options available to parents. State policies may also provide public support for parents who send their children to private schools, and all states now permit home schooling.

It remains to be seen whether these reform efforts will achieve their goals of raising student achievement. While efforts are under way to evaluate the effectiveness of specific policy changes, such as class size reduction and voucher programs, assessing the overall impact of the reforms of the past decade is difficult for several reasons. First, the current reform efforts outlined in this report are in some ways extensions of earlier efforts, making it difficult to establish a specific point in time when a particular reform effort began. Second, states may implement components of a reform effort on an incremental basis or provide sporadic support, both of which limit the ability to specify clearly the intensity with which reform was implemented. Third, states may implement a number of reforms simultaneously, while at the same time local schools and districts may be implementing additional reforms. Implementation of state regulations and statutes also may not be consistent across districts, schools, or classrooms. Fourth, student populations have changed

significantly in several states, complicating attempts to link a specific reform to student outcomes. Finally, many states did not initiate these reform efforts until the last couple of years. It may be the case that not enough time has passed to determine the effect of a particular policy. Consequently, it is difficult to isolate the effect of a specific state reform effort on a specific student outcome.

The information collected as part of accountability systems along with careful studies of reform implementation and effects, however, may provide the data from which the impact of some of these reforms can be assessed. The Consortium for Policy Research in Education (CPRE), for example, has examined the process of creating and implementing reform efforts in a number of states and districts (e.g., Massell, Kirst, and Hoppe 1997), and the effects of specific reforms on student achievement have been analyzed for particular communities (e.g., Clotfelter and Ladd 1996). But given variations in the comprehensiveness of reform efforts and the speed with which they are implemented, it may be several years before the impact of these changes can be fully assessed.

In addition to the changes states have made as a result of the reforms of the 1990s, states are now working to implement the No Child Left Behind Act of 2001 (P.L. 107-110). This legislation affects each of the policy areas discussed in this report, including standards, assessments, and accountability; finance; school resources; and school choice. Although the details of the most recent reform efforts may differ from those of the 1990s, they share a common goal of improving the academic achievement of the nation's students.

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Note: The date following entries with web links to electronic publications indicates when the publication was last retrieved.

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