

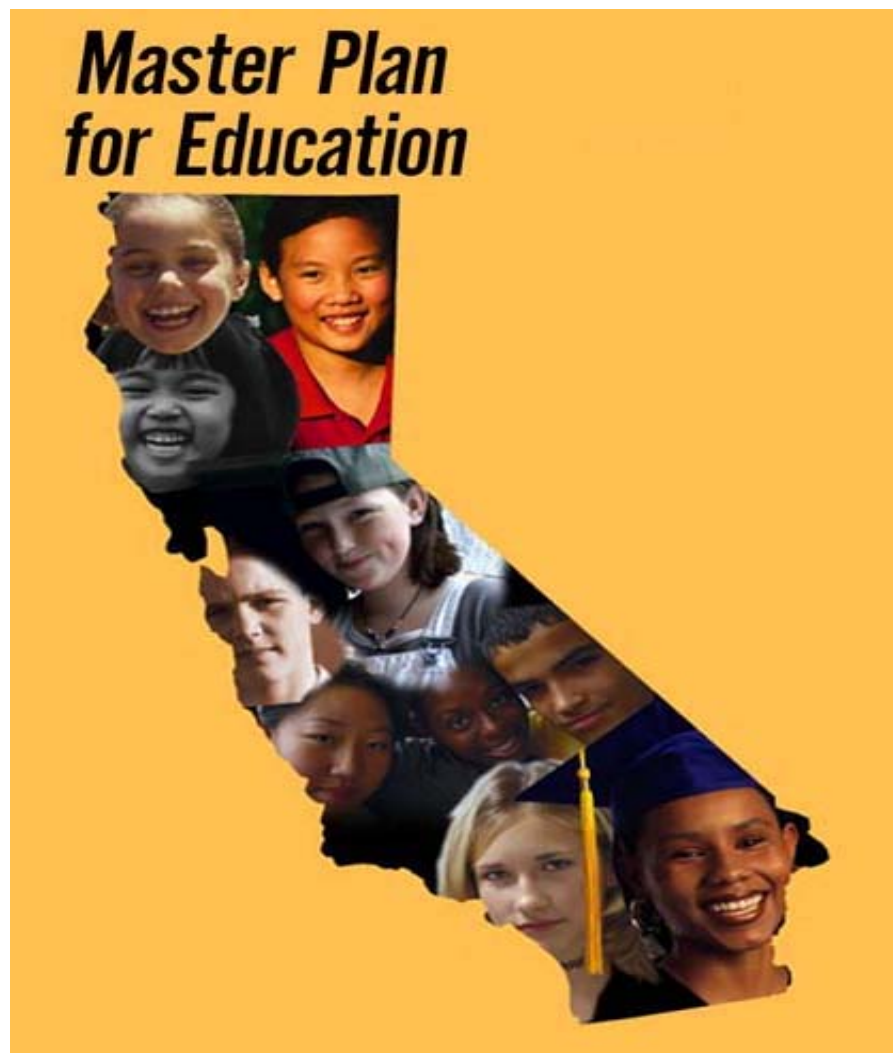
# **Joint Committee to Develop a Master Plan for Education**

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## **The California Master Plan for Education**



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# The California Master Plan for Education

## California's Challenge

Public education is a vital interest of our state in that it provides Californians with the capacity, knowledge, and skills to sustain our system of government, to foster a thriving economy, and to provide the foundation for a harmonious society. As the global technological economy continues to evolve, Californians require additional, enriching educational opportunities throughout their lives. Today, students enter, exit, and re-enter the education system at various points in their lives, bringing increasingly diverse learning needs to each classroom. To be responsive to Californians' needs, our state must have a comprehensive, coherent, and flexible education system in which all sectors, from pre-kindergarten through postsecondary education, are aligned and coordinated into one integrated system.

In 1999, the California Legislature passed Senate Concurrent Resolution 29, calling for the creation of a new Master Plan for Education. With this charge, California began a new journey to a new destination in a new century – namely, to provide a coherent educational system that is attentive to learner needs, literally from birth through old age. This Master Plan for Education will serve as the roadmap for that journey, with two primary goals: to provide every family with the information, resources, services, involvement, and support it needs to give every child the best possible start in life and in school; and to provide every public school, college, and university with the resources and authority necessary to ensure that all students receive a rigorous, quality education that prepares them to become a self-initiating, self-sustaining learner for the rest of their lives.

A child entering preschool in 2002 can expect to graduate from high school in 2016 and, if he or she chooses, complete her or his bachelor's degree in 2020. It is beyond our ability to know with precision the learning needs of Californians in 2020. The primary need of every student is to become a capable learner who can readily learn whatever content becomes relevant to her or his life and work; therefore, we must craft an educational blueprint that addresses this need and helps frame the decisions we make now by anticipating the diverse learning needs of the future.

The sobering reality of California's education system is that too few schools can now provide the conditions in which the State can fairly ask students to learn to the highest standards, let alone prepare themselves to meet their future learning needs. This reality and several additional compelling issues lead us to construct a comprehensive Master Plan at this time:

- The students who have been served least well in our public schools, colleges, and universities – largely students from low-income families and students of color – also make up an ever greater proportion of California's increasing population; we must extend

to them the same degree of educational promise that has been provided to the generations of California students that preceded them.

- As it was in 1959 when the Master Plan for Higher Education was first developed, California is challenged by estimates of a large increase in postsecondary education enrollment demand ('Tidal Wave II') over the next decade that can be accommodated only with careful systemic planning and sufficient investment.
- Also similar to the conditions of postsecondary education in 1959, today California's K-12 education system is governed by a fragmented set of entities with overlapping roles that sometimes operate in conflict with one another, to the detriment of the educational services offered to students. In addition, fragmentation and isolation prevent K-12 and postsecondary education institutions from effectively aligning and reducing the obstacles students face as they transition from one education sector to another.
- California's K-12 system operates without a clear vision or direction, with the result that it is susceptible to constant and major change by policy-makers that impedes schools' ability to plan for and deliver an education that meets the needs of students.
- California's educational institutions are often too rigidly structured to accommodate the increasingly diverse needs of the state's students.
- The continued economic viability of the entire state depends on a high quality educational system that uses effective strategies to help learners achieve their educational potential and objectives, that responds to high priority public needs, and that continuously engages in efforts to envision the future learning needs of Californians for successful transition to the rapidly evolving world of the modern economy. Providing all students the opportunity to achieve their highest academic and skill potential will enable them to pursue greater economic prosperity over a lifetime, better serving both them and society.

In addition to the foregoing structural issues, there is increasing concern over the disparity in quality of the education that our children are receiving. California no longer has any racial or ethnic group that is a majority of the state's population, yet schools serving large concentrations of low-income students, as well as those serving large numbers of Blacks, Latinos, and Native Americans, disproportionately receive fewer of the resources that matter in a quality education, resulting in lower student achievement. In urban and rural schools, which serve these students in higher concentrations, researchers estimate that as many as half of high school seniors leave school without the skills they need to succeed in further education or the world of work. The implications at the personal and societal level are enormous.

California's business community is increasingly concerned that California's low performance in state and national testing is occurring during a period in which students are required to have more substantial knowledge, and the ability to apply that knowledge, as well as more technical workplace skills in the post-industrial economy. One major newspaper recently stated, "the ranks of the working poor are also expanding and California is evolving, minute by minute, into a two-tiered society," a statement supported by the following facts:

- Barely half of California 4<sup>th</sup> and 8<sup>th</sup> graders (52 percent in both cases) demonstrated even basic competence in mathematics as measured by the 2000 administration of the National Assessment of Educational Progress (NAEP), often cited as the nation's report card. Only 15 percent of 4<sup>th</sup> graders and 18 percent of 8<sup>th</sup> graders demonstrated proficiency in mathematics that year.

- NAEP scores from 1998, the most recent numbers available, reveal that 48 percent of 4<sup>th</sup> graders and 64 percent of 8<sup>th</sup> graders were basic readers, while fewer than one quarter of 4<sup>th</sup> and 8<sup>th</sup> graders were proficient or advanced readers.
- Fewer than half of California's 4<sup>th</sup> and 8<sup>th</sup> graders demonstrated a basic understanding of science on the 2000 administration of NAEP, ranking California last among the 40 states that participated. Only 14 percent of 4<sup>th</sup> graders and 15 percent of 8<sup>th</sup> graders demonstrated proficiency in science.
- Only 56.9 percent of Latino students who entered high school in 1996 graduated four years later. Black students had a similar graduation rate of only 57.8 percent. In contrast, Asian and White students graduated at rates of 86.3 percent and 77.6 percent, respectively.
- Despite the selective nature of admission to the California State University and the University of California, about half of all freshmen regularly admitted to CSU during the past decade have required remedial instruction in English or mathematics, or both, while approximately one-third of UC freshmen have required remedial instruction in English.
- Among the graduates of California's public high schools, White students are roughly twice as likely as their Black and Latino peers to attain CSU and UC eligibility, and Asian graduates are roughly twice as likely as their White counterparts to attain CSU and UC eligibility – a relationship that has existed since 1983.
- Data compiled by the California Council on Science and Technology (2001) indicate that women of all races, and African American and Latino men, represent underutilized pools of labor in the science and technology sector (which provides high-paying jobs). Differences in educational attainment and in choice of educational major contribute to these groups' underrepresentation in science and technology occupations and industries.
- The percentage of American households with at least one computer doubled from 1994 to 2000, rising from 24.1 percent to 51 percent. Computer ownership varies by racial, ethnic, and income groups, however, with 55.7 percent of White households and 65.6 percent of Asian households owning a computer in 2000, compared to 32.6 percent and 33.7 percent of Black and Latino households, respectively.
- The 2000 Employment Policy Forum report indicates that as many as 70 percent of students entering the workforce do not have sufficient skills to adapt to the simple writing needs of a business environment.
- The National Alliance of Business reports that a 1998 survey of 430 CEO's of product and service companies, identified in the media as the fastest growing sector of U.S. business over the last five years, found that 69 percent of them reported the shortage of skilled, trained workers as a barrier to growth, up 10 percent from the year before.

These data are indicative of the huge gap that exists between what many Californians need from their educational system and what they are actually receiving. To date, this gap has been only marginally affected by the many major reforms that have been imposed on our public schools, colleges, and universities since the mid-1980's. It provides stark evidence that a piecemeal approach to reforming education is ineffective. A comprehensive, long-term approach to refocusing education in California is clearly needed; and this approach must have a clear focus on improved student achievement. The Master Plan should be used by the Legislature as a template to ensure that proposed education legislation in coming years is consistently directed toward reaching the goals set forth in this Plan.

## California's Vision

This California Master Plan for Education provides a long-term vision for an education system that is available to *every* Californian and that focuses on both learner needs and outcomes. This Plan is intended to serve as a framework to guide state and local policy-makers, as well as our educators, educational and community-based agencies, and business leaders, in making decisions that support this focus; to provide clear statements of expectations and goals; and to facilitate flexibility in responding to local needs and taking advantage of opportunities.

## A Vision for California's Educational System

*California will develop and maintain a coherent system of first-rate schools, colleges, and universities that prepares all students for learning and for transition to and success in a successive level of education, the workplace, and society at large, and that is fully responsive to the changing needs of our state and our people.*

If this Master Plan's vision is to be met, our schools, colleges, and universities must make serving students' learning needs their primary focus, including at the most advanced levels of education. School districts, county and regional entities, community-based organizations, postsecondary institutions, business and industry, and the State must all collaborate with each other in building an aligned system of education that ensures the availability of the necessary resources to meet learner needs. All functions and policies of our education system must be regularly reviewed and revised to ensure that each supports this focus; in short, this vision requires a dynamic plan that is based on learner needs and that is comprehensive, grounded in data, and reviewed regularly for evidence of progress and need for revision.

## Foundational Principle

The fundamental principle that serves as the foundation for this Master Plan is that an effective and accountable education system must focus first and foremost on the learner. Policies, practices, structures, and financing must all be re-evaluated and modified as needed to ensure they are supportive of learners and their acquisition of the knowledge and skills that will enable them to be successful learners and earners throughout their lifetimes.

Equal opportunity for all has been a broad goal of American public education for generations. Only in approximately the last 30 years, however, have the nation's educational and political establishments begun to develop a commitment to a two-pronged refinement of that goal, one unprecedented in any culture in history: First, the public schools will be ensured the capacity to provide the various kinds of instructional and other support necessary for *all* children to succeed, *including* children whose readiness to learn has received little or no attention prior to their



entering school, and those whose life circumstances continue to be less conducive to formal education than those of many others. Second, all children will not only begin school in an education system prepared to ‘take them as it finds them,’ but their persistence in that system will be developed, nurtured, and rewarded such that they will all ultimately graduate from high school with the knowledge, skills, and habits of mind requisite to self-initiated, life-long learning. This Master Plan is California’s first comprehensive template for the accomplishment of that radical goal.

It is important to emphasize that this California Master Plan for Education is focused on *all* students. Every school-age child is constitutionally guaranteed access to a free public education and is entitled to a high-quality educational experience without regard to his or her individual educational objectives. This guarantee applies to students attending rural, suburban, and urban schools; students from low, middle, and high-income families; students whose home language is not English as well as those who have spoken English their entire lives; high-achieving students and students who require supplemental education services to succeed in school; and students with visible disabilities as well as those with less obvious disabilities. The opportunity to participate in high-quality educational experiences is one to which older adult learners are entitled as well, should they choose to pursue adult or postsecondary education within the state. That these students are diverse and represent a kaleidoscope of cultures, abilities, and learning styles is a given in California and represents both great promise and great challenge in the forging of a coherent educational system that focuses on student achievement and responds to the myriad ways in which students choose to use their knowledge and skills.

Our committee’s focus on learners, and the foregoing goals for students, coincide with a newfound understanding of human brain development and learning. As the tenets of this Master Plan are implemented over time, every element of California’s education system can be informed by this knowledge to ensure that appropriate learning opportunities occur at developmentally optimal times for learners, resulting in gains in every student’s knowledge and cognitive development.

We have sought to identify ways in which our educational institutions can become more coherent or ‘seamless,’ providing learners with school and college experiences free of educational and bureaucratic impediments. We have sought to ensure equity within California’s education system, through recommendations to distribute the resources and opportunities necessary for a high-quality education to every student, irrespective of his or her circumstances. Even as we have examined what is required to provide a high-quality education, we have also sought to facilitate the critical evolution from access to success, by focusing on greater academic achievement and career preparation across the full spectrum of students at all levels. Finally, we have sought to create effective and comprehensive accountability for the entire education system by delineating authority and responsibility for all its participants in a manner that ensures each can be held accountable for ensuring all students learn.

It must be recognized that this 2002 Master Plan is being crafted at a time when California, like the rest of the nation, has entered into an economic downturn after nearly half a decade of unprecedented economic prosperity (which followed a deep recession that opened the last decade of the 20<sup>th</sup> century). This economic development is instructive in two very important ways: it

highlights the cyclical nature of California’s ‘boom and bust’ economy, which has so dramatically shaped and reshaped educational opportunities; and it underscores the importance of Californians’ taking a long-term approach to our collective investment in education. The committee realizes that an enormous increase in our investment in education will be required to fully implement the provisions of this Master Plan. Not all returns from this investment will be immediate; some will require years to be realized. This Master Plan, however, provides a guide to where new investments are most urgently needed to advance our vision for California education and, when it becomes necessary, where reduced investment might be directed to ensure least disruption to our collective commitment to promoting student achievement. It is envisioned that this Plan will guide our educational system for the next two decades; it should be used by the Legislature as a template to ensure that proposed education legislation in coming years is focused on reaching the goals contained in this Plan. Built-in flexibility will accommodate necessary changes during the life of the document.

Engaging the populace in planning for a more effective, learner-focused education system, especially for a system as large and complex as California’s, requires creativity, a willingness to take risks, and a healthy amount of patience. Nonetheless, if our vision for California’s educational enterprise is to be realized, it is imperative that all Californians become personally involved in the education and well-being of our learners – young and old alike. It is the challenge of this Master Plan for Education both to make that engagement happen and to guide it as it does. The Plan addresses this challenge by declaring the vision, principles, and goals of California’s educational system; by clearly delineating the roles and responsibilities of all participants in the system; and by describing a system to ensure that those roles are effectively carried out to serve students.

We must engage *every child*, so he or she knows there is a place for him or her in our schools and in our society. We must engage communities both to foster a shared sense of purpose and to share responsibility for preparing and supporting every student. Ultimately, we must engage our entire state and its policymakers to make all Californians aware of the needs and purposes of our state’s education system and the critical importance of planning for a future in which we raise the educational bar for all students while simultaneously opening the doors of academic and economic opportunity wider than ever before.

## **Organization of the Plan**

The Joint Committee’s vision is certainly ambitious. Ultimately, its implementation will require clear perspectives and input on the extent to which the vision remains in sight and within reach. This report seeks to provide those perspectives through its focus on four critical areas of California’s educational system: access, achievement, accountability, and affordability. Each of the corresponding sections of this Plan provides a context for the interpretation of subsequent findings, describes today’s realities and our vision of how California’s education system could operate under the guidance of this Master Plan, and offers specific recommendations on what priorities should be pursued. Consistent with the goal of constructing a coherent education system, recommendations specific to preschool, K-12 education (including alternative education delivery structures), adult education, and postsecondary education are separately listed only

when necessary to address unique features of these portions of the education system. Similarly, this 2002 Master Plan seeks to delineate clearly the functions, responsibilities, and authority that should reside with state-level entities and those that should be delegated to regional and local entities. Finally, the Plan provides, in its appendices, data and references the reader can use to acquire a deeper understanding of California's education system and the research base that supports many of the recommendations contained in this Master Plan.

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# Access to Quality Education

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## The Context

Public education is a vital interest of our state in that it provides Californians with the capacity, knowledge, and skills to sustain our system of government, foster a thriving economy, and provide the foundation for a harmonious society. As the global technological economy continues to evolve, Californians require additional, challenging educational opportunities throughout their lives. Today, students enter, exit, and re-enter the education system at various points of their lives, bringing increasingly diverse learning needs to each classroom. To be responsive to Californians' needs, our state must have a comprehensive, coherent, and flexible education system in which all sectors, from pre-kindergarten through postsecondary education, are aligned and coordinated into one integrated system.

A commonly shared belief is that a primary purpose of education is to promote learning. Success in meeting this purpose results in individuals' possessing the knowledge and skills to sustain a democratic society and a desired quality of life. Those important results for citizens and for California society at large provide a compelling rationale for state support of public schools, colleges, and universities. The additional components of California's rationale for supporting its comprehensive education system include:

- Learning prepares the individual for life in a diverse global society;
- Learning prepares the individual for work; and
- Learning prepares society to manage change and effectively respond to challenges.

### *Historical Perspective*

California's commitment to public education was clear by the time of the second constitutional convention, in 1879. Article IX of the revised Constitution read, "A general diffusion of knowledge and intelligence being essential to the preservation of the rights and liberties of the people, the Legislature shall encourage by all suitable means the promotion of intellectual, scientific, moral, and agricultural improvement" by providing "a system of common schools by which a free school shall be kept up...in each district..." By 1879, the Legislature had enacted a compulsory attendance law for the state's youth. The State also supported a 'normal school' to prepare teachers for the common schools, and the Constitution established the University of California as a public trust.

A clear set of principles led to the development of the public education system. California's founders believed that the benefits of education would be realized not just by each individual, but by the public as a whole. They further believed that the many benefits to society would be

obtained only if all citizens were educated. They held that the only way to assure that this vital public interest would be met for all citizens was for the State itself to provide education, through local school districts, at public expense.

While California's commitment to educating its people encompasses all levels of education, a crucial distinction exists between the State's obligations regarding elementary and secondary, as distinct from preschool, adult, and postsecondary education. The California State Supreme Court has ruled, in its decisions on *Serrano* (1976) and *Butt* (1990), that the California State Constitution provides a fundamental right to an elementary and secondary education. This fundamental right (also referred to as a fundamental interest of citizens of the state) derives from several provisions of California's constitution and statutes, taken together: Article IX of the Constitution, Sections 1 and 5, which obligate the State to provide a system of free common schools; the Constitution's equal protection provisions, Article I, Section 7, and Article IV, Section 16; and Education Code Section 48200, imposing compulsory attendance. As a corollary of Californians' fundamental right, the State incurs a fundamental obligation to sustain that right, which receives the highest order of legal protections. The State and its schools are *required* to equitably provide appropriate educational opportunities to all students.

Postsecondary education, though not constitutionally guaranteed to Californians, is nevertheless provided universally to our people. Californians clearly regard postsecondary education as a vital interest, essential to sustaining economic vitality, and throughout our history have demonstrated this deep commitment by supporting a set of affordable public colleges and universities as ultimately defined in the 1960 *Master Plan for Higher Education*. Participation in postsecondary education is voluntary, however, and not constitutionally guaranteed to be free of charge. As a result of these differences, postsecondary education does not incur the same order of legal obligations for the State as does K-12 education. Correspondingly, postsecondary education also is not subject to many of the strictures that apply to the K-12 system. These distinctions will require that, even in a cohesive Master Plan for Education, certain components be treated differently among the sectors of California's education system.

Although no constitutional guarantee or statutory commitment has previously existed for California's preschool-age children, our state has a profound interest in making available to all families who desire them the early education opportunities that support a child's emotional, social, physical, linguistic, and cognitive development. A critical element of the learning process is a child's readiness to learn. Just as experiences at each earlier grade have an impact on a child's preparedness for success at the next level of education, there are factors that promote children's readiness to succeed in their first experiences in school. Early childhood education and development in pre-kindergarten settings can provide the socialization and coping skills, and the developing literacy and numeracy skills, that lead to these successes.

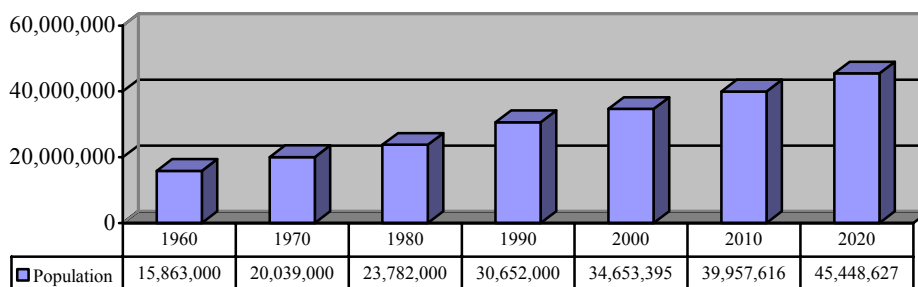
## California Today

### *Growth: More of us...*

California grows at a rate of approximately 400,000 to 600,000 persons annually, as a result of strong migration from both other states and other nations, high birth rates among segments of California's population, and longer life spans resulting from the advances of research and medicine. This strong growth rate is expected to continue over the next several decades and will result in a very different mix of people from what has been the case in previous decades.

**Figure 1**

**Total California Population, 1960 to 2020**



*Source: Department of Finance, Demographic Research Unit, 2001 Projection Series*

The Department of Finance annually produces a report which documents actual public school enrollment, and estimates likely public school enrollment, by grade level, for several years into the future. These reports provide data that are valuable for effective statewide planning for education. Similar reports are prepared annually documenting and estimating high school graduates – the primary source of postsecondary education enrollment demand – and enrollment in public colleges and universities. As illustrated in Table 1, following, public school enrollment in academic year 2010-11 is expected to grow by 249,422 over the actual 2000-01 public school enrollment, a 4.2 percent increase.

### *Looking different...*

Public school enrollment growth will not be equal across all racial and ethnic groups. For instance, Latino students enrolled in public schools will likely increase by 25.5 percent between 2000-01 and 2010-11, while White students are expected to decline by 20.3 percent and Black students are expected to decline by 15.1 percent over the same time period. The data in Table 1 also reveal that in the 1990-91 academic year no racial or ethnic group constituted 50 percent or more of public school enrollment, a fact that has been true since 1988-89, yielding a mix of cultures, languages, and learning styles that has created extremely rich educational environments but that has also presented daunting challenges to California's public schools.

**Table 1**

**K-12 Graded Public School Enrollment by Ethnicity, History, and Projection**

*Source: Department of Finance, Demographic Research Unit, 2001 Projection Series*

	School	Total	Amer.	Asian	Black	Filipino	Hispanic	Pacific	White
	Year		Indian					Island	
Actual	1990-91	4,842,174	37,263	382,985	411,868	108,319	1,661,799	26,358	2,213,582
	1992-93	5,089,808	40,471	417,957	432,709	120,984	1,836,757	28,427	2,212,503
	1994-95	5,242,078	45,118	435,311	450,078	127,772	1,982,161	29,565	2,172,073
	1996-97	5,512,155	47,479	456,537	473,948	132,681	2,187,148	32,496	2,181,866
	1998-99	5,748,344	49,380	470,483	492,299	137,963	2,373,881	36,303	2,188,035
	2000-01	5,967,170	51,641	483,958	498,694	144,365	2,585,676	38,489	2,164,347
Projected	2002-03*	6,116,804	53,172	496,250	497,149	150,028	2,780,899	40,094	2,099,212
	2004-05*	6,207,704	54,390	509,002	486,735	154,249	2,946,721	41,071	2,015,536
	2006-07*	6,260,119	54,605	525,142	467,352	158,979	3,089,816	42,493	1,921,732
	2008-09*	6,246,620	53,814	542,283	443,682	163,000	3,184,726	43,757	1,815,358
	2010-11*	6,216,592	52,926	559,853	423,235	167,737	3,243,849	45,000	1,723,992
<b>2000-01 to 2010-11 Change</b>		<b>4.18%</b>	<b>2.49%</b>	<b>15.68%</b>	<b>-15.13%</b>	<b>16.19%</b>	<b>25.45%</b>	<b>16.92%</b>	<b>-20.35%</b>

*Growing older...*

The projected growth in California's population will be unevenly distributed across age groups, a fact which will result in different impacts on different portions of the education system. The fastest growing cohorts of the state population are the over 65 and 45-to-64-year-old age groups, which are estimated to increase by 71.4 percent and 44.8 percent, respectively, between calendar years 2000 and 2020. These cohorts constitute the so-called Baby Boom generation and are the cohorts most likely to seek educational opportunities through the California Community Colleges and through continuing education offered by the California State University and University of California systems. The 5-19-year-old age group is roughly the group that will be enrolling in public schools, and is estimated to grow by approximately 1.96 million between 2000 and 2020, a 24.7 percent increase. The cohort of Californians from birth to age four is expected to grow by 37.1 percent over the same 20-year period, and represents the pre-kindergarten children who must be readied for successful transition to formal school experiences. Table 2, following, provides data on how California's population growth will vary by age group within major racial or ethnic categories.

**Table 2**  
Projected State Population, by Age, Race/Ethnicity

*Source: Demographic Research Unit, Department of Finance 2000 Projection Series*

<b>Year</b>	<b>Age Group</b>	<b>State Total</b>	<b>American Indian</b>	<b>Asian/ Pac.Isl.</b>	<b>Black</b>	<b>Hispanic</b>	<b>White</b>
2000	0 to 4	2,782,020	13,691	320,394	184,998	1,322,962	939,975
	5 to 19	7,942,190	42,966	926,294	592,080	3,133,499	3,247,351
	20 to 44	12,990,451	79,728	1,563,922	920,024	4,209,432	6,217,345
	45 to 64	7,226,013	49,615	829,446	456,558	1,484,537	4,405,857
	65+	3,712,721	19,770	359,371	184,275	538,322	2,610,983
	<b>Total</b>	<b>34,653,395</b>	<b>205,770</b>	<b>3,999,427</b>	<b>2,337,935</b>	<b>10,688,752</b>	<b>17,421,511</b>
2010	0 to 4	3,108,932	14,566	401,102	196,653	1,595,521	901,090
	5 to 19	9,122,727	44,870	1,199,038	590,309	4,271,811	3,016,699
	20 to 44	13,213,830	80,414	1,893,383	894,595	4,718,548	5,626,890
	45 to 64	9,956,439	65,725	1,280,505	628,494	2,586,601	5,395,114
	65+	4,555,688	31,750	539,722	230,449	791,569	2,962,198
	<b>Total</b>	<b>39,957,616</b>	<b>237,325</b>	<b>5,313,750</b>	<b>2,540,500</b>	<b>13,964,050</b>	<b>17,901,991</b>
2020	0 to 4	3,814,656	15,532	478,639	219,018	2,149,408	952,059
	5 to 19	9,900,916	48,108	1,375,999	608,467	5,063,836	2,804,506
	20 to 44	14,903,106	84,039	2,244,702	984,573	5,882,413	5,707,379
	45 to 64	10,466,559	69,076	1,533,686	646,843	3,385,530	4,831,424
	65+	6,363,390	49,504	841,127	347,497	1,297,305	3,827,957
	<b>Total</b>	<b>45,448,627</b>	<b>266,259</b>	<b>6,474,153</b>	<b>2,806,398</b>	<b>17,778,492</b>	<b>18,123,325</b>
<b>Change</b>	<b>0 to 4</b>	<b>37.1%</b>	<b>13.4%</b>	<b>49.4%</b>	<b>18.4%</b>	<b>62.5%</b>	<b>1.3%</b>
<b>2000 to</b>	<b>5 to 19</b>	<b>24.7%</b>	<b>12.0%</b>	<b>48.5%</b>	<b>2.8%</b>	<b>61.6%</b>	<b>-13.6%</b>
<b>2020</b>	<b>20 to 44</b>	<b>14.7%</b>	<b>5.4%</b>	<b>43.5%</b>	<b>7.0%</b>	<b>39.7%</b>	<b>-8.2%</b>
	<b>45 to 64</b>	<b>44.8%</b>	<b>39.2%</b>	<b>84.9%</b>	<b>41.7%</b>	<b>128.1%</b>	<b>9.7%</b>
	<b>65+</b>	<b>71.4%</b>	<b>150.4%</b>	<b>134.1%</b>	<b>88.6%</b>	<b>141.0%</b>	<b>46.6%</b>
	<b>Total</b>	<b>31.2%</b>	<b>29.4%</b>	<b>61.9%</b>	<b>20.0%</b>	<b>66.3%</b>	<b>4.0%</b>

The California Postsecondary Education Commission, created in 1973 to engage in long-range planning for postsecondary education opportunities, among other functions, has calculated similar estimates of the demand for access to postsecondary education opportunities over the next decade. The commission estimates that, by the year 2010, nearly 714,000 more students



than were enrolled in Fall 1998 will be seeking access to public colleges and universities within the state. Finding ways to accommodate the large numbers of students estimated to be heading toward public schools, colleges, and universities will require both discipline and creative thinking. Existing physical plants will need to be maintained; where capacity still exists, current campuses must be expanded; new campuses will need to be built; and students must be encouraged to accelerate their progress in meeting educational objectives. Even with these steps, California's public schools, colleges, and universities will not be able to accommodate all who could benefit from teaching and learning opportunities, if all other General Fund expenditures are held constant. The State should use the combined resources of public and non-public education institutions to ensure learning opportunities for Californians. California has an outstanding array of private elementary and secondary schools, independent colleges and universities, and private postsecondary institutions; and they should all be encouraged to assist the State in meeting the teaching and learning needs of Californians of all ages.

## **The Vision**

The central focus of California's vision for a coherent educational system is on both learner needs and outcomes. Accordingly, schools, colleges, and universities must make serving students' learning needs their primary focus, including at the most advanced levels of education. School districts, county and regional entities, community-based organizations, postsecondary education institutions, business and industry, and the State must all collaborate in building an aligned system of education that ensures the availability of resources to meet learner needs. All functions and policies of our education system must be regularly reviewed and revised to ensure that each supports this focus. In short, this vision requires a dynamic plan that is based on learner needs, comprehensive, grounded in data, and reviewed regularly for evidence of progress and need for revision.

We envision an education system in which specific rights, obligations, and expectations for students and education providers will be clearly expressed, so that all participants in the educational process, including families, can understand and respond to them. These rights, obligations, and expectations would define what we consider to be the essential elements of high-quality teaching and learning to which all students and education providers should have access. The Joint Committee proposes that these rights, obligations, and expectations be defined as follows:

### **Every student would be entitled to:**

- *Be taught by a competent, fully qualified teacher or faculty member;*
- *Receive a clear statement of the academic standards that define what s/he is expected to know and be able to do at every educational level;*
- *Receive an education, including intervention when necessary, that is sufficient to allow successful transition into the next levels of education and into the workforce;*
- *Receive supplementary educational services when needed to meet grade/class level expectations;*

- *Be provided access to high-quality learning materials and resources, including textbooks and technologies that foster and support the knowledge and skills s/he is expected to learn;*
- *Receive counseling and academic advising to assist in successful educational progress and planning;*
- *Advance to the next level of education upon demonstrating success in attaining stated academic standards;*
- *Attend school or college in a clean, modern, and safe environment that is conducive to learning;*
- *Be provided with sufficient information regarding educational, economic, social, and political options to be able to make informed choices for his or her future; and*
- *Receive adequate financial support for postsecondary education attendance.*

**Every student would be expected to:**

- *Attend school, college, or university regularly and participate in the educational opportunities that are provided;*
- *Commit to the level of effort needed to succeed; and*
- *Contribute to maintaining a safe, positive school, college, or university environment.*

**Every education provider would be expected to:**

- *Assess each student's knowledge and ability relative to the statement of expectations for the appropriate educational level;*
- *Evaluate the effectiveness of instructional strategies and use of other institutional resources to promote student achievement, modifying practices when warranted to achieve improved outcomes; and*
- *Contribute to maintaining a safe, positive, and stimulating school, college, or university environment.*

**All parents would be expected to:**

- *Serve as children's first teachers by exposing them to activities that stimulate their innate disposition for learning;*
- *Work with school officials as partners to promote the development and achievement of their children; and*
- *Encourage and support their children in their efforts to succeed in their educational endeavors.*

**The State would be expected to:**

- *Provide adequate funding to ensure that the essential pre-conditions for quality teaching and learning would be provided at every public school; and*
- *Monitor the performance of education institutions to ensure that every public education institution develops a capacity to help all students meet or exceed specified achievement standards.*

Within this context, students would attend school regularly, prepared to apply themselves to the lessons and assignments they were given by their teachers. When they didn't fully understand course content, they would ask for clarification rather than remaining silent. Teachers would continuously monitor student performance with an eye toward identifying those students who are having difficulty understanding material or who could progress more rapidly than the class as a whole. They would refer students to supplemental learning support or accelerated learning opportunities, as appropriate. Teachers would feel free and empowered to supplement traditional instructional materials and would improve instructional practices to facilitate student learning, including initiating programs to enlist parents as partners in the teaching-learning process. Within this rich teaching and learning environment, students, parents, and education professionals would all work toward ensuring that each student completed high school fully prepared to transition successfully to work or to further education at a postsecondary education institution.

Parents would know and understand what they could expect the school or college to provide to their children and would feel free to ask how they could support teaching and learning objectives. They would offer their assistance confidently, knowing that school personnel would help them acquire any skills they needed to be most effective in assisting their children or would direct them to community resources from which appropriate assistance could be obtained. Parents would ensure that an appropriate study location were provided to their children and regular time set aside for them to complete any homework that might have been assigned by their teacher. Parents would feel welcome at school sites and would ensure that their children respected their schools by contributing to keeping them clean and safe. They would easily engage in ongoing dialogue with school counselors, advisors, health, and other school personnel to maintain mutual alertness to any conditions that might have an effect on the learning of their children and would collaborate on ways to address such conditions, when discovered.

State policymakers would identify these student rights as essential pre-conditions for every public school, college, or university and would endeavor to ensure that annual budget decisions reflected a priority for these items in the education budget. This vision reflects a historical commitment to supporting public education but also a firm understanding that a substantial increase in education investment will be required, and a belief that this additional investment will result in fewer Californians' not having the capacity to acquire gainful employment and/or eventually falling under the supervision of the criminal justice system.

### *The components of quality*

Meeting the challenge of providing educational access to all Californians is more than a matter of numbers – although understanding the magnitude of demand is essential to any comprehensive planning effort. California has a long-standing commitment to providing access to high-quality education at all levels. However, current indicators of student educational experiences and learning outcomes provide a dismal picture of the quality of education available throughout the state, particularly for those categories of students who historically have not been well served in public schools, colleges, and universities.

The essential features of education include teaching and learning. Research demonstrates that high-quality teachers are the school-based component that has the greatest impact on the educational experiences, and subsequent success, of students. However, even the most effective teachers cannot make much of an impact on a student not disposed to learn or pre-occupied with the more basic concerns of health, shelter, and safety. Parents play a significant role in determining the extent to which their children are disposed to learning. This Master Plan for Education therefore begins with the needs learners in their earliest years and the experiences they need to nurture their natural curiosity and stimulate a disposition for learning. Once the early learner enters formal schooling, s/he should interact with caring adults, in safe and inviting environments, be challenged to grow intellectually and socially, and be provided the support and encouragement to meet clear learning expectations. Put simply, all students should be provided access to more than a seat in a classroom; they should be provided access to the educational components that are essential for a quality education system. These components include:

- A rigorous and integrated curriculum that enables a more engaging learning environment, increasing students' opportunities for success in continued education, work, and society;
- Current textbooks, technology, and instructional materials aligned with learning expectations;
- Adequate diagnostic and learning support services, such as tutors and adaptive equipment for those with disabilities;
- Qualified school or campus administrators, to maintain an educational culture that is inviting and safe, and that places a high value on student achievement and teaching excellence; and
- A physical learning environment that is safe, well-equipped, and well-maintained.

"If we do not educate all our people for tomorrow's jobs, our society could become increasingly polarized between the rich and the unskilled.... No issue will be more important for sharpening our competitive advantage, spurring overall growth, and for ensuring that the benefits of that growth are shared by all Californians, than investing in ourselves."

– *California Economic Development Corporation Visions: California 2010, 1992*

California's requirement of compulsory education for all children must be viewed as a contract between the State and our students/parents, complete with rights and responsibilities. Every school-age student in California has a fundamental constitutional right to a high-quality, state-provided education, which we believe includes a rigorous curriculum that prepares students for successful transition to both work and postsecondary education. Accordingly, the State must provide all students with the resources, instruction, and support necessary to enable them to achieve the competencies that the State's academic content standards, college admission requirements, and the competitive work place demand.

Building and maintaining an infrastructure of high-quality education personnel is of particular concern. Education is fundamentally a human process and requires both teachers and learners. In addition, the focus of this Plan on meeting student needs for learning support requires that

attention be given to building a cadre of other professional personnel such as counselors, librarians, administrators, and classified staff, who collectively create the culture in which teaching and learning take place. These personnel must work in a complementary fashion to ensure that students' innate capacity for learning is nurtured and that students are supported as they make career and academic choices.

## **Access To The Conditions That Promote Learning**

Newborns enter the world poised to develop intellectually, socially, and emotionally from the experiences of their first several years of life. As their senses develop, their brains begin to form relationships between things and events in an incredible journey, learning new smells, sounds, tastes, feelings, sights, even scientific reasoning. Parents and educators have long known that infants and toddlers thrive when they have responsive care, individual attention, and enriching experiences. Evidence from cognitive science, developmental psychology, and neuroscience has shown that efforts to meet these needs not only comforts children, it affects the ways in which children's brains develop and lays the groundwork for later learning and achievement.<sup>1</sup>

Not all children currently have opportunities to benefit from enriching experiences during the early years of their lives. Low-income children have the most to gain from high-quality childcare but are least likely to experience it. In California, nearly half of all school age children live in families with low incomes and more than a quarter under the age of five live in poverty.<sup>2</sup> Key experiences to which infants and toddlers should have access include:

- *Preventive health screenings and assessments*, which could reveal signs of developmental delays or physical problems that put children 'at risk' in developing readiness for school;
- *Early intervention services and support*, which could help many of these children enter school with their developmental problems resolved or with a set of services that will have a positive impact on their developmental path;
- *Adequate health coverage*, which would enable all parents to routinely seek preventive screenings and assessment, and would permit early identification of potential developmental delays, learning disabilities, and/or physical disabilities;
- *Access to high-quality preschool*, which would provide an alternative means of properly identifying health and developmental needs of young learners and enable commencement of appropriate intervention services.

The foregoing issues may not be entirely educational in nature, but they are crucial to our goal of producing ready learners who can benefit from a high-quality educational experience. California families, child care and education providers, and health care professionals are called upon to work together to ensure that all children have opportunities for enriching experiences during their early years of life, and that they receive the developmental screenings, assessments, and intervention services necessary to provide them a solid foundation for lifelong learning and achievement. Families and health and social services providers are further called upon to

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<sup>1</sup> J.P. Shonkoff and D.A. Phillips, Eds., *From Neurons to Neighborhoods* (2001)

<sup>2</sup> Children Now, *The California County Data Book 2001*, (Oakland, CA. 2001).

collaborate to ensure that children of all ages will continue to receive the services essential to their continued readiness to learn.

We offer the following recommendations of what state policymakers can reasonably do to promote children receiving the services needed to promote their readiness to learn:

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## **Recommendation 1**

**The State should consolidate and expand funding for all infant and toddler services and enhance developmental screening in the earliest years of life.**

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The path to school readiness begins long before entry into preschool or kindergarten classes. The first three years of life can have a profound effect on children's ability to learn and on the physical, social, and emotional development that underlie achievement. Parents are the first teachers their children will experience, and some parents may benefit from assistance in meeting this responsibility effectively. Because low-income families are least able to provide the health care and enriching experiences supported by research and called for in this Master Plan, the State should ensure that during the phase-in of these services all state-supported health care and child care services give priority to low-income families residing in communities served by schools ranked in the bottom three deciles of the Academic Performance Index (API). Incentives should be provided to encourage collaboration among healthcare providers, early childcare providers, and community agencies to enable a collective responsiveness in these communities to the five components of school readiness adopted by the National Education Goals Panel:

- ***Health and physical development.*** Children who are born with the benefit of prenatal care, and who have good nutrition, health monitoring, and early intervention, perform better in school.
- ***Emotional well-being and social competence.*** Children who have secure relationships with family members and peers can become self-confident learners.
- ***Approaches towards learning.*** Children's attitudes toward learning, their ways of approaching new tasks, and their skills all affect school success.
- ***Communicative skills.*** Children with rich learning experiences have the tools to interact with other people and to present their thoughts, feelings, and experiences effectively.
- ***Cognition and general knowledge.*** Children who have the opportunity to explore and learn from their surroundings can construct knowledge of patterns and relationships, and discover ways to solve problems.

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## **Recommendation 2**

**The State should support the effective coordination of health and social services delivery for all children, beginning with services that meet young children’s developmental needs, at sites that are conveniently accessible to families.**

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Many factors not strictly educational in nature contribute to a child’s readiness to enter and ability to succeed in school. These factors are primarily related to health, nutrition, and family support. Although many public and private providers offer essential services, many new parents, child care providers, and families have difficulty locating and taking advantage of these services. Californians can benefit from promoting access to these services. A decade of experience with the Healthy Start sites in California has shown that school-age children’s outcomes improve when families have access to multiple services at a single site linked to the school. These outcomes include significantly increased math and reading scores for students most in need, decreased family violence, improved student health, improved living conditions, and decreased drug use, among others.

It is therefore in the interest of schools and other educational settings where children are located for much of the day to serve as sites for the delivery or coordination of essential non-education services, but schools must not be expected to be the deliverer of a much-expanded array of non-educational services. Therefore, partnerships should be actively promoted to bring community-based public and private service providers – including ‘Proposition 10’ School Readiness Initiative sites, Healthy Start sites, family resource centers, and child development centers – together to deliver a comprehensive array of health and social support services to children of all ages. To further this objective, we recommend:

**Recommendation 2.1 – The State should provide funding to establish neighborhood-based School Readiness Centers to give families access to essential services to meet young children’s developmental needs.**

**Recommendation 2.2 – To the greatest extent possible, schools should make available facilities where students and their families may access essential services from community health and social service providers.**

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## **Recommendation 3**

**For the two years prior to kindergarten entry, the State should provide voluntary access to formal preschool programs that offer group experiences and developmentally appropriate curricula.**

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Voluntary preschool beginning at age three has been demonstrated to have a clear link to children's readiness for, and long-term success in, school. California should also promote 'ready schools' by having preschool programs collaborate with elementary schools in developing individualized transition plans to smooth the movement of students from preschool to kindergarten. Formal preschools provide safe environments for young children and contribute to their social and physical development. In 1988, California's School Readiness Task Force recommended voluntary full-day preschool programs and noted that while quality programs do exist in the state, resources to support these programs are limited. Consequently, "far too many California families have few choices, or no choice, in gaining access to high-quality developmental programs for their preschool children."<sup>3</sup> Research indicates that provision of formal preschool would also offer California an opportunity to prepare children for active participation in a global society by introducing them to a second language. Scientists have shown that young children are biologically primed for language development.<sup>4</sup> Early childhood settings could foster dual language learning, helping all children establish the foundation to become bilingual and bi-literate – an addition to California's current content standards that we recommend be developed.

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#### **Recommendation 4**

**The law should be changed to require full-school-day kindergarten for all children, and preschool guidelines and kindergarten standards, curricula, and services should be aligned.**

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Data from the National Center on Educational Statistics demonstrate that, during the kindergarten year, children gain social and emotional competencies that foster achievement as they move through school and that they make measurable gains in specific reading and mathematics knowledge and skills. Moreover, children who attend full-school-day rather than half-day kindergarten do better academically and socially during their years in the primary grades.<sup>5</sup> For these reasons, attendance in kindergarten should be made mandatory for all children, with the understanding that private and home-study kindergarten are appropriate alternatives to state-operated and classroom-based kindergarten programs.

Because preschools and kindergarten have been independent operations in California, their guidelines and standards have not been aligned. Preschool guidelines stress developmentally appropriate activities to advance physical, cognitive, social, and emotional development. By contrast, kindergarten standards emphasize narrower academic objectives; but kindergarten should also be developmentally appropriate. California needs a single, coordinated set of program standards for all publicly funded programs aimed at promoting school readiness for all children. These standards must recognize the developmental continuum that stretches from the

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<sup>3</sup> California School Readiness Task Force, *Here They Come: Ready or Not! Report of the School Readiness Task Force*, California Department of Education, (Sacramento, CA., 1988)

<sup>4</sup> Universal Preschool Task Force, *Ready To Learn: Quality Preschools for California in the 21<sup>st</sup> Century*, California Department of Education, (Sacramento, CA., 1998)

<sup>5</sup> These Studies include: D. Gullo, "The Long-Term Educational Effects of Half-Day versus Full-School-Day Kindergarten", *Early Child Development and Care*, 160: 17-24 (2000); Y.L. Wang and G.W. Johnstone, "Evaluation of a Full-School-Day Kindergarten Program, *ERS Spectrum*, 17 (2): 27-32 (1999).



early years to the primary grades and facilitate successful transition from one level of schooling to another. We therefore recommend the following:

**Recommendation 4.1 – The State should provide for the phasing in of full-schoolday kindergarten, beginning immediately for communities served by schools that currently have API scores in the lower three deciles and expanding annually until all of California’s children have a full-schoolday kindergarten experience.**

Even when California is able to ensure that all young children have access to enriching preschool experiences, the first three years of elementary school will remain particularly important years of young learners’ formal educational experience. During these years, learning is remarkably rapid, and children move from pre-operational to operational intelligence and begin to think abstractly. In the primary school years, children also build relationships with key adults – parents and teachers – and have their first experiences of being evaluated on a comparative basis with other children.<sup>6</sup>

To ensure the benefits of efforts to promote readiness to learn in all young children are not lost upon enrollment in public schools, it is important to create ‘ready schools’ as well as ready children. The National Education Goals Panel developed and adopted ten attributes of ready schools that promote children’s readiness for learning.<sup>7</sup> Including these ten attributes, ready schools should:

- Smooth the transition between home and school;
- Strive for continuity between early care and education programs and elementary schools;
- Help children learn and make sense of their complex and exciting world;
- Are committed to the success of every child;
- Encourage parental participation in the learning and development of their children;
- Are committed to the success of every teacher and every adult who interacts with children during the school day;
- Introduce or expand approaches that have been shown to raise achievement;
- Are learning organizations that alter practices and programs if they do not benefit children;
- Serve children in communities;
- Take responsibility for results; and
- Have strong leadership.

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## **Recommendation 5**

**Schools should establish and maintain explicit compacts for active and meaningful partnerships that make parents and parent groups full partners in the education of their children. Parents should seek to assist school personnel by preparing their children for continued formal and informal learning, and by providing home support designed to overcome barriers to children’s learning**

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<sup>6</sup> Robert H. McCabe, *Sewing a Seamless Education System*, (April 2001).

<sup>7</sup> R. Shore, *Ready Schools*, Washington, D.C.: National Education Goals Panel, (1998).

Parents are the first teachers of their children. They have a responsibility to attend to the physical, emotional, social, and cognitive development of their children. The manner in which they carry out these responsibilities goes a long way toward determining the extent to which their child will develop their natural curiosity for learning as they grow and come to understand the world. Parents who are able and willing to invest the time to ensure that their children's health needs are met, that they are properly nourished, that developmental delays are identified early and responded to, that they are exposed to other children and experiences in their environment, and that they receive opportunities to interact with other adults, produce children who view learning as both natural and fun. Developing such a disposition for learning within children readies them for the experiences they will encounter upon enrollment in formal schooling. When they are able to, parents should seek to continue their active involvement in these children's learning by working closely with school personnel to build partnerships that continues to respect and promote the achievement of their children.

Parents create the early conditions that ready students for learning and should be actively enlisted to collaborate with schools to continue the emphasis on learning. This collaboration must be more than a specific, add-on school activity and must be supported with the provision of key school performance, career, and postsecondary education information to assist parents in making informed decisions. Schools and early childhood education sites should regularly communicate with parents about, and engage them in fostering, the progress of their children in meeting learning expectations and course requirements for admission to postsecondary education institutions.

Low levels of parental involvement and participation should be understood as the result of many causes, including the need for parents to work during the hours that schools are open, cultural unfamiliarity with the school system, language barriers, and even discrimination on the part of school personnel. Unfortunately, many parents do not have the skills or knowledge required to be the best advocates for their children's education. Parents have the primary responsibility for the success of their children, and schools have a responsibility to facilitate parental involvement. The schools' role, in supporting parental responsibility, is to provide open access, and information that is accessible both in language that parents can understand and in presentations that are welcoming. This role includes communicating with parents in their home language and providing translation services when necessary to facilitate parental involvement.

Too often parents receive mixed messages from public schools: they are urged to visit schools at any time, but receive a cool, if not hostile, reception when they question the behavior and/or decisions of teachers. Schools and early education providers must be diligent to nurture a culture that welcomes parents as partners in the education process and to offer guidance on ways in which parents can be of greatest assistance to teachers and to their children in promoting student achievement. This goal may require provision of learning opportunities for parents, particularly for parents of students who are English language learners or parents who have not had pleasant school experiences themselves. Additionally, it will require schools to charge specific staff members with responsibility for fostering parental involvement.

Parents also must be vigilant against sending mixed messages to school personnel and to their children. Parents should seek to understand the facts of a situation before taking a position for or against their children in disputes with school personnel and must also resist the temptation to communicate to their children the value that sports, work, and sibling care are more important than academic achievement. At all levels, including the postsecondary level, parents can help students understand that they can discover knowledge on their own and develop a passion for learning. Such an understanding prepares students to be active rather than passive participants in their own learning, and requires a willingness by parents to actively work with their children, particularly during the first few years of their children's enrollment in elementary schools.

### **Access To A Qualified And Inspiring Teacher In The Classroom**

Research shows that teachers are the single most important school-based factor that affects student learning. Students who have access to highly qualified teachers achieve at a higher rate, regardless of other factors. Indeed, inconsistencies in the quality of teaching produce striking differences in student achievement throughout the state. Therefore, to meet its commitment to providing a high-quality education, the State must be committed to ensuring that every student has the opportunity to learn from a qualified and inspiring teacher.

Teacher quality is not solely determined by credentials or degrees, and we should think of quality as a characteristic that evolves throughout a teacher's career, rather than as a static achievement. Teacher quality is an attribute that grows or diminishes based on the conditions in which a teacher works, personal motivation, and opportunities for growth and development. The following qualities are essential for a teacher to be considered *initially* qualified, or qualified to *begin* work in the teaching profession, with the expectation that much more development will take place with experience, mentoring, practice, professional collaboration, and opportunities for focused growth:

- A belief that every child can achieve state-adopted academic content and performance standards with appropriate time, instruction, and intervention;
- Subject-matter knowledge that is broad, deep, and related to the curriculum that every public school teacher is expected to teach;
- Pedagogical knowledge and skill that includes a repertoire of teaching strategies that are responsive to a range of learning needs, including teaching strategies for integrated instruction, which blends academic content across the curriculum with its contextual application;
- Ability to be reflective about his/her own teaching and to improve his/her practice as necessary and appropriate to enhance student learning;
- Ability to examine and assess student work and student data and respond accordingly; and
- Commitment to professional collaboration.

The availability of qualified teachers varies dramatically among schools. Many of California's schools and colleges face serious shortages in the numbers of qualified and experienced teachers they are able to recruit and retain. This problem is especially acute in low-performing schools but also exists at the postsecondary education level. At least 20 percent of the teachers in schools in the lowest decile of the 2000 Academic Performance Index (API) possess only emergency permits,<sup>8</sup> and in some districts fully *half* the teachers have emergency permits or waivers rather than credentials appropriate to their assignments.<sup>9</sup> In contrast, more than 90 percent of the teachers in the best performing schools on the 2000 API are fully credentialed for the subjects and levels they teach. The reasons for shortages of qualified teachers in low-performing schools are many and varied, but certainly include the following:

- Lack of a professional culture for teaching and learning;
- Lack of time and space for professional development and collaboration;
- Lack of effective, supportive leadership;
- Dirty, unsafe, and overcrowded campuses and classrooms;
- Lack of support staff; and
- Lack of up-to-date instructional materials and technology.

These same reasons have contributed to severe shortages of qualified teachers within the state's early child care and education sector, as well.

California's many ambitious reforms of recent years have had a significant impact on the professional development needs of California's teaching workforce. The adoption of new academic content standards for K–12 students, a new accountability system for PreK–12 schools, recently enacted laws regarding the delivery of services to English language learners in our student population, and the increasing diversity of California's student population, all affect the skills required of today's teachers and that will be required of those who will ultimately choose to become teachers. Despite these changing needs, little attention is currently given to helping teachers – in preschools, K-12 schools, adult education, and postsecondary education alike – engage in, understand, and apply research and new information about how students learn, and prepare students for the requirements of the modern workplace. Also, few structured opportunities are provided for teachers to learn, discuss, and collaborate on new effective strategies that emerge as California's student population changes. Poor coordination of professional development services remains a serious problem throughout the state.

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<sup>8</sup> California Teachers Association (2000). *Low-Performing Schools = High Priority Schools: Analysis of 2000 Academic Performance Index*. Sacramento, CA.

<sup>9</sup> California Commission on Teacher Credentialing (2001). *Teachers Meeting Standards for Professional Certification in California: Second Annual Report*. Sacramento, CA.

If thinking is seen as a complex skill or set of skills, it is reasonable to assume that "thinking is something that may be done well or poorly, efficiently or inefficiently, and also to assume that how to do it better is something that one can learn...and can be taught"

-- James R. Davies, 1993

As a state and a nation, we often blame our teachers for their professional shortcomings, for their failures in the classroom. This view is too narrow and may well be misdirected. Colleges and universities must accept a significant portion of the responsibility for the dismal state of student achievement in the public schools today. They have the responsibility for preparing the nation's teachers, and research indicates that two or more years of exposure to poor or unqualified teachers results in low student achievement. Too often schools of education are marginalized and must struggle to attract the resources needed to provide prospective teacher candidates with the best knowledge of their individual fields, the latest theories of pedagogy, strong skills in technology, considerable classroom experience, and faculty mentors.<sup>10</sup> Continued marginalization of schools of education would, have deleterious long-term effects on public education. Postsecondary education institutions must provide the financial, intellectual, and organizational resources schools of education require to be first-rate or they should close them.

Many California schools face serious shortages in the numbers of qualified and experienced teachers they are able to recruit and retain. It is unclear whether the overall shortage is primarily one of producing too few teachers annually to meet the demand for new teachers in California's public schools or simply of producing too few teachers who are willing to accept employment and remain on the job, particularly in 'hard-to-staff' schools. An analysis of data collected for the California Commission on Teacher Credentialing by SRI International suggests that, together, the total number of newly credentialed teachers, teachers moving here from other states, and returning teachers are sufficient to meet the estimate of California's annual demand for new teachers. SRI further concludes that no teacher shortage crisis exists in close to half of the state's public schools, except in specialized fields such as mathematics, science, and special education. But the rest of the public schools do struggle with finding and retaining qualified teachers. There are still 42,000 teachers without full credentials who work in public schools.

Well-trained teachers are a national priority for the business community as well, as it has called for "rigorous periodic, public, and independent appraisals" of teacher education programs.<sup>11</sup> The demographics of the state have stimulated a greater emphasis on increasing the number of teachers than on improving the quality of instruction. In addition to this concern, there is also a major shortage of workforce instructors and career counselors throughout the PreK-postsecondary education system, as well as too few librarians to support the efforts of teachers and counselors. Many vocational teachers are retiring and others are being lured away from education by higher salaries in the private sector. The loss of vocational teachers also means a reduction in the capacity of schools to meet the needs and interests of substantial numbers of

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<sup>10</sup> Vartan Gregorian, "Teacher Education Must Become Colleges' Central Preoccupation", *The Chronicle of Higher Education*, (August 17, 2001).

<sup>11</sup> See "Increasing the Role of the Business and Higher Education Communities in Preparing Our Nation's Teachers: A Business-Higher education Forum Initiative." The National Business Alliance. (2001)

students. Schools can help mitigate this loss by establishing partnerships with businesses that result in attracting back into the profession former teachers and by providing opportunities for other practicing professionals to teach vocational and academic courses on a part-time basis, a practice that could reinforce integrated teaching by infusing applied teaching and learning and contemporary business practices into course content.

In California's high-performing schools, conditions are nearly the opposite of those found in low-performing schools: there is a professional culture that respects teaching and learning; professional staff are supported in their efforts to continually improve their effectiveness in promoting student learning; school sites are well maintained; school leaders build and maintain effective partnerships with parents, community groups, and local businesses; and instructional materials are current and aligned with California's academic content standards. The challenge for the State, and the operational responsibility of local districts, is to ensure that such conditions exist within every public school in the state. To ensure that every student will be taught by a qualified teacher, California must take the following actions:

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### **Recommendation 6**

**The State should require that every teacher be adequately prepared prior to being assigned independent responsibility for a classroom of students.**

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Minimum qualifications must be maintained for all teachers who enter the classroom. We reaffirm California's current and developing processes for determining teacher preparation standards, education programs based on those standards that lead to the attainment of teacher credentials, and credentials themselves as an indicator of initial qualification to begin work in the teaching profession. This recommendation will ensure that California will meet or exceed the standards for teacher preparation established by federal legislation. The committee is also concerned that teachers acquire an appreciation for and sensitivity to the diversity of California's students, training in strategies to inspire students to embrace learning, and practical strategies for engaging parents as partners in student learning.

Since the 1960's, when internships were first launched, California has embraced multiple routes to the attainment of teacher credential qualifications. The diversity of needs within our state is the basis for allowing multiple approaches to learning to teach, and the committee reaffirms California's commitment to maintaining and enhancing a variety of routes into teaching. We are also committed to the development and implementation of valid and reliable assessments of teachers' preparedness as a precondition to the award of credentials, and recognition that the availability of such assessments may further enhance prospective teachers' access to the profession.

Even with these various entry opportunities available to prospective teachers, however, California has long had a shortage of qualified teachers available and willing to teach in some of its schools, especially those characterized as low-performing. With the advent of class-size reduction in 1997, the demand for teachers grew enormously, greatly outstripping the supply in

many places and greatly increasing the variability and inconsistency of instruction to which students are exposed. It is currently estimated that California will need to hire more than 275,000 new teachers over the next ten years. Efforts to secure sufficient numbers of teachers to meet this need must not be used to excuse exposing students to unqualified or unprepared teachers, and the effects of that exposure must be mitigated while the State strives to eliminate it.

Novice teachers would benefit from additional support. A validated or proven instructional system, developed by local districts or the State for at least the elementary school level, would provide new teachers with model lesson plans and teacher guides to improve the consistency of instruction by new teachers. Such a system would include textbooks and instructional materials aligned with the State's academic content standards and curricular frameworks, effective use of human and automated tutoring, diagnostic and formative assessment of student learning, and both remedial and learning enhancement activities linked to assessment results. Support by master teachers would improve the confidence of new teachers in implementing such an instructional system and supplementing it with additional learning materials as they grow professionally, and would reduce the inconsistencies in teaching to which students are exposed.

This additional support would be valuable to teachers working with emergency permits and those enrolled in pre-internship programs, as well as those initially qualified with a full credential. Teachers teaching with emergency permits have not completed a teacher preparation program and are used primarily to fill urgent needs for teachers within schools. Teachers in pre-internship programs have not completed teacher preparation programs either, but receive district and school support to complete their preparation to attain full credentials and become initially qualified to be assigned independent responsibility in the classroom.

California maintains an adult continuing education system that bridges both secondary and postsecondary education. It addresses the needs of young adults who have not fared well in public schools; adult newcomers to California, many of them foreign-born, who want to participate in the education, employment, and civic opportunities of this state and nation; adults with disabilities; and older adults, among others. It is equally important that these groups have access to high-quality teachers and that their educational opportunities be aligned with the rest of California's education system. Although some of the categories of instruction for community college adult education courses and K-12 adult schools are identical, there are different requirements for instructor qualification in the two programs. K-12 adult school instructors must be credentialed by the Commission on Teacher Credentialing, while community college adult education instructors must meet minimum qualifications established by the Academic Senate of the California Community Colleges.

Because it is incumbent upon the State to make every effort to ensure that every student is taught by a teacher who is adequately prepared, we further recommend:

**Recommendation 6.1 – The State should immediately replace emergency permit usage with universal participation in the pre-internship program, requiring that every uncredentialed teacher be hired as a pre-intern, utilize a state- or district-developed instructional system, and be supported to complete teacher preparation as soon as is feasible.**

**Recommendation 6.2 – The State should set a specific timeline (approximately five years) to phase out the use of the pre-internship program and require that all teachers be qualified before being assigned independent responsibility for a classroom.**

**Recommendation 6.3 – On a more aggressive schedule, the State should eliminate the use of the pre-internship program in California’s lowest performing schools and require that all teachers be qualified before being assigned independent responsibility for their classrooms in those schools. In addition, the State should seek to eliminate altogether the assignment of credentialed teachers to subjects not included in their credentials. Further, the State should require that all teachers serving in low-performing schools possess valid teaching credentials.**

**Recommendation 6.4 – The State should increase the capacity of California’s postsecondary education systems to prepare larger and sufficient numbers of qualified educators, especially from among racial, ethnic, and linguistic groups, and the gender group underrepresented in today’s teaching workforce, for our public schools and preschools, particularly in regions where there are large numbers of teachers serving on emergency permits or where projected shortages of teachers are greatest.**

**Recommendation 6.5 – The State should adopt more rigorous education requirements and certification standards for all individuals who teach young children in center-based settings or who supervise others who care for young children, and should immediately require a minimum program of state-approved professional development for all publicly funded providers of care to young children.**

Educators tend to leave positions in which they believe they will be ineffective or unable to inspire students. Quality teachers can be attracted and retained by promoting an atmosphere of positive support for education, providing improved training and professional development, increasing teacher salaries, and installing outstanding facilities – strategy components that have been unevenly applied, or not applied at all, in hard-to-staff schools. Children living in poverty have special needs, and educators need additional resources and skills to succeed educationally with such students. Hard-to-staff schools are concentrated in low-income and urban neighborhoods and enroll students who have been served least well, according to all available measures of student achievement. Special efforts must be made to attract to these schools qualified teachers who have the disposition and passion to persist in challenging environments, and these teachers must receive the support necessary to enable them to improve their effectiveness.

Too often, staff development is delivered either as an add-on to or in lieu of the regular instructional day. Traditionally, staff development activities have consisted largely of workshops or institutes that do not provide the clinically based or collaborative activities that research has indicated are some of the most powerful and effective types of development activities. These programs also do not provide the follow-through focus of continuing coaching, mentoring, and reflection that can make theoretical lessons pertinent to the practical classroom world that



teachers face everyday. Viewed in the aggregate, the state's teacher professional development programs have been characterized as "incoherent and disconnected."<sup>12</sup> Responsibility for coordination of PreK–12 professional personnel development activities should be placed with local school boards and receive support from the Office of the Governor. The Office of the Governor can serve as a centralized mechanism for gathering research and evaluation findings on which professional skills are most closely correlated with effective teaching and learning, and communicating this information to all of California's education providers. This function would enable local districts and schools to assess these best practices against the strengths of their local workforces and to direct use of available professional development resources to increase capacity of district personnel to improve achievement of students enrolled in district schools.

The resources devoted to professional development are insufficient and too stratified by categorical funding streams. More time and increased funding are necessary to thoroughly familiarize teachers and other education professionals with state academic standards and how every student can be assisted to meet or exceed these standards. While the State has provided important new resources for state-operated institutes, it has reduced the amount of time available for local professional development. It is our view that more attention needs to be given to local professional development activities that involve collaboration between experienced and less experienced teachers, as well as with other education professionals. It is also recommended that instructional time for students not be reduced in exchange for improved teacher development. To make progress in these areas, we further recommend:

**Recommendation 6.6 – The State should provide additional resources to attract and retain the finest educators for schools serving high concentrations of students living in poverty.**

**Recommendation 6.7 – The State should require teacher preparation, teacher-induction and ongoing professional development programs, validated or proven instructional systems, and institutional activities to feature a focus on teaching children with diverse needs, ethnicities, nationalities, and languages; on teaching children who bring particular challenges to the learning process; and on teaching in urban settings.**

**Recommendation 6.8 – The State should provide short-term grant funding to create additional professional development schools that operate as partnerships between institutions of postsecondary education and low-performing schools. These professional development schools should focus on increasing the production of teachers motivated and appropriately prepared to effectively promote achievement of students enrolled in these schools.<sup>13</sup>**

**Recommendation 6.9 – The State should eventually provide ongoing resources for ten days of professional staff development annually at all public schools. These resources should be provided initially for school districts throughout the State with**

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<sup>12</sup> The Center for the Future of Teaching and Learning, *The Status of the Teaching Profession 2000*, (2001)

<sup>13</sup> Grant funding would be an 'Initiatives' adjustment to the adequate base of funding recommended by the California Quality Education Model of school finance.

**the lowest performing schools, consistent with school improvement plans approved by those districts and with state standards.<sup>14</sup>**

**Recommendation 6.10 – The State should provide funding to selected districts to permit linkage of an increase in staff development days with a corresponding increase in instructional days, especially in low-performing schools.<sup>15</sup>**

**Recommendation 6.11 – The State should provide grant funding to develop models for embedded professional development at the school-site and district levels.<sup>16</sup>**

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## **Recommendation 7**

**The State should establish a career ladder for teachers that rewards exceptional teachers for staying in the classroom.**

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Since teachers have the greatest impact on student learning, it is essential that students continue to benefit from the instructional talents of the most exceptional of qualified teachers. In order to attract individuals to the profession and retain them, teacher salaries should be attractive for both new and experienced teachers; and salary schedules should offer opportunities for increased compensation without departure from the classroom. In addition, we must create a school culture in which teachers assume leadership roles in school decision-making, collaboration occurs on a regular basis, professional development is ongoing, and new teachers are supported. This type of school environment leads to improved instructional practices and student learning. Recent statewide initiatives that support and financially reward National Board certification are now in place in California. But there are very few opportunities for exceptional teachers, even those with National Board certification, to assume leadership roles in the public schools without leaving the classroom. California's investment in the professional development of our teachers should not be lost through incentives and practices that draw our most talented and experienced teachers away from the classroom. The expertise of teachers can make or break a school, and we must find ways of capturing, focusing, and rewarding the expertise of teachers within this most important setting. Additionally, the power of different districts to provide more attractive benefits, as part of their compensation packages, as an inducement for experienced teachers to transfer between school districts, should be curtailed. Accordingly, we further recommend:

**Recommendation 7.1 – The State should provide incentive funding to school districts to create career ladders that reward teachers for demonstrated knowledge, expertise, and effective practice.<sup>17</sup>**

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<sup>14</sup> The cost of additional professional development days would be built into the adequate base of funding recommended by the California Quality Education Model of school finance.

<sup>15</sup> The cost of additional instructional days would be a 'Student Characteristic' adjustment to the adequate base of funding recommended by the California Quality Education Model of school finance.

<sup>16</sup> Grant funding would be an 'Initiatives' adjustment provided to selected districts or schools to the adequate base of funding recommended by the California Quality Education Model of school finance.

<sup>17</sup> Ibid.

**Recommendation 7.2 – The State should promote recognition that becoming and remaining a qualified and effective teacher is, as with mastery of any profession, a long-term, developmental process.**

**Recommendation 7.3 – To achieve equity as well as reduced provider charges through the use of collective purchasing power, the State itself should negotiate with statewide employee organizations, and fund the employer share of, uniform non-salary employment benefits for all local school employees.**

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## **Recommendation 8**

**The State should take action to increase the capability of California colleges and universities to attract and hire academically qualified teachers and faculty members who also have knowledge and understanding of teaching and learning, and to develop teachers with appropriate expertise to staff a comprehensive school curriculum.**

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California colleges and universities have a core responsibility to provide comprehensive, high-quality educational experiences that optimize student learning. Essential to meeting this responsibility is faculty knowledge and understanding of instructional and learning processes, design and development of curriculum, assessment of learning, and identification of student needs. Further, faculty knowledge of and comfort with teaching and learning in diverse classrooms and appropriate integration of technology into teaching and curriculum, including into career technical education, are critically important to the achievement of all students. Unfortunately, few doctoral programs (a common requirement for tenured faculty appointments in the California State University and University of California systems) incorporate preparation in these areas into their core curricula.

The committee recognizes that postsecondary institutions have traditionally considered possession of a doctorate or master's degree in the relevant discipline as an initial requirement for entering the faculty ranks, and urges that the skill of teaching also be embraced as an expectation for initial qualification. In career and technical fields, postsecondary education institutions should consider professional experience as a valid qualification in lieu of master's or doctoral degree attainment. Qualifying to be a teacher-scholar should be understood as an ongoing process of professional development and experience. Faculty knowledge, skills, and attitudes must be fully engaged to help institutions find creative and feasible solutions to the challenges facing education specifically, and society generally.

Over the next ten years, California will need to hire about 35,000 faculty in all postsecondary education sectors, a number equal to more than half of the current workforce. It must be noted that the California State University and the University of California systems can potentially make substantial progress toward meeting this need by hiring a greater proportion of their new faculty from among graduates of California institutions. With our need for a tremendous number

of new teachers and faculty there is also an unprecedented opportunity to influence the quality of teaching and learning in California for the next several decades.

It is important to note that postsecondary education faculty are charged with the responsibility for preparing teachers for employment in California's schools, preschool through adult school. Faculty within schools of education are essential to state efforts to ensure that all teachers and faculty have not only academic expertise in at least their teaching subject areas but also a broad capacity to adjust teaching strategies in response to different learner needs. Each academic and career technical education department has a responsibility to ensure that its graduates have mastered knowledge and competencies required by its faculty, and to inspire students to continue learning more about its discipline. It is the special responsibility of education faculty to ensure that graduates know how to communicate and help others learn what they have mastered. Of the 35,000 new faculty estimated to be needed over the next ten years, a substantial number will be needed in schools of education, both to replace retiring faculty and to expand capacity. Care in the selection of these faculty will further enhance our state capacity to improve both teacher practice and learning outcomes.

To make sure that this opportunity to ensure access to qualified faculty for Californians pursuing postsecondary education is not lost, we further recommend:

**Recommendation 8.1 – The State should expand programs to attract talented individuals, especially from underrepresented groups, into PreK-12 teaching and postsecondary faculty careers, through forgivable loans and teaching fellowships.**

**Recommendation 8.2 – California colleges and universities should strive to ensure that their schools of education have the resources needed to produce a substantial proportion of the teachers and faculty needed to staff our preschools, K-12 and adult schools, colleges, and universities, over the next decade and beyond.**

**Recommendation 8.3 – The State should increase doctoral and master's degree production in areas of high need, drawing upon the combined resources of the California State University and University of California systems, as well as the independent sector of postsecondary education.**

**Recommendation 8.4 – California colleges and universities should develop an infrastructure to support the ongoing professional development of faculty, in order to improve the quality of teaching and promote student learning. The components of this infrastructure should include:**

- **integration of teaching and learning curricula into master's and doctoral degree programs;**
- **inclusion of teaching expertise and experience criteria, when hiring decisions are made;**
- **continuous development support throughout faculty careers, including focused support for each newly appointed faculty member during his or her first year;**

- development of an organizational structure that supports and rewards teaching excellence and the scholarship of teaching throughout a faculty member's career;
- sustained efforts to make teaching and the scholarship of teaching more highly valued aspects of faculty culture;
- expansion and dissemination of the knowledge base about college teaching and learning, including establishment of a statewide center on postsecondary teaching and learning; and
- preparation of experts in the field of teaching and learning.

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## Recommendation 9

**The Legislature should direct the California Community Colleges, California State University, and the University of California to adopt policies, within one year of being directed to do so, regarding the appropriate balance of temporary and permanent/tenure-track faculty for their respective systems, and to provide the rationale for the policies adopted.**

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Traditionally, universities have defined educational quality, in part, as the average student/faculty ratio – a proxy for the ability of faculty to focus on the learning needs of students. Table 3, following, provides evidence, by this definition, that California is moving in an undesirable direction within the California State University. These data also reveal a growth in the percentage of part-time lecturers employed by the California State University since the 1989-90 academic year, a trend that is even more evident in the community colleges and that prompts the following recommendation.

Temporary<sup>18</sup> faculty members offer myriad benefits to colleges and universities. They often bring real-life experiences and practical skills to their interaction with students, and add to the diversity of faculty in many ways. At the same time, they allow more flexibility in the use of instructional resources and work at a lower cost to institutions than tenure-track, permanent faculty. The temporary nature of their assignments inherently provides colleges and universities with significant flexibility to modify educational offerings in timely response to the identification of state and local needs. A growing concern about temporary faculty, however, is related to how their increasing numbers affect the ability of institutions to carry out the full range of activities necessary to fulfilling their respective missions. Temporary faculty members usually do not participate in curriculum review and development; personnel hiring, promotion, and tenure review; student admissions, major advisement, and retention initiatives; and other important faculty responsibilities. These activities constitute an essential part of the academic and student affairs of a campus. Temporary faculty do not participate in these activities because they are prohibited from doing so by collective bargaining contracts or faculty senate policies, not necessarily because they are unqualified.

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<sup>18</sup> "Temporary faculty" is used in this Plan to refer to non-tenured or tenure-track, non-permanent faculty. Temporary faculty may be full- or part-time and may be referred to as adjunct, or limited-term faculty.

**Table 3****CSU Regular Rank and Lecturer Faculty/Student Ratios: 1990 to 2001**

	<b>Student FTE</b>	<b>Regular Fac. FTE</b>	<b>Lecturers FTE</b>	<b>Student/All Fac. Ratio</b>	<b>Student/Reg. Fac. Ratio</b>	<b>Percentage Lecturers</b>
1989-90	271,182	10,846	4,436	17.75	25.00	29.0%
1990-91	278,003	11,046	4,398	17.00	25.17	28.5%
1991-92	269,913	10,864	2,938	19.56	24.84	21.3%
1992-93	257,978	10,002	2,799	20.15	25.79	21.9%
1993-94	246,819	9,967	2,699	19.49	24.76	21.3%
1994-95	246,251	9,795	3,103	19.09	25.14	24.1%
1995-96	252,935	9,839	3,303	19.25	25.71	25.1%
1996-97	261,543	9,856	3,663	19.35	26.54	27.1%
1997-98	267,044	9,782	3,911	19.50	27.30	28.6%
1998-99	273,429	9,799	4,354	19.32	27.90	30.8%
1999-00	280,872	9,942	4,784	19.07	28.25	32.5%
2000-01	291,980	9,921	5,204	19.30	29.43	34.4%
<i><b>Source:</b> George Diehr, "Where Have All the Tenure-Track Faculty Gone?" (2001)</i>						

Although institutional needs for permanent and temporary faculty will change over time, the Legislature and Governor should provide the resources necessary to attain for all sectors of postsecondary education a faculty balance that meets the comprehensive needs of students and the institutions; but they should not prescribe this balance in statute. The State would be well served by continued research to foster a better understanding of the impact temporary faculty have on student achievement and of the constraints placed on the participation of temporary faculty in other faculty responsibilities. Accordingly, we further recommend:

**Recommendation 9.1 –The California Community Colleges, California State University, and University of California systems should report to the Legislature each year the ratios of permanent/tenure-track to temporary faculty employed by**

**their respective systems and how those ratios compare to their respective system-wide policies.**

**Recommendation 9.2 – The California Community Colleges, California State University, and University of California systems should report to the Legislature the sets of activities reserved for permanent/tenure-track faculty, in their respective system, and their rationales for why temporary faculty cannot be enlisted to assist in carrying out such activities.**

**Recommendation 9.3 – The California Community Colleges, California State University, and University of California systems should provide adequate pro rata compensation to temporary faculty who agree to perform functions usually restricted to permanent and tenure-track faculty.**

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## **Recommendation 10**

**The State should strive to maintain compensation schedules that make California competitive in attracting and retaining excellent teachers, faculty, counselors, administrators, classified staff, and other education professionals for its early childhood education settings, public schools, colleges, and universities.**

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California has historically been successful in attracting talented people to teach in its public schools, largely because of the general public assigns high value to our public schools and because for many years teaching was an attractive profession for women choosing to join the workforce. California has similarly been successful in attracting faculty to its public colleges and universities, in part because of the reputation for quality that has been maintained by to our public postsecondary education institutions, to which the academic reputations of the faculty currently employed by California colleges and universities significantly contribute. In recent years, several factors have contributed to the increased difficulty experienced by California's early childhood education providers, public schools, colleges, and universities in attracting and retaining the needed numbers of teachers, faculty, counselors, administrators, other education professionals, and classified staff. California's population has increased by between 400,000 and 600,000 persons every year since 1950, generating continually increasing demand for education professionals and classified employees to staff our growing public education system. California's decision to reduce class sizes in kindergarten through 3<sup>rd</sup> grade has created further demand for K-12 teachers. In addition, California's public colleges and universities lost many of their outstanding faculty during the 1990's when faculty members were offered early retirement options as a partial response to difficult financial conditions. Moreover, many others in the current public education workforce are approaching retirement and will soon have to be replaced.

Beyond these factors, the cost of living in some parts of California generates a demand for higher compensation to permit prospective public education employees to contemplate establishing a lifestyle similar to that to which they are accustomed, if they accept employment in a California public school, college, or university. This cost-of-living issue is particularly important if a

prospective employee is considering a move from another state or from a less- to a more-urban section of California, where the cost of living is substantially higher. Public schools, colleges, and universities are not alone in their efforts to attract talented people, especially those who have acquired expertise in mathematics and science. Education institutions (both public and private) in other states, the health care profession, and private business are in direct competition with our public education institutions for both current and prospective education personnel. Consequently, California must consider compensation increases in order to retain the excellent teachers, faculty, counselors, administrators, other education professionals, and classified staff it already has, as well as to remain competitive in attracting new personnel.

In the instance of early childhood education providers, compensation is extremely poor in comparison to that of K-12 teachers, a fact which contributes to high staff turnover and thereby impedes continuity of care for children. Salaries and benefits for providers who have backgrounds that are similar to, and perform functions comparable to, those of their public school colleagues, must be made commensurate to compensation in the K-12 sector, if California is to establish a professional early childhood education sector as part of a coherent system of education.

Our vision for California public education requires not only that all students be taught by qualified teachers or faculty members but that they also have access to other qualified individuals necessary to a successful educational experience, including effective administrators, health care professionals, counselors and advisors, librarians, and learning support staff. These personnel components of quality cannot be provided without a firm commitment by the State to provide competitive compensation schedules and adequate base funding to ensure their presence in every education institution.

Despite the costs associated with increasing compensation for all public education personnel, California must especially find ways to keep teacher and faculty compensation competitive, in order to ensure that every student enrolled in a public school, college, or university is taught by an excellent teacher. Postsecondary education faculty are generally expected to engage in more activities than teaching alone, including research, public service, and supervision and/or mentoring of students and student groups. These supervision and mentoring activities are important to the success and persistence of many students, particularly students from low-income and underrepresented backgrounds. Faculty and other educational professionals engaged in such activities should receive appropriate recognition for their contributions. But we wish to emphasize that it is excellent teaching that is most essential to the education system we envision. We therefore further recommend:

**Recommendation 10.1 – The governing boards of all three public sectors of postsecondary education should direct an examination of faculty promotion, tenure, and review policies and practices, and revise them, as needed, to ensure that teaching excellence is given significant weight in decisions that affect the compensation awarded to faculty.**

**Recommendation 10.2 – The boards of trustees of local school districts should review their compensation policies, and revise them as needed, to ensure that continuing professional education for which they grant salary credit is targeted to**



**courses likely to yield clear benefit in terms of either employees' pedagogical, instructional leadership, or management skills, or the depth of their academic subject matter knowledge.**

**Recommendation 10.3 – Supervision and mentoring of students and student groups should be given ample consideration in employee performance reviews and be a factor in decisions that affect compensation of teachers, faculty, and other education professionals.**

### **Access To Rigorous Curriculum That Will Prepare All Students For Success**

The State must ensure that all students, from preschool through grade 12 and adult education, have access to a curriculum that encompasses the knowledge, skills, and experiences necessary for productive work, active citizenship, and successful postsecondary education participation. As a part of these curricula, all schools must offer programs and coursework that provide every student an equitable opportunity to qualify for admission to, and success in, any of California's public, independent, or private postsecondary institutions, and that simultaneously qualify them for an array of jobs in today's workplace and the continually evolving information economy. Preparation for success in postsecondary education, without need for remediation, requires more than simple completion of a prescribed set of courses. It requires teaching and mastery of specific competencies and skills across the curriculum in a consistent manner in all public schools.

Some students enrolled in public schools choose to go on to postsecondary education immediately after completing their high school education, while others prefer to enroll in additional training or enter the workforce. Many other students fail to complete high school prior to seeking employment. The curricular offerings in high schools should be comprehensive as well as rigorous, affording students a range of choices without foreclosing the option of later decisions to pursue different post-high school options. The curriculum must also be sufficiently comprehensive to meet the needs of adult learners who choose to enroll in adult schools to complete their high school education, or to obtain vocational skills or English literacy that will enable them to become self-sufficient by successfully attaining employment. To ensure this high-quality curriculum for all students we recommend:

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#### **Recommendation 11**

**The State should set ambitious learning goals and provide all students a challenging and comprehensive PreK-12 curriculum, including preparation for postsecondary education and careers.**

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The ambitious learning goals we recommend here are represented in the academic content standards the State Board of Education has adopted for each grade level in the areas of mathematics, language arts, science, the social sciences, and the visual and performing arts. These standards form the basis of an aligned system of curriculum, materials, instruction, and

assessments for each level of the educational system. This academic content should be taught in all courses included in the school curriculum, both career- and college-preparatory alike. However, the current standards and requirements are not yet a complete expression of what California students should know and be able to do to be successfully prepared for their future lives, as described in the foregoing narrative.

California's standards should also recognize the congruity of academic achievement, workforce preparation, and the knowledge and skills needed for democratic participation in a diverse society. Instructional strategies must be made more integrated in nature, so that students are taught not only academic content but also how that content can be usefully applied in a variety of practical contexts. In addition, education must prepare Californians for participation in the international community. Ours is the nation's most linguistically rich state. At a time when global knowledge, skill, and understanding are at a premium, California's multi-lingualism is an asset that should be developed to a much greater extent. We must recognize our state's widespread multiculturalism and bilingualism and embrace them as 21<sup>st</sup> century educational and social resources.<sup>19</sup> Accordingly, we recommend:

**Recommendation 11.1 – The State should ensure that early learning gains are continued, by aligning developmentally appropriate guidelines, standards, and curricula for preschool, early childhood education, kindergarten, and the primary grades.**

**Recommendation 11.2 – The State should establish a standard, academically rigorous curriculum for every high school student. This curriculum should make available career and technical courses, so that every student can be aware of, and prepared for, a full array of post-high school options. The State should provide the learning support necessary, including resources for career guidance and assistance, to enable students to successfully complete this postsecondary readiness curriculum.**

**Recommendation 11.3 – The State should ensure that all schools provide all students with a curriculum and coursework that include the knowledge, skills, and experiences to enable them to attain mastery of oral and written expression in English and that establish a foundation for future mastery of a second language, by the end of elementary school, and attainment of oral proficiency and full literacy in both English and at least one other language, by the end of secondary school.**

**Recommendation 11.4 – The California Adult School program and the California Community Colleges should collaborate to strengthen articulation of adult education courses with community college coursework, to enable successful transition of adults from adult school to postsecondary education. Similarly, career technical courses offered by K-12 schools and community colleges should be articulated with postsecondary coursework.**

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<sup>19</sup> We also recommend that, to keep the State's content standards current with the changing context, the State establish an ongoing, intersegmental process of review and revision of the standards to ensure their quality and their relevance to students and to the needs of California.

**Recommendation 11.5 – The California Community Colleges, California State University, and University of California systems should collaborate to strengthen the programs in community colleges that prepare students to transfer successfully to the California State University or the University of California and to ensure that those courses are acceptable for transfer credit at all campuses of the California State University or the University of California.**

**Recommendation 11.6 – The California Community Colleges should enhance their career and technical programs that lead to occupational certificates and occupational associate degrees; all high schools, regional occupation centers and programs, adult schools, and postsecondary education institutions should offer industry skill certifications that prepare students to enter the job market with a set of competencies they will need to succeed; and the California State University and University of California systems should enhance the quality of their programs that prepare students to enter professional careers with the competencies they will need to succeed.**

**Recommendation 11.7 – The K-12, regional occupation centers and programs, adult schools, and community college workforce preparation systems should be linked to state job training agencies and employers through one-stop career centers and other venues and through their inclusion in an expanded workforce report card.**

## **Access to Participation in California's Public Universities**

Although, for fiscal purposes, public postsecondary education does not enjoy the same constitutional guarantees as the public schools, access to postsecondary education is essential to sustaining the economic vitality of California, as well as to the future social and cultural well-being of the state. A commitment to that access undergirds the current structure of California's public postsecondary education system, which provides near universal access to any Californian who desires instruction. This Master Plan reaffirms that commitment, while simultaneously restating the State's commitment to opening the doors of academic and economic opportunity wider than ever before at the postsecondary level.

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### **Recommendation 12**

**The California State University and University of California systems should continue to adhere to the policy of guaranteeing that all students who apply for freshman admission and who are eligible to attend (students within the top one-third, in the case of California State University applicants, and the top one-eighth, in the case of University of California applicants) are offered admission to the system(s) for which they are eligible and have applied. Community colleges should continue to be open to all high school graduates and adults who can benefit from postsecondary instruction.**

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Since the adoption of the 1960 *Master Plan for Higher Education*, both the California State University and University of California systems have selected their freshman students from restrictive pools of high school graduates statewide. Each system has respective authority to determine how the top one-third and one-eighth are defined for purposes of admission. Objective criteria – curricular pattern, grade point average, and standardized test scores – have served as the primary basis for determining eligibility. Based on these criteria, the Board of Regents and the Board of Trustees each has an adopted policy guaranteeing admission to any eligible high school graduate who applies. While these criteria and board policies have made the selection processes relatively simple for both systems, they, in conjunction with the impact of California's population growth and the popularity of the two systems, have resulted in two unfortunate consequences. First, as the number of graduates from California high schools has increased and they have sought admission to the California State University and the University of California in numbers that have exceeded the capacity at some campuses and the State's ability to financially support both systems overall, admissions criteria have been revised to reduce the numbers of qualified high school graduates entitled to admission. In addition, both the California State University and University of California systems have assigned greater weight to grades earned in honors and Advanced Placement (AP) courses, a practice that provides a substantial advantage to graduates of high schools that provide significant numbers of honors and AP courses to their students.

Second, students enrolled in schools with high concentrations of students from low-income families have not had opportunities to learn that are comparable to those of students enrolled in schools serving more advantaged families. In particular, they have had fewer opportunities to take and complete AP courses prior to graduation. Consequently, low-income high school graduates who have attained California State University and University of California eligibility have not had the opportunity to become 'highly competitive' for admission to either sector. In response to the University of California's practice of giving preference to highly competitive applicants, increasing numbers of high schools are offering AP courses taught by teachers without adequate expertise, enrolling students without a solid academic foundation to increase their likelihood of success, and without requiring that students completing AP courses also take the AP examinations for these subjects. There is further concern that assigning additional weight to honors and AP courses tends to undermine the effort of this Master Plan to increase the rigor of all academic course offerings in public schools by communicating to students who are firmly committed to college attendance after high school that getting into the campus or system of their choice is enhanced by taking AP and honors courses. Such students can, and should, still be encouraged to take and complete AP courses by continuing the existing practice of granting college course credit for high scores earned on AP examinations. The Joint Committee endorses continued efforts to encourage students to challenge themselves by taking rigorous honors-level courses. However, such efforts should emphasize enhanced likelihood of future success and opportunities to accelerate progress through college, rather than opportunities to attain inflated grade point averages.

Definitions of quality that rely exclusively on test scores and grade point averages fail to recognize and take advantage of the rich diversity of California's people. Our colleges and universities must not fail to take advantage of this richness as they make admissions decisions, by failing to examine the human qualities of applicants who have met objective criteria for

admission. The life experiences of prospective students who have come to California from around the world, including languages, cultural traditions, music, art, and work experiences, can enhance the teaching and learning experiences on every California State University and University of California campus and contribute to students' developing a world view attainable for most of them in few other. The value that diversity can contribute to the quality of the California State University and the University of California is of such import that these life experiences and non-cognitive talents should be considered equally with objective measures of academic achievement, even when demand greatly exceeds capacity. No campus should deprive its students of these components of quality in a mistaken effort to ration limited capacity by allocating admission slots primarily to applicants with the highest test scores and grade point averages.

Given the foregoing concerns, we additionally recommend:

**Recommendation 12.1 – The California State University and University of California systems should continue collaborating with K-12 schools to increase the rigor of all academic courses, to achieve the goals of reducing demand for remedial instruction among freshman students and eliminating the current practice of providing additional weight to honors and AP courses in GPA calculations during the admissions process.**

**Recommendation 12.2 – The governing boards of the California State University and the University of California should authorize each of their campuses to consider both objective and qualitative personal characteristics equally, when assembling each year's freshman classes annually from among the pool of eligible candidates.**

**Recommendation 12.3 - The California State University and University of California systems should continue to be authorized to admit up to eight percent and six percent, respectively, of their new undergraduates annually through the use of non-traditional criteria.**

<b>Access To Current Textbooks And Instructional Materials Aligned With Learning Expectations</b>
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The State must also assure that every school has current textbooks, technology, and/or other instructional materials that are aligned with the content expected to be taught to each student, in sufficient quantity for each student to have access to these materials for home use. This requirement is of fundamental importance. In turn, students must take advantage of these resources and apply themselves in a sustained effort to meet or exceed academic standards set for them. We therefore recommend:

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### Recommendation 13

**State and local policy-makers should ensure that every school is provided with sufficient quantities of learning materials, equipment, and other resources that are current, in good condition, and appropriate to the learning needs of students, including:**

- **Individual textbooks, workbooks, and other required instructional media for use in and out of school;**
  - **Resources necessary to enable teachers to tailor and creatively adapt curriculum to the interests and needs of individual students;**
  - **Supplies, equipment, and other instructional materials necessary to support the instructional program at each level, as recommended in the state content standards, including teacher guides to textbooks;**
  - **Computers with Internet access that each student and teacher may use on a basis determined by school personnel to be appropriate for her/his level of study or teaching;**
  - **Suitable chairs, desks, and other classroom or laboratory equipment;**
  - **Books, technical manuals, and other materials or equipment that can be borrowed from the school library and elsewhere, that students may use individually;**
  - **Curriculum and materials for English language learners; and**
  - **Curriculum, materials, and support for learners with identified disabilities.**
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<b>Access To Adequate Learning Support Services</b>
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Learning support is the collection of school, home, and community resources, strategies, and practices, and environmental and cultural factors, that gives every young person the physical, emotional, and intellectual support he or she needs to overcome any and all barriers to learning. Learning support includes the following two categories of strategies:

- *Additional instruction that supplements the general curriculum* – the provision of extra time, for more focused instruction designed to help students achieve California learning standards and/or for increased student-teacher instructional contact time.
- *Student support services and programs needed to address the barriers to learning* – strategies and interventions that address barriers to student academic progress and which may include school guidance, violence and drug abuse prevention programs, tutoring, accommodations for physical and learning disabilities, coordination of community services, and increased parent or family involvement.

Many existing learning support programs and interventions are more fragmented than integrated in their operations, frequently do not have sufficient resources to serve all students who could benefit from them, are more specialized than comprehensive, and are too often marginalized as a useful but not necessarily essential component of education. A comprehensive learning support system is needed to unify multiple learning support programs and services into a coherent structure that can achieve economies of scale while contributing to the creation and maintenance

of a safe, healthy, nurturing education environment and culture that reflect the school's or campus's mission to promote the achievement of every student.<sup>20</sup> Since students do not all mature and progress in their learning at the same pace, the types of learning support appropriate to student needs will vary in different schools and at different grade levels. Recognizing these differences, we recommend:

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## **Recommendation 14**

**The State should require and fund the provision of flexible time and instruction, to support learning and ensure successful transitions between education levels.**

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Although the PreK-12 curriculum and basic conditions for learning should be common for all students, individual students have unique learning styles and learn in a variety of ways; and success for all students requires new, flexible ways to structure time and deliver instruction. Our current system for delivering education provides limited hourly funding for before- and/or after-school tutoring, but basically assumes that all students at each grade will achieve a prescribed set of standards within a set amount of instructional time. Because students learn in a variety of ways, educators should have freedom to use instructional materials and time flexibly to enhance the achievement of all students. The need that many students have for differential attention is normal, and a healthy education system addresses these needs routinely by using multiple strategies, all geared toward mastery of specific knowledge, competencies, and skills. Using integrated instructional strategies could greatly enhance a student's success throughout his/her lifetime, as most jobs of the future will require a greater command of academic skills and how they are applied to solve real world problems in the 21<sup>st</sup> century workplace. However, this flexibility should not delay students' achievement or interfere with timely and successful transitions to succeeding levels of schooling. It is also important to assure that flexible use of time is not improperly resorted to as a means of accommodating enrollment pressures through multi-track, year-round school schedules that have reduced the numbers of calendar days of instruction and, hence, of students' opportunities to learn.

Postsecondary education students also learn in a variety of ways, and postsecondary educators should use a variety of strategies to enhance the success of all their students. As with their public school counterparts, postsecondary faculty should focus on ensuring that every student acquires the knowledge, competencies, and thinking skills necessary for continued success as they pursue their educational objectives. Accordingly, we further recommend:

**Recommendation 14.1 – State and local policy-makers should define adequate learning support in K-12 education as those resources and interventions necessary to meet the academic and career preparation needs of all students, which help**

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<sup>20</sup> For details on a Learning Support System, see Adelman & Taylor, "Addressing barriers to learning: Beyond school-linked services and full service schools", *American Journal of Orthopsychiatry*, 67, p. 408-421, (1997); Adelman, Taylor, & Schneider, "A school-wide component to address barriers to learning", *Reading and Writing Quarterly*, 15, p. 277-302, (1999).

**ensure that all students attain the state academic standards, and which help all students who desire to do so meet college preparatory requirements and requirements for career success in the workplace.**

**Recommendation 14.2 – The State should move aggressively to eliminate the use of multi-track year-round school schedules that result in fewer calendar days of instruction.**

**Recommendation 14.3 – The State should assign responsibility and provide targeted resources at the postsecondary level to enable increased numbers of postsecondary education students to succeed in their academic coursework and attain certificates, industry certifications, and degrees, and to ensure that no category of student fails to achieve their educational goals in disproportionate numbers.**

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## **Recommendation 15**

**School districts and public postsecondary education institutions, respectively, should provide additional learning support services at kindergarten, grades three and eight, in the last two years of high school, and during the first year of college to assist students who take longer to meet standards or who may be ready to accelerate.**

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Although it is important to meet the needs of students throughout their PreK-12 education experience, there is currently a particular need for additional targeted interventions at key transition points for many traditionally underserved students. As with other forms of learning support, these must be developed with the intention of addressing student learning and development rather than remediating failure. They must enable students to meet the State's academic content performance standards and college entrance and placement requirements. An abundance of research demonstrates that a child who has not developed reading proficiency by grade three will be frustrated and disadvantaged for the balance of his/her educational experience. Parents can and should be enlisted as partners with teachers and other early child care professionals, to ensure that students receive the encouragement and assistance they require to master this critical learning skill.

Our academic content standards call for all students to be provided instruction in algebra by grade eight, and research documents that students who fail to master algebraic concepts dramatically reduce the likelihood that they will go on to postsecondary education and succeed there. Timely learning assistance and accurate information about postsecondary education and career opportunities take on greater significance during the last two years of high school, as students seriously prepare themselves for life after high school. Parents provided with accurate and current information about the requirements and options for postsecondary education and careers can be a valuable and effective resource to school personnel, in the task of helping prepare every student to make informed choices regarding the proper preparation to successfully pursue a full range of post-high school options.



The first year of postsecondary education is critical in many ways in determining whether a student will persist and eventually earn a degree or certificate, or drop out before achieving his/her educational objective. The importance of providing focused and timely learning support to freshman students in postsecondary education will remain critical, until we have eliminated the disparity in the quality of educational opportunity students receive in California's public schools. Examples of instances when learning support may make a significant difference to the success of students include extended learning opportunities provided to English language learners who need them, additional community college courses provided to high school seniors who need them to meet university entrance and placement requirements, and additional services provided to students with identified disabilities who need them to meet their academic goals.

<p><b>Access to Qualified Site Administrators and Other Educational Personnel who Maintain an Educational Culture that is Inviting and Safe, and that Places a High Value on Teaching Excellence and Student Achievement</b></p>
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Educational leaders play a significant role in creating and maintaining campus environments and cultures that encourage students to persist in their studies and that have a direct impact on teaching and learning. Their leadership influences whether teachers, counselors, and other professional staff elect to remain at an institution, the degree to which parents, the business community, and communities at-large can be engaged as true partners in supporting students' maximum academic and career achievement over a lifetime, and the degree to which the physical plant is maintained in a safe and healthful condition.

Throughout the nation it is becoming increasingly difficult to attract and retain high-quality candidates to school leadership positions. Surveys by national professional organizations have documented this unsettling trend, especially with regard to site principals.<sup>21</sup> In California, the situation is exacerbated by several factors, including a more stressful work environment, the poorest site administrator-to-student ratios in the country, and inadequate facilities that result in seriously overcrowded conditions.<sup>22</sup> However, in California and elsewhere, a much more serious cause for concern is that standards-based legislation is holding principals accountable for student achievement but is not providing principals the authority to manage the fiscal and human resources in their schools. California also experiences another serious problem related to the training of school administrators: training programs offered by postsecondary institutions focus on management, when they should be giving systematic attention to the development of leadership.

Both to address the shortage of candidates for education administration positions and to ensure that prospective candidates acquire the myriad skills they will need to be effective, we recommend:

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<sup>21</sup> National Association of Elementary School Principals, "Is There a Shortage of Qualified Candidates for Openings in the Principalship? An Exploratory Study". Cited 23 Jan. 2002. URL: <http://www.naesp.org/misc/shortage.htm>

<sup>22</sup> EdSource, with data from NCES, determined that there was one principal and/or assistant principal for every 504 students in California in 2001, ranking it last among the states.

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## **Recommendation 16**

**Local school districts and postsecondary education institutions should develop partnerships to recruit, prepare, and educate quality educational leaders.**

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The principalship is an extremely complex and difficult job in today's schools, as is the superintendency of school districts; and California may soon be facing a severe shortage of qualified school administrators. Training outstanding administrative leaders must be regarded as a long-term developmental process, requiring a coordinated effort among all stakeholders. Postsecondary education institutions offering administrator preparation programs would be well advised to look at leadership training programs in other fields, such as the military and business, in addition to consulting with current school and college leaders to determine the array of skills required of today's school leaders, as well as to identify practices that should be avoided.

Low-achieving schools tend to be hard-to-staff, be impacted by socio-economic issues, to have a history of failure, and to have considerable turnover in staff at all levels. Leadership in these schools is particularly challenging and multi-faceted, and requires strong administrative and instructional skills. New administrators are often not sufficiently prepared to do what is necessary to improve student achievement in these schools and are not given adequate support by their districts to significantly improve instructional programs. Most administrative training programs fail in preparing newly assigned principals to initiate and sustain effective programs to improve student achievement and reverse patterns of substandard performance so common in those schools. Accordingly, we further recommend:

**Recommendation 16.1 – The State should encourage and support school district efforts to provide school principals with greater authority to use human and fiscal resources in different ways to achieve greater success in promoting student achievement.**

**Recommendation 16.2 – School districts should provide more resources, such as additional staff and professional development, to principals in low-performing schools.**

**Recommendation 16.3 – School districts should increase salaries for administrators serving in low-performing schools.**

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## **Recommendation 17**

**The State should take steps to ensure qualified leadership for the California Community Colleges.**

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Today's community colleges must address the academic achievement of all students, irrespective of their levels of preparation. Dramatic changes in the demographic, cultural, educational, and linguistic diversity of students challenge community colleges to modify their curricula and instructional strategies to better meet the needs of diverse learners. These challenges and traditional practices of community colleges – requiring prospective administrators recruited from faculty ranks to forfeit seniority and denying them return rights – serve to discourage outstanding faculty leaders from aspiring to community college administrative positions. Left unaddressed, these practices prevent the community colleges from attracting individuals who could truly provide educational leadership in addition to any administrative and management skills they would bring with them.

The 2000 report of the Community College Leadership Development Initiative documented some of the leadership challenges facing California community colleges.<sup>23</sup> In particular, the report noted that political factions sometimes prevent campuses from making important decisions, and that frequent turnover of executive officers and low campus morale have contributed to a deterioration of institutional effectiveness. With regard to leadership positions, the average length of tenure for a community college chief executive officer is 4.4 years in California, compared to an average of 7.5 years nationally. Further, smaller numbers of well-qualified people are seeking administrative leadership roles due not only to the leadership challenges, but also to the lack of return rights to permanent faculty positions and competitive job salaries. This situation exists when, in the next ten years, California will need an estimated 360 new community college academic administrators.<sup>24</sup>

The education doctorate has traditionally been viewed as the terminal degree for professional education leaders. California's public, independent, and private colleges and universities offer few doctoral programs with an emphasis on community college leadership. Further, they do not currently offer sufficient numbers of education doctorate programs of any sort to community college (and PreK-12) personnel who seek this degree as a means to better meet the needs of their students and institutions as well as for other professional development reasons. California relies on private and independent colleges and universities for about 70 percent of its doctorate holders in education.<sup>25</sup> Moreover, in the absence of any public postsecondary education institutions' agreeing to do so, an independent university has agreed to host a community college leadership development institute to expand the pool of prospective community college administrators. To both ensure that more opportunities are available to prepare community college and school administrators and to make those opportunities more affordable, we further recommend:

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<sup>23</sup> Partnership for Community College Leadership. *Meeting New Leadership Challenges in the Community Colleges*. Paper prepared by the Community College Leadership Development Initiative and Claremont Graduate University, Claremont, CA, (September 2000).

<sup>24</sup> Piland, W., & Phillips, B. *Long-Range Administrator Needs Projections: Preparing the Next Generation of Community College Leaders – Facilitating Institutional Development*. Paper prepared for the California Community College Chancellor's Office, Sacramento, CA, (August, 2000).

<sup>25</sup> California Postsecondary Education Commission, *The Production and Utilization of Education Doctorates for Administrators in California's Public Schools*, (December 2000).

**Recommendation 17.1 – The California State University and University of California systems should develop and offer preparation and professional development programs for community college leadership, the content of which should include development of the capacity to lead by inspiration and a sensitivity to and comfort with diversity and multi-culturalism. These professional development programs should include the establishment of a state-level or campus-based center devoted to community college leadership development and leadership issues.**

**Recommendation 17.2 – The California Community College system should improve the terms and conditions of administrative employment in community colleges, including offering qualified administrators return rights to permanent faculty positions as an incentive to attract outstanding professionals to community college leadership positions.**

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## **Recommendation 18**

**The State should expand recruitment for counselors trained in career guidance, as well as in academic and psychological fields, in order to ensure that students have the assistance they need to make informed choices about preparation for their post-high school activities.**

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California is currently experiencing a critical shortage of counselors. Its ratio of approximately 979 K-12 students per counselor is the highest in the nation (the national average is 513:1).<sup>26</sup> Twenty-nine percent of K-12 districts in the state have no counseling program, and among those districts that do have programs, student access to counseling varies considerably, by district organization and grade level. The National Association of Counselors, in its national standards document, has clearly embraced career guidance as one of its objectives; but very little attention has been paid to that objective throughout state credentialing systems. In California, the complexities of the diverse student population, heavy caseloads, and recent focus on academically rigorous courses have combined to overwhelm an already short-staffed counseling system, leaving little, if any, emphasis on workforce preparation guidance. It is imperative that California focus on attracting and retaining qualified counselors, and on equipping all school personnel with a greater awareness of career options as part of the State's effort to develop human capital.

<b>Access To a School Or Campus Physical Plant That Is Safe, Well Equipped, and Well Maintained</b>
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California's promise of access to free public K-12 education and low-cost postsecondary education extends beyond simply assuring a seat for the six million children who annually enroll in public schools or the two million who annually enroll in public colleges and universities. The condition of the school or campus facility is as critical to the quality of the educational experience students receive as are the qualifications of the instructional and administrative staff.

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<sup>26</sup> CDE/It will take an additional 1,123 more counselors per year to reach the national average by 2005.

Together they define the conditions of learning, or what we have come to accept as the opportunities for students to learn. In a 1998 survey, student behavioral issues (school violence, drug use, drinking, teen pregnancy) topped the list of problems the public felt were “very serious and widespread” in California schools, with 74 percent of those polled holding this opinion.<sup>27</sup> In a 2000 replication of this survey only 59 percent of those polled continued to believe school violence is a serious and widespread problem, although it continued to lead the list of behavioral problems and trailed only lack of parental involvement among the school problems surveyed.

An earlier study conducted by Educational Testing Service (ETS) found an increase in gang activity involvement on American high school campuses between 1989 and 1995, rising from 15 percent to 28 percent of the student body, and a concurrent increase in “violent victimization” of 12- to 19-year-old students. However, the incidence of gang activity involvement for Black students rose from 20 percent to 35 percent; and for Latino students, it increased from 32 percent to 50 percent.<sup>28</sup> Accompanying this increase in gang presence was an increase in fear among students, particularly Black students.<sup>29</sup> Fear and learning are not good companions; nor is fear a school characteristic that attracts and retains qualified teachers.

Inequalities in the condition and maintenance of public schools and colleges subject students to materially unequal opportunities to learn, based purely on where students happen to live within the state. This inequity is unacceptable if the State is to have and meet rigorous learning expectations for all students, and recent court action substantiates that position. As a result, we believe it is the State’s responsibility to ensure that all students are provided with equitable opportunities to learn; and we therefore recommend:

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## **Recommendation 19**

**The State should guarantee suitable learning environments for all students, including buildings, classrooms, and other facilities.**

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Significant research documents that clean, safe, well maintained, and otherwise suitable learning environments have a positive impact on student learning, while the opposite is true of unsuitable environments. In addition, as noted in the foregoing sections, survey data indicate that unsuitable environments have a negative impact on the ability of schools to provide the quality teaching and leadership that is necessary to provide a high-quality education. Therefore, the environment of every school, college, community-based learning center, or university facility, should reflect the following characteristics:

- School and college facilities located within a reasonable commuting distance of students’ homes;

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<sup>27</sup> Recruiting New Teachers, Inc. for The Center for the Future of Teaching and Learning, *The Essential Profession: California Education at the Crossroads*, (2001).

<sup>28</sup> The U.S. Department of Justice School Crime Supplement, 1989 and 1995.

<sup>29</sup> Kaufman, P., X. Chen, S.P. Choy, K.A. Chandler, C.D. Chapman, M.R. Rand, and C. Ringel, Indicators of School Crime and Safety, NCES 98-251/NCJ-172215, Washington, D.C. (1998).

- Clean and well-maintained classrooms and other learning environments, in adequate numbers to deliver the local educational program;
- Buildings with adequate ventilation, and necessary heating and air conditioning;
- Buildings and classrooms in good repair and free of fire and health hazards;
- Uncrowded classrooms with adequate space for other instructional needs;
- Adequate laboratories and studios for students to complete rigorous work in all subjects;
- Lavatories and sanitary facilities that are unlocked, accessible, well-stocked, and maintained in decent and safe condition;
- Outdoor space sufficient for exercise and sports and free of health and safety hazards;
- Adequate school healthcare facilities;
- Adequate food service facilities;
- A safe and supportive school environment, including protection from harassment or abuse of any kind; a fair and nondiscriminatory system of student discipline, and a student body of a manageable size which permits the development of a safe and personalized learning community; and
- A drug-free and violence-free school.

**Recommendation 19.1 – The State should establish clear, concise, and workable standards for facilities, to ensure a high-quality/high performance teaching and learning environment.**

**Recommendation 19.2 – The State should require each school district to prepare and adopt, with appropriate public review and consultation, a five-year facilities plan to meet or exceed state facilities standards.<sup>30</sup>**

**Recommendation 19.3 – The State should establish design standards for subsidized early childhood education facilities, appropriate to young children’s development.**

There are other ways to provide high-quality teaching and learning opportunities that do not depend on perpetuation of traditional schools or college campuses serving large numbers of students. The tools of technology provide a means by which schools, colleges, universities, and local communities can work together to collectively provide high-quality teaching and learning opportunities for students. A student’s community environment is as much a locus for learning as the classroom. Recognizing these possibilities, we further recommend:

**Recommendation 19.4 – The State should establish an Innovation Fund to support innovative projects and intersegmental collaboration in education, particularly when they seek to improve learning opportunities for students enrolled in low-performing schools or to increase the use of public facilities located in the service communities of schools.**

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<sup>30</sup> It has been recommended that the State provide a Facilities Master Plan template for districts that need technical assistance, with consideration that funding assistance may be necessary to help those districts create facilities master plans. This recommendation might involve developing a cost estimate upon which to gauge an appropriate level of state financial assistance.

## *Summary*

In the aggregate, the foregoing recommendations commit the State to providing all students with the resources, instruction, and support necessary to achieve the competencies that standards and college admissions requirements demand, and should be viewed as indicators of students' opportunities to learn that are routinely monitored and reported to the public (see Recommendation 27). At a minimum, the State must enable local schools to provide every K-12 student with all of the following:

- A clear statement of the academic standards that both define what students are expected to know and be able to do and what the system in turn will do for them at every level;
- Appropriately credentialed teachers, administrators, and counselors, all of whom combine subject matter knowledge, high expectations, and knowledge of requirements and expectations, together with other supportive staff;
- Accurate information about successful preparation for college eligibility and post-secondary options;
- A course of study that provides equitable access to a curriculum that integrates rigorous academic content with robust career pathways;
- Appropriate, high-quality learning materials and resources, including textbooks and technologies that engage students in the knowledge they are expected to learn;
- Suitable learning environments, including classrooms, facilities, and buildings; and
- Appropriate kinds of learning support to provide assistance in meeting high expectations.

The failure to successfully recruit qualified teachers and faculty can have long-term, serious social and economic consequences for both students and the state. Californians understand that well-qualified teachers are key to improving the achievement of all students. They believe that all children should have such teachers as virtually a fundamental right and that low-income students, in particular, have been most often denied that right. The essential components of quality that we have outlined in this section, and to which all California learners should have access, are reaffirmed by a survey of the measures deemed by Californians to be most important to lifting student achievement, as shown in Table 4, following.

<b>Measures to Lift Student Achievement Deemed Very Important</b>	
Schools safe from violence	89%
Ensuring a well-qualified teacher in every classroom	87%
Greater parental involvement in children's education	84%
Getting fully qualified principals who can effectively run their schools	79%
The availability of high-quality textbooks and other instructional materials	74%
A challenging curriculum – the subject matter that is taught	73%
Increasing the opportunities for teachers to undertake professional development to strengthen their teaching skills	69%
Ensuring that school buildings and facilities are in good condition	67%
Strict discipline in the classroom	65%
Reduced class size	65%
Student access to computers in school	61%
<b>Source:</b> <i>Recruiting New Teachers, Inc. A Survey of Public Attitudes in California Toward Teaching, Educational Opportunity, and School Reform, 2000</i>	



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# Achievement of Students

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## The Context

It is important to provide all Californians access to high-quality education, but it is equally important that their education equip them with the ability to manage change and to think both critically and independently. They must know how to locate information quickly, weigh and evaluate information for bias and accuracy, and synthesize and apply that information to solve problems. These 21<sup>st</sup> century skills build on and absolutely require a strong foundation of traditional reading, writing, and mathematical abilities. They represent the basic building blocks of learning and will be a major asset for successful entry into tomorrow's workforce.

While it is important to equip students with the knowledge and skills that will prepare them for success in California's workforce and postsecondary education, it is equally important that students become well-rounded individuals with a sense of self worth and of the importance of civic and community involvement. These qualities are essential to a democratic society. They equip individuals with the ability to accept opinions that are different from their own without devaluing their own opinions. They instill a set of values that motivate a person to engage with the larger society, to try to make a positive difference, and to improve the life conditions of others as well as themselves.

California's adoption of academic content standards is an essential step in defining the knowledge we expect public schools to impart to all students, but it falls short of capturing the skills involved in learning how to learn. Teaching a discrete set of skills is an appropriate aim for education institutions, but if a child is to learn a skill, s/he must either enjoy practicing the skill or understand the usefulness of that skill. That is, students must see the connection between acquiring a skill and getting something else they want, if they are to develop the disposition to learn it. But most skills, like reading and doing long division, are usually embedded in more complex activities. Exercising those skills usually does not resemble the way students learn them, and if learners are to understand the value of the skills, they have to see how they are embedded in broader activities that they enjoy or at least find useful. Once students develop a disposition for learning something, it stays with them a long time, unlike simple memorization of facts. Unfortunately, too many education institutions get caught up in the process of transmitting a large body of common knowledge to a diverse group of students who promptly forget what they have been taught after they have been tested on it.<sup>31</sup>

This Master Plan for Education seeks to move California beyond the simple transmission of knowledge, by emphasizing efforts to develop a disposition for learning and achievement among all of California's learners. Employers can help in this regard by placing an emphasis on student achievement. Currently, few businesses ask for high school transcripts in deciding whether to

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<sup>31</sup> See Edward A. Krug, *The Shaping of the American High School, Vol. 1, 1880-1920, and Vol. II, 1920-1941*, Madison: University of Wisconsin Press, (1969, 1972)

hire young people, and, therefore, there is no employment incentive for high school students to be disposed to attain high achievement levels. Such incentives are more evident for college graduates, who receive higher entry salaries and have lifetime earnings that greatly exceed those of their counterparts who terminate their educational careers at the high school level.

Traditional approaches to teaching and learning have been based on a variety of research assumptions and findings that have subsequently proved to be inaccurate. Some of those incorrect assumptions include that the brain's development is entirely dependent on the genes a child is born with, that early childhood experiences have a limited impact on a child's later development, that brain development is fundamentally a linear process, and that a toddler's brain is less active than that of a college student. Recent research on how the brain develops indicates that children are born 'wired-to-learn' and that development of the brain is a complex interaction between genetic inheritance and early childhood experiences. A child's experiences from birth to age three not only shape the context for future learning, but also have a decisive impact on the architecture of the brain and on the nature and extent of adult capacities.<sup>32</sup> Research also documents that brain development is an episodic process; there are particularly prime times for children to acquire different kinds of knowledge and skills.

Building a solid foundation for learning requires focused attention to developing the social, emotional, cognitive, and physical competencies of infants and toddlers. Each child must develop satisfying social interactions with other children and adults, since that experience builds the capacity to engage in true cooperation and sharing relationships. Research indicates that young children have the capacity during their preschool years to begin developing the skill of symbolic representation that, in combination with improved memory, helps young learners develop more logical thinking, increased language skills, and the ability to categorize objects by attributes.<sup>33</sup> Learning theory reinforces the importance of children's developing the ability to express ideas and feelings through symbolic representation, noting that skill's association with development of mathematics learning and significant gains in knowledge and cognitive development.<sup>34</sup> Providing learners with opportunities to engage in creative activities such as dramatic play, or manipulation of objects in their environment like blocks, dolls, and clay, or the study of nature

“Children begin their lives  
with endless possibilities,  
only to find doors closed  
and opportunities limited.  
When they start school,  
they experience  
overcrowded classrooms  
and antiquated theories,  
and they enter a disjointed  
system that is ill-equipped  
to meet the needs of the  
new century.”

-- Robert H. McCabe, 2001  
*League for Innovation in  
Community College*

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<sup>32</sup> Shore, R., *Rethinking the Brain: New Insights into Early Development*, New York: Families and Work Institute, (1997).

<sup>33</sup> Wadsworth B., *Piaget's Theory of Cognitive and Affective Development*, White Plains, N.Y.: Longman Publishers, (1996).

<sup>34</sup> Armistead, M., "The Foundations of Multiple Intelligences," in *Multiple Intelligence*, Alexandria, VA.: Association for Supervision and Curriculum Development, (1994)

by planting seeds and monitoring their growth into plants is a valuable teaching strategy to promote the cognitive development of students.

Teaching and learning should never be viewed as independent functions within educational settings. Qualified teachers and engaged learners are the two essential components of any successful education enterprise. The Beginning Teacher Support and Assistance (BTSA) program recognizes the importance of support for new teachers, assigning experienced teachers to guide their novice peers into the teaching profession by providing advice and assistance on instructional strategies and helping them navigate the school environment. The Peer Assessment and Review (PAR) program seeks to further enhance the professional growth of novice teachers by having their more experienced peers evaluate their teaching effectiveness. Together, BTSA and PAR serve to reduce the variation in teaching effectiveness between more and less experienced teachers. The body of expertise that teachers possess about the strategies that are most effective in promoting successful achievement of diverse groups of students should also be actively engaged by administrators and school board members as they develop plans for improving student achievement within their schools and districts. Teachers' knowledge of instructional materials, assessment instruments, the strengths and weaknesses of students, and the role of parental support constitutes valuable input for strategic planning that focuses on improving students' achievement.

Though much of the research on brain development and learning focuses on infants and toddlers, the basic findings are applicable to learners of all ages. It is important that teachers and education institutions focus on development of the whole person, including development of social, emotional, physical, intellectual, and cognitive skills. Positive relationships and interactions with adults and advanced learners can be extremely influential in promoting learning among students. Because every learner brings a unique combination of personal attributes, childhood experiences, and styles of learning, it is important for education institutions to not limit their evaluation of intellectual potential to assessments of language and mathematical skills. Such a focus is too narrow and fails to recognize the multiple strengths that each learner brings to the teaching and learning process. A focus on student learning, therefore, requires that multiple strategies be integrated into the curriculum to promote a wider array of opportunities to demonstrate learning, and that those strategies be developmentally appropriate.

The exact components of education that promote high achievement are not always what many people think they are. Education providers, parents, and elected officials alike can benefit by distancing themselves from several myths associated with undergraduate education in America.<sup>35</sup> Several of these myths, which are equally applicable to all levels of education are summarized below:

### ***Myth 1 – Institutional prestige and reputation reflect educational quality***

Most people believe that, for any given student, going to an institution with all (or most) of the conventionally accepted earmarks of 'quality' will lead to greater learning and development. The fact is that it probably won't. The traditional earmarks of quality include educational

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<sup>35</sup> Patrick T. Terenezini and Ernest T. Pascarella, "Living With Myths: Undergraduate Education in America, *Change Magazine*, January/February, (1994)

expenditures per student, student/faculty ratios, faculty salaries, percentage of faculty with the highest degree in their field, faculty research productivity, size of library, admissions selectivity, and prestige ranking. This myth ignores the kinds of students that enroll in those institutions in the first place. Most schools that *graduate* high-performing students also *admit* high performing students. These indicators of quality say more about institutional advantage than they do about what institutions do with the resources available to them to promote student achievement.

***Myth 2 – Traditional methods of instruction provide proven, effective ways of teaching undergraduate students***

Lecturing is the traditional method of undergraduate instruction in most institutions. Research evidence indicates that the lecture/discussion approach is not ineffective but it is not as effective as other, far less frequently used approaches. These more effective approaches emphasize small, modularized units of content, student mastery of one unit before moving to the next, immediate and frequent feedback to students on their progress, and active student involvement in the learning process. These individualized, collaborative approaches to teaching are more effective because they respond to differences in students' levels of preparation, learning styles, and rates of learning.

***Myth 3 – Faculty members influence student learning only in the classroom***

A number of studies demonstrate that faculty exert much influence in their out-of-class contacts with students. 'Instruction,' therefore, should be interpreted more broadly to include the important teaching that faculty do both inside and outside their classrooms. Student informal contact with faculty is positively linked with a variety of outcomes, including perceptions of intellectual growth during college, increases in intellectual orientation and curiosity, growth in autonomy and independence, increases in interpersonal skills, gains in maturity and personal development, educational aspirations, persistence, educational attainment, and women's interest in male-dominated career fields.

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**I**n the previous section on Access, we highlighted the demographic challenges of numbers and diversity in California as well as the impact that they have had on our ability to attract and retain qualified teachers in public schools. Approximately half of our public schools do not have problems with attracting qualified teachers. The balance have varying levels of difficulty, with the most challenged schools, located largely in low-income communities, facing a crisis in their ability to attract and retain qualified teachers. In some of these schools, nearly half of the teachers of record are not fully credentialed and, therefore, are particularly challenged to provide high-quality educational experiences for the students enrolled in those schools. The educational consequences of these conditions are evident in the available indicators of student achievement.

### *Measures of Achievement – elementary and middle school*

In the elementary and middle-school grades, measures of student achievement are primarily restricted to National Assessment of Educational Progress (NAEP) scores and Stanford Achievement Test (SAT-9) scores. As noted in the Access portion of this report, NAEP scores reveal the following:

- Barely half of California 4<sup>th</sup> and 8<sup>th</sup> graders (52 percent in both cases) demonstrated even basic competence in mathematics as measured by the 2000 administration of NAEP, often referred to as the nation's report card. Only 15 percent of 4<sup>th</sup> graders and 18 percent of 8<sup>th</sup> graders demonstrated proficiency in mathematics that year.
- 1998 NAEP scores for reading, the most recent measures available, reveal that 48 percent of 4<sup>th</sup> graders and 64 percent of 8<sup>th</sup> graders were basic readers, while fewer than one quarter of 4<sup>th</sup> and 8<sup>th</sup> graders (24 percent and 23 percent, respectively) were proficient or advanced readers.
- Fewer than half of California's 4<sup>th</sup> and 8<sup>th</sup> graders demonstrated a basic understanding of science on the 2000 administration of NAEP, ranking California's students last among the 40 states that participated. Only 14 percent of 4<sup>th</sup> graders and 15 percent of 8<sup>th</sup> graders demonstrated proficiency in science.

SAT-9 scores provide the following profile of student achievement in California elementary and middle schools:

- Forty-seven percent of 4<sup>th</sup> grade students earned SAT-9 reading scores at or above the 50<sup>th</sup> percentile in 2001, a seven-point increase over scores earned by 4<sup>th</sup> graders in 1998. Fifty percent of 8<sup>th</sup> grade students earned reading scores at or above the 50<sup>th</sup> percentile, an increase of four points over those of their 1998 8<sup>th</sup> grade counterparts and a nine-point gain over the reading scores earned by this same cohort when they took the SAT-9 test as 5<sup>th</sup> graders in 1998.
- Fifty-four percent of 4<sup>th</sup> graders earned math scores in 2001 at or above the 50<sup>th</sup> percentile, a 15-point increase over their 1998 4<sup>th</sup> grade counterparts. Only 49 percent of 8<sup>th</sup> graders earned math scores at or above the 50<sup>th</sup> percentile in 2001. This measurement represents a seven-point increase over scores earned by 8<sup>th</sup> grade students in 1998 and an eight-point increase over the math scores earned by this group of students when they took the test as 5<sup>th</sup> graders in 1998.
- In the Language test, 54 percent of 4<sup>th</sup> graders and 52 percent of 8<sup>th</sup> grade students earned scores at or above the 50<sup>th</sup> percentile. These scores represent a nine- and five-point increase, respectively, over the scores earned by their counterparts in 1998.
- Fewer than half of 4<sup>th</sup> grade students (46 percent) and fewer than two of five (38 percent) 8<sup>th</sup> grade students earned SAT-9 spelling scores at or above the 50<sup>th</sup> percentile. Even so, these scores are 11 and five points, respectively, higher than the spelling scores earned by their 1998 counterparts.

An analysis of SAT-9 reading scores attained by students with different background characteristics revealed substantial differences in achievement. There is nearly a 20 percentage-point gap between the reading achievement of 4<sup>th</sup> grade students who are economically

disadvantaged (28 percent) and those who are not economically disadvantaged (47 percent), and between economically disadvantaged and not disadvantaged 8<sup>th</sup> grade students – 29 percent and 50 percent of them, respectively, attaining scores at or above the 50<sup>th</sup> percentile. A similar disparity in achievement, as revealed by SAT-9 reading scores, is evident among 4<sup>th</sup> and 8<sup>th</sup> grade students who are fluent English speakers, compared to their English-learning peers, except that the gap grows to 34 percentage points for 4<sup>th</sup> graders and 41 percentage points for 8<sup>th</sup> grade students.

California's testing program also incorporated a California Standards test in English Language Arts in 2001. This test is aligned with the academic content standards that guide what is taught in public school classrooms, thus providing a more reliable measure of how well students are mastering the content they are expected to be taught. Student scores were rated in five levels: far below basic, below basic, basic, proficient, and advanced. Only 33 percent of 4<sup>th</sup> grade students and 32 percent of 8<sup>th</sup> graders were rated proficient or advanced in English Language arts.

### *Measures of Achievement – high school*

Measures of student achievement at the high school level are a bit more extensive than at earlier grade levels. They include SAT-9 scores, completion of the California State University/University of California 'A-G' pattern of college preparatory courses, graduation/drop-out rates, SAT-1/ACT test scores (among the college-going population of high school graduates), California State University and University of California eligibility rates, and remediation rates of high school graduates enrolling in California State University and University of California campuses. These data are summarized as follows:

SAT-9 test results for 10<sup>th</sup> and 11<sup>th</sup> grade students are depressing when compared to those of their elementary and middle school counterparts.

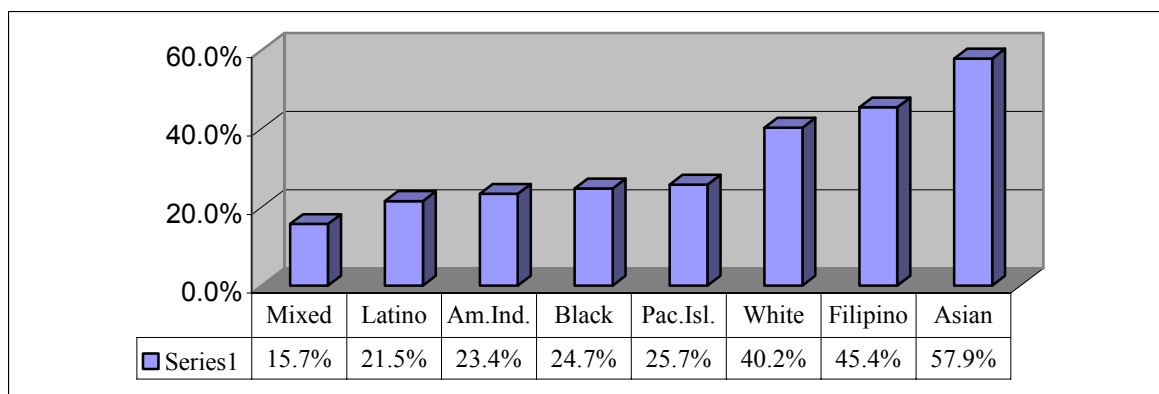
- Just over one-third of 10<sup>th</sup> and 11<sup>th</sup> grade students earned 2001 reading scores at or above the 50<sup>th</sup> percentile (35 percent and 37 percent, respectively), a 1-2 point gain over scores earned by their 1998 counterparts, but a 9-10 point decrease from the scores they earned when their respective cohort group took the test in 1998.
- Less than half of 10<sup>th</sup> and 11<sup>th</sup> grade students earned math scores at or above the 50<sup>th</sup> percentile in 2001 (45 percent and 46 percent, respectively). Similar achievement was evident in language scores earned by 10<sup>th</sup> and 11<sup>th</sup> grade students; 42 percent of 10<sup>th</sup> graders and 49 percent of 11<sup>th</sup> graders earned scores at or above the 50<sup>th</sup> percentile.
- Social science scores earned by 10<sup>th</sup> graders in 2001 were markedly better, with 59 percent of them at or above the 50<sup>th</sup> percentile. However, only 38 percent of 11<sup>th</sup> grade students earned scores that reached that mark.
- On the English Language Arts standards-based test, only 31 percent of 10<sup>th</sup> grade students and 29 percent of 11<sup>th</sup> grade students earned scores rating them as proficient or advanced.

California has historically attained high graduation rates in comparison to other states, but in 1995 the state ranked at the bottom nationally. While the national average of 18-24 year-olds with a high school diploma was close to 85.3 percent, California averaged only 78.9 percent, just

below Texas.<sup>36</sup> There is considerable variation in this average among different income and racial/ethnic groups. For instance, Latino students are the fastest growing student group in the state's education system. They also have one of the highest school drop-out rates of all racial/ethnic groups. Only 56.9 percent of Latino students who entered high school in 1996 graduated four years later (Black students had a similar graduation rate of only 57.8 percent). In contrast, Asian and White students graduated at rates of 86.3 percent and 77.6 percent, respectively.<sup>37</sup>

In Figure 2, following, the percentage of public high school graduates completing the college preparatory pattern of courses (A-G) prescribed by the University of California and California State University systems that qualifies them for admissions consideration is summarized. It provides further evidence that high school student achievement is uneven.

**Figure 2**  
**Public High School Graduates Completing the required courses for CSU/UC, 1999-2000**



Source: California Research Bureau, California State Library, using the 1999-2000 CBEDS File

California's 1960 *Master Plan for Higher Education* restricted the pools of high school graduates from which the California State University and University of California systems could select their freshman students to the top one-third and top one-eighth, respectively. Each system was charged with defining how its pool would be determined. They each have developed eligibility indices that incorporate high school curricular pattern, grade-point average in college preparatory courses, and SAT/ACT scores. Table 5, following, reflects the pattern of eligibility that is predictable from the student achievement data cited previously. It reflects a persistent pattern of White graduates' attaining California State University and University of California eligibility at roughly twice the rate of their Black and Latino counterparts, and Asian students' attaining eligibility at about twice the rate of their White peers.

<sup>36</sup> U.S. Department of Education, *Digest of Education Statistics*, (1999).

<sup>37</sup> California State Department of Education, Demographic Reports, "Graduation Rates by Ethnic Group," California Education Data System, (December 2001).

**Table 5**  
**Percent of Public High School Graduates Meeting Eligibility Requirements of the**  
**California State University and University of California – Selected Years**

	<b>CSU 1986</b>	<b>CSU 1990</b>	<b>CSU 1996</b>	<b>UC 1986</b>	<b>UC 1990</b>	<b>UC 1996</b>
<b>Black</b>	10.8%	18.6%	12.2%	2.3%	5.1%	2.8%
<b>Latino</b>	13.3%	17.3%	13.4%	3.1%	3.9%	3.8%
<b>White</b>	31.6%	38.2%	36.3%	10.1%	12.7%	12.7%
<b>Asian</b>	50.0%	61.5%	54.4%	24.9%	32.2%	30.0%
<b>All Graduates</b>	27.5%	34.6%	29.6%	9.1%	12.3%	11.1%
<i>Source: California Postsecondary Education Commission, Eligibility Studies</i>						

A number of factors contribute to this disparity in achievement by public high school graduates. Among them are differences in opportunity to learn, based on schools attended and the quality of teachers to which they were exposed; differential access to rigorous courses that would make them competitive for admissions, such as Advanced Placement and honors courses; socio-economic factors; and test anxiety. What is clear, however, is that not all children are receiving the quality of education to which they are entitled.

#### *Measures of Achievement - postsecondary education*

Inequality in educational experience is also evident among those high school graduates who distinguish themselves by being among the top one-third of high school graduates in the state and gaining admission to a California State University campus. Close to half of all California State University freshman students are assessed to lack college-level proficiency in math or English or both.<sup>38</sup> This fact places a tremendous burden on both California State University faculty and freshman students and has prompted the California State University Board of Trustees to adopt a goal of reducing the demand for remedial instruction among entering freshmen to no more than 10 percent by academic year 2007-08. Even the University of California, which selects its freshmen from the top one-eighth of all public high school graduates, has determined that nearly 35 percent of the students in its annual freshman classes are in need of remedial instruction in English; it does not assess the math skills of entering students.

Nearly three-quarters of the high school graduates of color who continue their education beyond high school choose a local community college as the point of initial enrollment. However, the community colleges, which serve a student body that most closely reflects the diversity of California, struggle with persistent indications of achievement gaps in the success rates of White and Asian students compared with those of other ethnic groups, and between those of immigrant and non-immigrant students, in key areas.<sup>39</sup> Transfer rates and the rates of earning associate's degrees are lowest for Black, Latino, and Native American students – with the lowest rates

<sup>38</sup> California State University, Board of Trustees Agenda Item, (January 2001).

<sup>39</sup> California Tomorrow, IBID.



evident for part-time students from these groups. Latino immigrant students have the lowest transfer rates of any group, immigrant or non-immigrant, irrespective of whether they attend part- or full-time.

While enrollment of high school graduates in the California State University and University of California systems is relatively healthy, student persistence and degree attainment are not. Data from the U.S. Department of Education show that the number of bachelor's degrees awarded by California public colleges and universities per 1,000 students enrolled in their undergraduate programs is only 68.8, placing California nearly last among the 50 states.<sup>40</sup> In addition, California lags substantially in its production of Bachelor of Science degree recipients, despite the high demand for employees in technology fields in the state. A recent study by the California Commission on Science and Technology highlights the major problems in California's schools, colleges, and universities with regard to the promotion of science education and the development of badly needed talent for this important sector of the state's economy.<sup>41</sup> Moreover, data maintained by the California Postsecondary Education Commission indicate that independent colleges and universities in California annually produce about one-quarter of bachelor's degrees and nearly half of all master's and doctorate degrees awarded to students enrolled in California colleges and universities of all types.

There are a number of possible explanations for these measures of achievement. It is not critical that they be listed here. What is important is that the measures highlight the unevenness of student achievement at all levels of California's education system and underscore the importance of directing far more attention to more effective use of our educational resources to reduce and eventually eliminate these disparities. As California makes progress in guaranteeing that all students have access to the education components that are most essential to high-quality teaching and learning environments, we must also be vigilant to avoid the mistakes of the past. We must make sure that these resources are being used effectively by our educational institutions to enable every student to meet the high expectations we have set for them.

As it moves into the 21<sup>st</sup> century, California must also confront the fact that a factory-like model established for schools in the 19<sup>th</sup> century is no longer working. Today's public high schools are the legacy of an era when economies of scale and prevailing educational philosophies suggested that bigger was better. Evidence continues to mount, however, that breaking up large, anonymous high schools into small learning communities, combined with other reforms, can dramatically improve outcomes for students.

Research indicates that students in small learning environments feel less alienated, more nurtured, and more connected to caring adults. Students in these programs have overall better attendance records, lower dropout rates, fewer discipline problems, lower use of alcohol and drugs, increased self esteem, and improved high school completion rates. Small learning communities have had a particularly positive effect on learning in schools with large concentrations of poor and minority students – a major goal of this Master plan. An array of

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<sup>40</sup> John A. Douglas, unpublished paper "A Reflection and Prospectus on California Higher Education: The Beginning of a New History," prepared for the Pat Brown Institute, (February 2002).

<sup>41</sup> California Council on Science and Technology, *Critical Path Analysis of California's Science and Technology Education System*, January 2002).

models for small learning communities currently exist in California. They include career pathway academies, California Partnership Academies, ‘school-within-a-school’ magnets, and ninth- or tenth-grade ‘houses’ or clusters, which bond transitioning students to high schools.

## **The Vision**

Student achievement is a central tenet of this Master Plan for Education. We envision an education system in which all students enrolled in public schools, colleges, or universities in this state will have educational experiences that provide them with a measurable set of knowledge and skills that equips them for success at every level of their educational journey. That journey would begin at birth with parents providing the nourishment, health care, and stimulating experiences that foster a disposition for learning in children. The State would broker federal, state, and local resources to ensure that those families needing assistance to help their children become ready learners would be able to find such assistance in their local communities, perhaps at their local school sites, where they could establish early relationships with education providers.

We envision California’s schools, colleges, and universities staffed by qualified teachers, administrators, and other professional staff who would view themselves more as advanced learners than expert dispensers of knowledge and skills. They would clearly communicate the learning expectations they would have for the students who come to them, determine those students’ respective strengths and weaknesses, create formal and/or informal teaching and learning plans to help those students meet their learning expectations, and would convey an enthusiasm for teaching and learning. Informed by a clear set of state standards for teaching, learning, and facilities, educational providers would collaborate with each other continuously to ensure that curriculum were aligned across grade levels and sectors and that a variety of assessments were developed to measure both teaching and learning outcomes. These assessments would be used strategically to determine how well students were mastering the course content, and students would be provided timely feedback on their progress. When appropriate, students who could benefit from it would be provided supplemental learning support, including accommodations for physical or cognitive disabilities, to help them meet learning expectations, or would be provided opportunities for advanced learning. A shared objective of every public school would be to dramatically reduce the number of students who drop out of school prior to earning a high school diploma.

Teachers and faculty also would reflect on the impact of their efforts to instill a disposition for learning in all the students with whom they work – a critical factor in retaining students – and on mastery by their students of the academic content and skills they teach. They would share their successes and failures with colleagues in an effort to learn of more effective, or at least more promising, strategies that could be tried to achieve more positive outcomes among the students with whom they have been least effective. They would participate in customized professional development activities, to help them learn new skills to improve their effectiveness with diverse students, remain current in the range of career and technical applications of the knowledge and skills they teach, and/or develop comfort with the effective use of technology to better achieve their instructional objectives.

School and campus administrators would continuously monitor the condition and maintenance of facilities to ensure that they provide a positive teaching and learning environment. They would communicate regularly with teachers/faculty to determine their needs and would strive to ensure that teachers have the tools they need to continue being effective with every student. They would regularly review data on student achievement to identify teaching and learning trends that might warrant more attention, and institutional performance data to determine if resources were being used most effectively and efficiently. They would actively engage with representatives of community groups and agencies both to attract fiscal and political support for their institutions and to build broader ‘learning communities’ that reinforce the learning objectives of the institutions when students return to their homes and neighborhoods. This support would be channeled into supplemental service-learning opportunities that teachers could use to build a sense of civic and community involvement and to reinforce learning objectives.

Required state testing would serve two purposes. First, it would provide an aggregate picture to state agencies as one indicator of how well public education institutions were performing in meeting California’s standards for teaching and learning with the resources made available to them. Testing data would be balanced by an institutional profile of the teaching and learning opportunities within which educational providers work and students learn. For these test data to be an effective indicator, the test would also be aligned with the academic content standards that guide what is taught in every public school. Second, the National Assessment of Educational Progress (NAEP) would be used in conjunction with California’s standards-based test to permit California to compare the achievement of its students with that of students in other states.

We envision California’s postsecondary education institutions’ developing an assessment instrument that would provide an indicator of how well public colleges and universities were doing in helping postsecondary education students master the common body of knowledge represented by the general education requirements that all undergraduate students are expected to complete. As part of their regular program review process, faculty within public colleges and universities would begin to develop standards for knowledge and skills that students majoring in specific academic disciplines would be expected to master, and would routinely assess achievement of these expectations. Our public colleges and universities would continuously review data on student achievement in an effort to identify the types of learning and social support that might result in greater success and persistence through certificate, credential, or degree completion by each enrolled student. Academic strengths and weaknesses of students revealed through this data analysis would be used to focus continuous faculty dialogue with high school teachers and, in the case of our two public university systems, with their community college counterparts.

Public colleges and universities would revise their reward structures to recognize faculty who were particularly effective in promoting student achievement and would actively encourage them to serve as mentors to newly hired faculty. Differentiation of function among faculty would be an accepted practice within public colleges and universities. Faculty who were particularly effective researchers would collaborate with colleagues who were particularly effective teachers, in a continuous effort to infuse new knowledge into the curriculum to which students would be exposed. Faculty who were particularly good at developing learning modules and course curriculum would routinely collaborate with technologists to develop effective ways to promote

learning for every student, whether the student is physically present in a classroom or participating in learning activities at a different place and time. Faculty would blend their collective strengths and skills to provide professional development activities for all faculty that would enable each of them to improve their abilities to be effective teachers.

In short, we envision California's education system's becoming one of more- and less-advanced learners, with more-advanced learners (our current teaching, administrative, and professional personnel) engaged in continuous reflection on the teaching-learning process, in an effort to improve educational outcomes for all learners. Parents would be deliberately engaged as primarily responsible for preparing their children to become ready learners prior to the age of compulsory school attendance. State control agencies would review data on institutional and student performance to identify areas of need for improved learning opportunities for all children, particularly in schools serving communities with high concentrations of low-income families, and would seek to broker resources to ensure that needed services were provided and used effectively.

### *What is Needed*

A focus on student achievement also requires that there be a clear statement of expectations, regular measurement of the extent to which these expectations are being achieved, and a database sufficient to preserve data on student achievement over time and inform judgments of the extent to which changes are needed. Different types of data are required for different purposes, and it is important to keep these distinctions clear. Data needed to improve teaching and learning are different from data needed to evaluate institutional performance or the impact of education policies. The State should collect only those data that are appropriate for the responsibility it has retained for itself in implementing this Master Plan. Not everything that may be important to the successful implementation of this Master Plan and to improving the achievement of every student is easily measured. Nor is everything that can be measured important.

### **Assessment of Student Learning Needs and Achievement**

Support should be available to meet student learning needs at every level of learning. Supplemental support programs, at every level from pre-kindergarten through postsecondary education, must focus on having *all* students 'learn the first time' rather than having to relearn or 'catch up' at developmentally inappropriate times. Well-constructed and appropriately used assessment can be an effective way to ensure that students receive the learning support they need when it is most useful and before they fall into a cycle of failure. There are several critical transition points at which teachers and faculty should be most attentive to students' needs as they progress through California's education system. These include the following:

*Pre-K to grades 1-3.* Children begin their lives with endless possibilities. They enter school enthusiastic, motivated, and hoping to succeed. However, many students, especially in low-income neighborhoods, enter a disjointed education system that is ill-equipped to meet their needs. Students who struggle in the first grade quickly become unmotivated and do not participate in the very activities they need most. These children begin a pattern of academic

frustration that usually continues throughout their education. After the 3<sup>rd</sup> grade, a child's academic achievement level appears to remain remarkably stable throughout the remaining school years. If students are not at grade level in reading and math by the 3<sup>rd</sup> grade, that status continues throughout their education.

*From the 3<sup>rd</sup> to the 4<sup>th</sup> grade and throughout the upper elementary years.* Educators have established a benchmark that students should read at grade level by the time they reach 4<sup>th</sup> grade. The National Assessment of Educational Progress, however, reports that less than one-third of the nation's 4<sup>th</sup> graders are proficient in reading. In California, fewer than one-quarter of 4<sup>th</sup> graders are proficient in reading. When students fall behind in the first three grades, schools often then hold them back. In some inner city schools, as many as one-fourth of the primary children repeat a grade. Unfortunately, research on grade retention consistently finds that students' attitudes often worsen and their skills do not improve when they are retained, particularly when there are no improvements in the teaching and learning strategies used. Intentionally linking learning to a student's current and future life through enrichment activities, such as beginning career exploration, can add greater relevance and understanding about the purpose of schooling in these early settings.

*Into and through middle school to high school.* Middle school organization and curriculum varies from school district to school district, ranging from departmentalized course offerings to integrated core curricula. Whatever structure a district selects, it must support students to learn the material and skills contained in the State's academic standards; and it must avoid separating students into different curricular paths with different expectations for learning – an outcome that becomes increasingly likely for each student with the transition from a single to multiple teachers. All middle schools should strive to help students take charge of their own learning, become independent learners and thinkers (qualities critical to their future academic and career success), and develop the confidence that they will graduate from high school qualified for transition to a career or postsecondary education. This confidence must be realistically based on students' clear understanding of the necessary academic preparation for high school graduation and postsecondary education, financial requirements of postsecondary education and assistance available to meet those requirements, career options, and other elements necessary to ensure their success in high school no matter what post-high school option they choose.

*High school graduation and beyond.* It is common to see students as having two options upon graduating from high school: graduates will go *either* to work *or* to college. Although it is true most students eventually 'wind up' in one of these places, it is inaccurate to say that many have a genuine choice. In our PreK-12 education system, the choice of immediately joining the workforce or attending college is usually made far before high school graduation, typically via course choices made by students with incomplete information. To discourage students from foreclosing postsecondary education options, California's education system must change the common perception that less is expected of students bound for the workplace, community college, or proprietary schools than of those who intend to go to a baccalaureate degree-granting college or university. California high schools, adult and alternative education schools, regional occupation centers and programs, and postsecondary education must all be understood as components of one education system. Integrated instruction, which emphasizes application of

knowledge within contemporary contexts, would complement a systemic school-to-career strategy and may increase student motivation to learn and remain in school.

To ensure that students' needs are assessed properly and that students are provided learning support in a timely manner, we offer the following recommendations:

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### **Recommendation 20**

**To target learning support adequately and complement state testing, the State should establish as standard practice the use of classroom-based diagnostic assessments that specifically link to interventions aimed at enabling students to meet California's academic standards and postsecondary education entrance and placement requirements.**

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The State should continue the use of criterion-referenced tests that enable determination of how well students as a whole are mastering the academic content required to be taught in compliance with state standards and with performance measures that enable us to compare the achievement of California's students with the achievement of students in other states.

Appropriate learning support cannot be provided effectively in a system that relies solely on norm-referenced tests to determine who needs support and the type of support needed, since such measures provide little substantive information about students' academic strengths and gaps. Neither can support be provided effectively if the system delays support until just before or after a student fails a 'high stakes' assessment that carries negative consequences for the student. Diagnostic assessments allow educators to pinpoint the specific assistance students require, and they point to interventions that best respond to particular learning needs. *Interventions must not be of the type traditionally used in remedial programs – for example, stand-alone programs focused on basic skills.* Rather, they should consist of additional time and instructional support in a curriculum that is matched to course standards and postsecondary education preparatory courses.

Measurement matters. Organizations can manage only what they frequently measure, and student learning is of such importance that it must be better managed than available data indicate has been the case to date. Learning must not be left to chance, nor can instructional strategies remain inconsistent, unfocused, or focused on the wrong things. Unfortunately, emphasis on high stakes tests that aim to invoke greater accountability in education has overshadowed the importance of classroom assessments for monitoring student achievement and adjust instructional strategies. When clear content standards exist, classroom assessments are far more likely to be aligned with the curriculum being taught than are other standardized tests and, therefore, more useful as a tool for monitoring student progress and effectiveness of instruction - the essence of the education process.

There are inherent dangers in making high stakes judgments about students on the basis of a single test. Because assessment should primarily inform teachers and faculty of student progress in meeting learning expectations so that they may provide the learning support needed as soon as

possible to promote the achievement of all students, as well as being one of multiple measures that inform decisions about student progress, we further recommend:

**Recommendation 20.1 – The State should continue the process of requiring state-supported preschool providers and kindergartens to develop an individualized learning plan for each child, for assessment of the child’s developmental growth.**

**Recommendation 20.2 - The State should charge local districts with developing their own assessment systems/policies for providing information about and guiding instruction of individual students.**

**Recommendation 20.3 – The State should encourage schools and postsecondary institutions to develop end-of-course assessments that can serve the dual purposes of measuring what a student has mastered at each grade/course level and the student’s readiness to successfully undertake learning at the next grade/course level. A key focus should be the readiness of high school seniors to undertake postsecondary education coursework without need for remediation. In particular, assessments of 11<sup>th</sup> grade performance should be aligned, if not integrated, with entrance or placement examinations of the State’s college and university systems.**

**Recommendation 20.4 – Schools, colleges, and universities should use authentic assessments that measure students’ school/campus accomplishments, including work samples and portfolio entries, in relevant academic subjects, and that would allow students to progress through a variety of coordinated delivery systems.**

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## **Recommendation 21**

**California’s colleges and universities should work collaboratively to develop a means of assessing the learning of students enrolled in public postsecondary education.**

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Californians are no less interested in whether public education is working for all students when the focus shifts from public schools to the public colleges and universities. Unlike the K-12 schools, however, postsecondary education has no commonly accepted academic content or skills that should be taught to all its students. Yet, there is, or at least should be, a value added to the lives of college-educated individuals beyond the economic benefits of higher lifetime earnings. All reputable colleges and universities require undergraduate students to complete general education requirements that can serve as a foundation for a consensus on a common body of knowledge and skills that should be taught to every undergraduate student. Based on existing requirements, it seems reasonable that this array of skills and knowledge would include proficiency in oral and written communication, quantitative reasoning, critical thinking and problem solving, interpersonal skills, and democratic principles. Skills in the application of technology should be added to this list.

Postsecondary education institutions may choose to go beyond the scope of this recommendation, and the committee would encourage them to do so, to develop measures of competencies specific to the multiple majors from among which students can choose to specialize. Various segments of California's economy are dependent on postsecondary education institutions' doing an effective and efficient job of producing prospective employees with the skills needed by industry, particularly in our science- and technology dominated-fields. Specialized knowledge beyond the general education requirements every undergraduate student must complete to earn a baccalaureate degree is necessary for some types of employment, including our teaching profession, and is an appropriate focus for departmental faculty as they modify curricular requirements over time.

There is complexity and challenge in this recommendation, particularly given the differences in the functions that have been assigned to our three public sectors of postsecondary education and differences in the requirements of particular majors and program accrediting bodies. There are also several additional policy questions to be addressed in considering the development of a system for assessment of student learning at the postsecondary education level. They include the following:

- Should each sector be permitted or encouraged to develop assessments aligned to its particular mission and student body, or should the State encourage use of a common assessment instrument for all sectors?
- Can any test or assessment instrument serve the dual purpose of informing continuous improvement in teaching and learning as well as state accountability? Should the focus be on certifying individual student achievement or on assessing institutional improvement?
- What are the cost implications of pursuing institution-specific, state-developed, or nationally norm-referenced test options?
- How should differences in the selectivity of institutions be accounted for in any assessment system to measure student achievement? How should we differentiate that which students have learned over a lifetime from that which they have learned since matriculation?
- What incentives will need to be in place for students to take the test seriously, so that the results have meaning?

These are significant questions that deserve careful consideration by faculty and measurement experts. However, they are obstacles to be overcome rather than *prima facie* evidence that measuring student learning in postsecondary education is impossible. The expertise exists among our talented faculty to make significant progress in this area. California's taxpayers deserve nothing less than our best efforts. We will not be alone in this undertaking. A survey of other states indicates that more than half of them have already undertaken similar efforts, partially to provide assurance of quality to state residents and employers (See Table 6, following).<sup>42</sup> According to Peter Ewell, senior associate at the National Center for Higher Education Management Systems, "The problem for American higher education is not how we can build more sophisticated ways to determine from the outside what students are achieving. It is instead

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<sup>42</sup> State Higher Education Executive Officers, "Focus on Assessment of Student Learning," *Network News*, Volume 21, No. 1, (January 2002).



how we can establish (and assess against) high and explicit *internal* standards that are applied across institutions and that are, at the same time, credible to the outside world.”<sup>43</sup>

**Table 6**

State Assessment of Student Learning Outcomes	
Activity	States (number)
Common statewide test; may be nationally-normed or state-developed	Arkansas, Florida, Georgia, South /Dakota, Tennessee, Texas (6)
State-mandated assessment; local choice of nationally-normed test	Missouri, Oklahoma (2)
In process of developing a common approach to outcomes assessment	Colorado, Connecticut, Kentucky, Massachusetts, New Mexico, Rhode Island, Utah, Virginia (8)
State-mandated assessment; locally developed or locally chosen instruments; reporting requirement in place	Hawaii, Iowa, Kansas, Louisiana, Maryland, Nevada, New York, North Carolina (8)
State-mandated assessment; locally developed or locally chosen instruments; no reporting requirement in place	Illinois, North Dakota, Oregon, Washington, Wisconsin (5)
No defined state requirement for assessing student learning outcomes	Alabama, Alaska, Arizona, California, Delaware, Idaho, Indiana, Maine, Michigan, Minnesota, Mississippi, Montana, Nebraska, New Hampshire, New Jersey, Ohio, Pennsylvania, South Carolina, Vermont, West Virginia, Wyoming (21)

We also observe that regional accrediting bodies recognized by the U.S. Department of Education are increasingly seeking ways to infuse evidence of student outcomes into their regular accreditation processes. To cite one example of this effort, the Western Association of Schools and Colleges (WASC), which accredits postsecondary education institutions in the region of the United States that includes California, focused on student learning outcomes in a January 2002 publication:

- [A]ssessment of student learning is a way to hold results up to intent.
- [A]ssessment provides a means for reporting to stakeholders, both internal and external, evidence of student learning that is at once understandable and usable in increasing institutional effectiveness.
- [The] role of the faculty as scholar[s] includes the doing of assessment as a means to find out what actively engages students in learning and what it is that can be done to make students seek and find meaning in what they are learning.

<sup>43</sup> See “Assessing Learning Outcomes” on the Measuring Up website at [measuringup2000.highereducation.org/assessA.htm](http://measuringup2000.highereducation.org/assessA.htm).

## Course Alignment and Articulation

A coherent system of education requires a coherent curriculum, with courses that are aligned with each other and in which course content at one level provides the foundation skills needed for success at the next level within the same discipline. California should set its sights on ensuring course alignment throughout its education system, from preschool through postsecondary education, so that any student demonstrating mastery of course content offered by any education institution has the confidence that s/he is ready to successfully take on learning at the next level. Substantial steps have been taken to achieve this goal within public schools, with the adoption of common content standards. However, the initial curricular disjuncture occurs as some children progress from pre-school to kindergarten, when the guidelines and standards for those two levels are not aligned, resulting in disruption for the student. For other children, who do not participate in formal preschool, the disjuncture becomes evident shortly after they begin formal schooling, when inconsistency in the teaching quality among various teachers leaves some of them less prepared for success as they proceed on their education journey. Within K-12 education, there is still work to be done to ensure that all teachers are fully capable of teaching to the standards and have access to instructional materials that are aligned to them. In addition, the academic content in career technical courses at the high school level must be aligned with not only the content taught in more traditional academic courses, but also with the knowledge and skill sets desired by business and industry. This issue is an important one; course alignment is essential to assure maintenance of a comprehensive curriculum from which high school students can choose, but that does not foreclose any post-high school options.

Course alignment and articulation at the postsecondary education level remain problematic. No mandate exists for academic or technical content that should be taught to all students enrolled in postsecondary institutions. Faculty concurrence has been difficult to achieve on the comparability of courses taught at different institutions, even those intended to be transferable, in part because of differences in academic calendars and in part because of faculty commitment to the freedom to design courses in unique ways. Considerable improvement is needed in this area to ensure that students do not encounter avoidable problems that result in less, rather than more, efficient progress, as they elect to enroll in multiple institutions to achieve the educational goals they have set for themselves.

As a result of this non-concordance, a considerable amount of attention has been given to improvement and expansion of specific course articulation between individual pairs of community colleges and baccalaureate degree-granting institutions, resulting in literally *thousands* of such agreements. A number of initiatives have been expanded to facilitate transfer or to assist students in navigating their way through the various articulation agreements that exist. This committee considers that these several efforts do more to meet needs of education providers than they do to facilitate simplicity and ease of transfer for students. Our focus on students leads us to recommend that the following actions be taken to better align and articulate courses:

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## Recommendation 22

**Membership of the Intersegmental Committee of the Academic Senates (ICAS) should be augmented with faculty from California's PreK-12 schools. The resulting new PreK-postsecondary intersegmental faculty body should be charged with reviewing and recommending changes, if needed, in the alignment and coordination of curricula, assessment, admissions, and placement.**

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The governing boards of the California Community Colleges (of both the statewide system and local districts), the California State University, and the University of California have delegated to their faculty many functions, including the determination and development of curriculum. ICAS is a voluntary organization consisting of representatives of the academic senates of the three systems of public postsecondary education in California. ICAS has responsibility for initiating academic programs and policies that are intersegmental in nature, with specific attention to transfer issues, articulation, general education requirements, and educational quality. California should take advantage of voluntary professional bodies such as ICAS to advance its vision of a cohesive, student-focused education system as a promising alternative to state-created entities with their attendant regulatory environment.

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## Recommendation 23

**The Legislature should mandate the development of transparent and sustainable articulation and transfer processes to provide students with clear curricular guidance on the transition between grade levels, between high school and college, and between and among two- and four-year colleges and universities while avoiding the complexity of campus-by-campus differentiation.**

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Historically, PreK-postsecondary education institutions' collaboration has not been sufficient to result in fully aligned curriculum and academic content, admissions procedures, and expectations for students. One of the consequences is that many students who manage to graduate from high school, even those among the top third of graduates in the state, are not adequately prepared for postsecondary education. The high level of demand for remedial instruction in the California State University and the University of California serves as a graphic indicator of this misalignment in California. Most efforts in other states to develop alignment strategies have tried to pull together features of external systems, such as standards, assessment, curriculum, and teacher preparation.<sup>44</sup> In addition to these strategies, policies must ensure that different parts of the K-12 system – elementary schools, middle schools, and high schools – communicate more regularly with each other about educational goals and purposes.

The same difficulty exists with respect to relationships between PreK-12 and postsecondary education systems. They operate independently of each other, each with its own governance and

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<sup>44</sup> National Commission on the High School Senior Year, *The Lost Opportunity of Senior Year: Finding a Better Way*, (January 2001).

financing mechanisms, its own politics, goals, and objectives, and even institutional cultures. In California, where the admissions requirements of the California State University and University of California systems have a significant influence on high school course offerings, little opportunity is afforded for postsecondary faculty and PreK-12 teachers to collaborate on better alignment of their respective educational goals, curricula, and assessments. All levels of education must be connected to smooth students' transition through their educational experience and adulthood.

Within our postsecondary system, as noted previously, there is considerable activity underway to articulate courses between individual campuses of the California Community Colleges, the California State University, the University of California, and independent colleges and universities – efforts which seem more attentive to the needs of education providers than they are to the needs of students. The Legislature has previously called for statewide articulation of lower division undergraduate courses, to promote systemic flexibility to accommodate students' needs; but the response from public postsecondary institutions to date has been inadequate. Therefore, it is particularly appropriate that effective enforcement mechanisms be employed to ensure that this goal is met. Accordingly we offer the following additional recommendations:

**Recommendation 23.1 – The California Department of Education should encourage and provide support for continuity of guidelines, standards, and curricula of state-supported preschools and kindergartens; it should strive for similar continuity with non-state-supported preschools.**

**Recommendation 23.2 – The governing boards of the University of California, California State University, and California Community Colleges systems, themselves or through the efforts of their faculty, should provide for the devising of system-wide articulation policies to enable students to transfer units freely between and among public colleges and universities in California. The attainment of this objective should be enforced by the proper application of accountability measures, as discussed on page 110-111 of this report.**

**Recommendation 23.3 – The University of California, California State University, and California Community College systems should establish an intersegmental group that includes faculty and students, to consider what steps need to be taken to establish a transfer associate's degree, within the existing associate degree unit requirements, the attainment of which would guarantee admission, and course transferability, to any California State University or University of California campus (though not necessarily the major of choice) for students successfully completing the transfer degree program.**

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## Recommendation 24

**The State should encourage explicit infusion of age-appropriate school-to-career experiences in public schools, colleges, and universities, to provide students with clear curricular and career guidance about the range of post-high school options to which they can aspire and to cultivate greater civic engagement among Californians.**

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Historically, collaboration among schools, colleges, and universities has been insufficient to ensure successful transition from formal education to employment. Although such collaboration has been stressed for high school students enrolled in vocational courses and for postsecondary education students enrolled in professional graduate programs, it has been less developed for students enrolled in traditional academic or liberal arts programs. High school graduates without specific career technical skills often find themselves in competition for low-wage jobs rather than career positions that place a monetary value on the cognitive skills they have acquired by the time of graduation. This reality reflects a low perception of what high school graduates know and can do, a higher valuation of the utility of specific career technical skills as distinguished from academic knowledge, a need for more highly developed cognitive skills than are commonly taught in high schools, or some combination of the foregoing. Regardless of the specifics of this reality, its persistence fails to recognize the value of an integrated instructional approach, which combines instruction in specific academic content with opportunities to apply that content in the context of public service, civic engagement, or various careers and professions. Qualified counselors and teachers should work together to identify and nurture relationships with community-based agencies, using experiential education to enhance academic achievement, to illustrate the practical utility of learning different academic content, and to stimulate greater student persistence.

With certain notable exceptions (such as engineering, business, and computer sciences), the prospects for college graduates are only marginally better than those for high school graduates, with many bachelor's degree recipients accepting positions that require little of the knowledge and skills they have acquired in college. Many students do not fully avail themselves of career planning and placement services maintained by most campuses until their last couple of semesters, when graduation is eminent and employment is perceived as a necessity. Consequently, they lack the range of experiences that would enable them to tailor their search to employers that value the knowledge and skills in which they have developed the greatest proficiency. Employers report that, even with college graduates, they frequently have to provide additional education and training to ensure that new employees are able to fully carry out the responsibilities of their positions. A sobering reflection of the disjuncture between what education institutions provide to students and what employers require is the fact that business-sponsored education programs are now a multi-billion dollar enterprise nationally, and much of their instruction is not industry-specific.

A common component of the school-to-career concept in high schools and professional programs in postsecondary education institutions is the importance attached to creating opportunities to benefit from workplace learning experiences. These opportunities include structured linkages

between businesses/professions, educators, community organizations, and other appropriate entities, which enable students to build relationships with professionals in the field and develop an understanding of how specific knowledge and skills are applied in a real-world context. The growing emphases on career academies in high schools, mentoring, and service learning throughout all education sectors reflect the value of these linkages. A systemic school-to-career strategy would address the current gaps in K-12 education and provide a more coherent continuum, addressing academic, applied, and workforce competencies through an integrated instructional approach. Instruction in specific academic content, with opportunities to apply that content in the context of public service, civic engagement, or various careers and professions, would require counselors and teachers to work together to identify and foster relationships with community-based agencies and the workplace. In application, the school-to-work concept envisions field trips to workplaces in the early to middle grades, job shadowing in the middle to high school grades, and internships at the high school and postsecondary education levels, to acquaint and engage students with the world of work. Rather than leaving such linkages to the initiative of individual teachers and institutions, California should encourage all education institutions to forge ongoing relationships and articulate both curriculum and teaching strategies with business and community organizations as an explicit expression of fulfilling their public service mission.

### **Teacher and Faculty Preparation and Professional Development**

If the State of California is to fulfill its obligation to provide a high-quality education that enables students to prepare for entrance to and success in any public education institution, and successful transition to work, then more than simply placing a credentialed instructor in front of students will be required. Postsecondary faculty and PreK-12 leaders must agree on the content knowledge and specific competencies required of teachers and faculty at the junctures of critical student transitions in the educational continuum. We have affirmed our commitment to guarantee Californians access to qualified teachers and faculty as one of the essential components of a quality education. It must also be ensured that preparation of teachers includes developing an awareness of, and sensitivity to, the diversity of Californians, their varied learning styles, effective use of new and emerging technology, integrated approaches to instructional delivery, diagnostic and disability assessment, and other factors, such as expanded community partnerships to ensure achievement for all students. The following actions should be taken to ensure all teachers and faculty have the preparation and skills necessary to promote both access and success for all learners, including adult learners.

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#### **Recommendation 25**

**The State should support preparation of new teachers and ongoing professional development for all existing staff in technology applications, to ensure they have the skills to help students develop the technology skills and knowledge needed for lifelong achievement and success.**

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Evidence has shown that when students are actively engaged in self-driven learning projects, they learn more and remember it longer. Organizing and supervising such projects has become increasingly challenging, if not impossible, for teachers at all levels, as they struggle to manage large classes. Effective use of instructional technology can enhance the learning experience for some students and contribute to teacher efforts to transform the learning environment so that it is more student-centered, problem- and project-centered, collaborative, communicative, customized, and productive. It provides a tool that can enable teachers and faculty to support such activities far more efficiently than has been possible in the past. Software now allows students to change the parameters of an experiment in a virtual way – substantially enhancing an otherwise abstract and relatively impersonal class. Strategic use of technology simply can make learning far more interesting, even exciting, than what many students have encountered in their educational experience.<sup>45</sup>

For the advantages of technology to be realized for all students, it will be necessary to ensure that all students have ready access to computers, software, and the Internet, regardless of the school, college, or university in which they happen to be enrolled. The Commission on Technology in Learning is developing a plan that will include specific recommendations for providing students and teachers access to technology. That plan should serve as a foundation for the recommendations contained in this Master Plan. It will also be necessary to consistently communicate the basic assumption that all students (and teachers) are capable of learning to use technology effectively, and that teachers are capable of developing a common language to communicate to each student that it is possible to get beyond any bar that has been set before him/her.<sup>46</sup> An additional advantage of technology is that it is non-judgmental; it does not communicate lowered expectations if a student fails to give a correct answer. It simply says, ‘go back, you made a mistake,’ and often encourages students to be even more focused the next time. This feature provides students with a built-in way to assess their own progress rather than being completely dependent on feedback from teachers – an effective way to engage them actively in their own learning. Technology can also provide significant benefits for special needs students, including those with physical and learning disabilities, those who are low-achieving, and those who are gifted.<sup>47</sup>

It will not be enough to ensure that technology is available to students in schools throughout the state. Teachers must also have access to and be proficient in the use of the technology that is available to their students. The potential that technology holds for improving instruction, assessment, and learning cannot be realized if instructors do not know the range of available resources, how to use the technology to its fullest, or how to integrate it into the classroom to support teaching and learning. The benefits that teachers can realize by incorporating technology training in their professional development include:

- improved ability to meet student education expectations;
- improved professionalism;

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<sup>45</sup> Frank Newman and Jamie Scurry, “Online Technology Pushes Pedagogy to the Forefront,” *The Chronicle of Higher Education*, (July 2001).

<sup>46</sup> Rudy Crew, “Rudy Crew: Being Present,” in *Converge Magazine*, (July 2001).

<sup>47</sup> The CEO Forum, IBID.

- improved instructional practices;
- increased communication and collaboration; and
- improved efficiency and constructive time spent on administrative tasks.

## *Summary*

Providing all students with not only access to a public education but to also to the components of education that are most closely associated with quality is just the first step. It is also important that the State, its education providers, and parents monitor the progress of students to ensure that education resources are being used effectively to provide all students with a solid foundation for learning. The foregoing recommendations articulate the importance of being attentive to the achievement of students, how that achievement varies in relationship to the opportunities to learn that different students are provided, and how teachers and faculty can improve their ability to promote student success. The State has a responsibility for assessing the effectiveness of its education system, both to evaluate its overall effectiveness in helping students meet or exceed state learning expectations and to determine where additional capacity is required by education institutions. In addition, education providers must be engaged in the following activities:

- Assessment of physical, social, emotional, and cognitive development of young children by early childcare providers to identify learning disabilities and design appropriate responses early in a child's life.
- Continuous assessment of student learning by teachers and faculty to determine the extent to which students are mastering what is being taught and as a basis for referring students to appropriate learning support or accelerated learning opportunities, assessment for learning disabilities, or adaptation of instruction to better respond to the learning styles of students.
- Continuous dialogue between and among teachers and faculty to ensure that curricula are aligned throughout the education continuum and that successful student achievement at one educational level prepares students for success at the next education level.
- Aggressive efforts to blur the distinction between what have been historically known as vocational courses and those referred to as college preparatory, by ensuring that solid academic content is contained in vocational courses and that contextual application of knowledge is infused in college preparatory courses.
- Broadening the range of skills and knowledge expected of teachers and faculty, by supporting professional development activities and providing centralized information on new knowledge and practice that have a positive impact on student achievement.

Californians believe in quality education. Providing a qualified teacher in every classroom, safe and well-equipped schools, and up-to-date supplies and materials is of only marginal value if it does not contribute to student achievement. These resources must be used effectively to make a difference in the lives of students. Education providers should not wait for some state assessment to determine if students are being well served; they should be monitoring student achievement on a frequent, if not daily, basis. This Master Plan seeks to provide an impetus to statewide attention to the needs and achievement of students.



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# Accountability for Learner Outcomes and Institutional Performance

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## The Context

In order to guarantee that students receive the high-quality education that is promised to them, accountability must be infused throughout California's education system. A meaningful system of accountability builds on clear expectations by providing a clear definition of the roles and responsibilities of all participants, evaluating the outcomes of efforts, and ensuring that consequences are attached to those outcomes as a means to influence their improvement.

Effective accountability requires the linkage of authority and responsibility throughout our system of education. In this context, accountability is fostered by clearly defining the responsibilities of each participant in the system, ensuring that sufficient authority is afforded

“It is important to focus on the consequences of programs, old and new, to keep uncovering their shortcomings so that the message gets through, and to locate those programs that do have positive effects and can be extended and expanded.”

-- Carol Weiss, 1989

each participant to carry out those responsibilities, and then ensuring that those responsibilities are carried out. Currently, efforts to improve accountability in public education are complicated by overlapping responsibilities among local, regional, and state entities and by a lack of alignment between the responsibilities assigned to various entities and the authority they have been provided to carry out those responsibilities. Every effort to solve the special problems that exist at different levels of our public education system in isolation one from the other is met with a stubborn reality – that the problems are not soluble until education is understood as a coherent process. How California structures and governs education is crucial to our commitment to infusing greater accountability in public education. This Plan clarifies what responsibilities should be assigned to what entities at the state, regional, and local levels.

On a daily basis, elected officials, agency heads, school district and campus academic leaders, professional educators and, most important of all, the citizens of California are being asked to pass judgment on a bewildering array of new educational initiatives without the comprehensive, reliable, flexibly arranged, easily accessible, and timely data needed to make informed judgments. California collects a considerable amount of data on students, schools, and colleges; but that data collection is fragmented, and the data collected more directly serve the need to meet various state and federal reporting requirements

than to evaluate the quality and effectiveness of public and private education in increasing student achievement.

A majority of Americans and Californians are calling for greater accountability for our public education system. Despite a growing ambivalence about the amount of testing that is taking place in public schools, the public still supports testing that measures student learning against a clear set of standards but dislikes any accountability system that relies too heavily on testing at the expense of broader-based evaluations of school performance. The public understands that testing provides a gauge for identifying significant strengths of schools that can be built upon, immediate needs that must be addressed, and eventual changes that it would be desirable to implement. Testing should not just monitor student achievement, it should also be used to advance teaching and learning in all schools.

Surveys of public opinion also reveal that efforts to develop accountability systems should take a positive view of public education.<sup>48</sup> There is little to be gained by giving in to the rhetoric of crisis and failure of schools. It is still the case that the very best students enrolled in American public schools compete well with the very best students in other nations. Rather, states should focus on long-term progress desired and study successful schools, learn what they are doing right, and seek to replicate those activities in other schools. In the minds of the public, money has much to do with school performance. They view school performance in three tiers: schools located in high income areas that are good to excellent; schools located in middle income areas that are fair to good but for which there is ample room for improvement; and schools located in low income areas that provide an inadequate education or that are in crisis. While they believe more money must be invested in public schools, they do not believe that money alone will make the difference; there must also be measures in place to hold teachers and administrators accountable for student learning. They also express a fear that accountability systems that build too tight a relationship between school performance and funding may have the unintended effect of displacing the goal of improving student learning for doing whatever it takes to attract additional money.

The goals of an education accountability system should be carefully considered before being implemented. Too often goals are only casually considered if they are considered at all. On the surface, the purposes of accountability appear to be self-evident: to identify and punish low performers and to provide rewards and incentives for higher performance. The more important objective, however, should be to derive consensus on what is meant by performance. What is it about education that is important to individuals, the State, and society at large? What are our expectations about effectiveness and efficiency? What about breadth of opportunity and depth of achievement? These are the questions that give accountability its deeper meaning, and efforts to collaboratively generate answers to them are what provide the 'buy-in' from stakeholders that ultimately will make or break any accountability system. The process of collaboratively defining what is meant by performance will also go a long way toward addressing another key impediment to change, lack of trust. Most stakeholders believe in their own capacity to set rigorous and fair standards but distrust the ability or will of others to do so. Hence, many stakeholders are reluctant to embrace any accountability system without detailed understanding of how it will affect their interests. Further, if they perceive too great an emphasis is being given

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<sup>48</sup> Educational Testing Service, *A Measured Response: Americans Speak on Education Reform*, (2001).

to ways to punish low performance, they may actively oppose or seek to undermine any accountability system.

Another critical issue to address in any effort to establish accountability in public education is the question of who should be held accountable for what and to whom. No one actor can be held entirely or even largely responsible for any given outcome. The education process is simply too complex with too many actors. Key actors that must be considered include the following:

- Students – traditionally they have borne the full burden of educational outcomes. Either they applied themselves to learning or they didn't. Student failure to learn was due to either a lack of effort or a lack of intelligence.
- Peer groups – students are influenced significantly by the things their peer groups value. Students who work too hard to achieve can face rejection and/or ridicule from their peers. Who is responsible for peer influences? Parents? Students and schools? Culture?
- Teachers and faculty – recent studies have emphasized the role of teachers in facilitating student achievement at all levels of education. They have often been blamed for not having subject matter competence or poor pedagogical skills, when students have not achieve at desired levels. Such assignment of blame, however, ignores the fact that students have different abilities and dispositions for learning. A student who refuses to apply him/herself to learning will not achieve no matter how well prepared the teacher is.
- Schools and colleges – they also play a role in promoting student achievement. Do they provide adequate support and the tools needed by teachers to do an effective job of providing high-quality education opportunities to students? Is the curriculum relevant and aligned across grade levels?
- Government – all of the other actors in public education are influenced by the actions taken by federal, state, and local government. Whether resources are adequate to accomplish the educational standards adopted and whether goals are clearly understood are both affected by government decisions. Laws and regulations passed by federal, state, and local government largely shape what public education does.
- Business – it has traditionally been viewed as a customer of education and as having a responsibility to clearly communicate the knowledge and skills it wants in future employees. Increasingly business has also become a provider of education, offering training and professional development for its employees, and even developing courses and skill certifications that are offered to a larger audience. This role has made business a key player with an important responsibility to improve educational performance.

None of the actors in the foregoing list account for the influence, and consequent responsibility, of organized groups like labor unions, professional associations, accrediting bodies, and, in the case of postsecondary education, academic/faculty senates. What quickly becomes apparent is that an accountability system, to be effective, must be approached from the perspective of shared responsibility, with all stakeholders recognizing and accepting their share of responsibility for ensuring and sustaining educational improvement over time.

After careful consideration of the goals to be pursued and who should be assigned what responsibilities, it is important to decide what measures will be used to evaluate educational performance at the various levels. The goals pursued will largely define what measures are

appropriate and valid for evaluating performance. The differing missions assigned to the various education providers will complicate the measures. Public school performance, for instance, can usually be measured against clearly stated academic content and proficiency standards with either standardized or criterion-referenced test instruments. However, postsecondary education providers usually do not have a common body of knowledge that is expected to be taught to every student, have multiple majors with unique competency requirements, have faculty who are responsible for generating new knowledge as well as disseminating current knowledge, and so on. Compliance audits and program or policy reviews have been typical ways in which states have attempted to hold postsecondary institutions accountable. The differences in accountability approaches and educational missions mentioned previously underscore the need to consider multiple measures, including qualitative measures, tailored to the particular education outcomes desired and to particular types of education institutions. Not every desired outcome can be easily quantified.

Performance depends on both motivation and capacity. If a person or institution is unmotivated to perform at high levels, no amount of capacity-building will make a difference. Conversely, if a person or institution has only limited capacity to perform at high levels, no level of motivation will yield the desired performance level. Effective accountability systems must consider both intrinsic and extrinsic incentives that can be provided to individuals and institutions to motivate them to use their capacities more effectively, as well as to help them build their capacities when they are insufficient to achieve the desired performance levels.<sup>49</sup>

Key concerns in designing an accountability system for public education should include at least the following:

- Are the desired outcomes clearly stated and measurable?
- What are the barriers to achieving the desired outcomes; what are the obstacles that must be overcome?
- What tools, strategies, and/or resources are available to help bring about the desired changes?
- Who are the key actors needed to implement the accountability system; which of them have roles in maintaining the status quo?
- Are the desired changes easy to implement or will (they) require experimentation, innovation, and learning, to accomplish?
- Is it acceptable to have change occur incrementally over time, or is rapid, radical change needed in a shorter time period?

Finally, it is important to make provision for holding the accountability system itself accountable for achieving the objectives for which it was designed, just as students and education providers are held accountable. Even the best-designed accountability system cannot be expected to anticipate and account for every aspect of the education enterprise. It may need to be periodically refined. This fact should not be interpreted as a need for the system to be modified annually. Change takes time, and policymakers must be patient to allow the accountability system to take root and to collect sufficient data to adequately inform an evaluation of progress.

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<sup>49</sup> Paul E. Lingenfelter, "Focus on Educational Accountability," *Network News*, SHEEO, Volume 20, No.3, (November 2001)

## California Today

California has made significant but insufficient steps to instill greater accountability in its public schools. Beginning in 1998, the State Board of Education began adopting a set of academic content standards for all of its public schools. The standards specify in detail what should be taught at each grade level in the areas of mathematics, English/language arts, science, social science, and the performing arts. For the first time, there is no ambiguity about what is to be taught to all students enrolled in public schools. Until adoption of these standards, schools throughout the state offered courses that carried the same or similar titles but with content that differed radically. The consequences of this legacy have been evident in both the differential performance of students on standardized assessment instruments and students' differential eligibility for admission to the California State University and the University of California. It has also been evident in the persistence of demand for remedial instruction by students admitted to California State University and University of California campuses, students who have distinguished themselves from their peers by being among the top one-third or one-eighth of all public high school graduates in the state, respectively.

State policymakers are currently in the process of completing a determination of the level of proficiency desired from all students in each of the content areas. This determination is an important next step, as it sets the benchmark against which judgments will be made about the adequacy of student achievement as measured by the State's mandated test instrument. Although proficiency standards are expected to be high in each area, there is no expectation that student performance will, or should, yield a normal-curve distribution of student achievement. Rather, it represents the benchmark that public schools are striving to achieve with all students and against which decisions will be made about the resources needed to achieve that goal. Unfortunately, California erred in its decision to impose use of a standardized test, the Stanford Achievement Test Version 9 (SAT-9) as the measure of student achievement. That decision was motivated more by political considerations than by the alignment of the test items with the content the State decided should be taught in every public school. The consequences of this decision were predictable: initial student performance results on the SAT-9 were disappointing, complaints about the inappropriateness of the test have been shrill and increasing, and judgments about school performance have been made on the basis of faulty data. Efforts are underway by Department of Education staff to augment the SAT-9 test with what are being referred to as standards-based test items that are aligned to the adopted academic content standards.

In 2000, the Governor proposed and the Legislature adopted a series of incentives to further the cause of accountability for public schools. These incentives included monetary rewards for schools and school personnel that meet or exceed performance targets set for each school. It also included disincentives for low-performing schools, ranging from removal of the principal for persistent low performance to identification of schools required or invited to participate in the Intensive Intervention-Underperforming Schools Program (II-USP). Schools participating in the II-USP program, whether voluntarily or involuntarily, are required to develop plans and strategies for improving student achievement within a designated time period or risk state take-

over. One unintended consequence of these incentives has been the perception by teachers of increased pressure to ‘teach to the test,’ even though the dominant test at the time (SAT-9) bore little relationship to California’s academic content standards. More time has been devoted to teaching test-taking strategies and, in some more extreme cases, altering student test scores or compromising the security of the test itself in an effort to boost student scores. The transition to the standards-based test items should alleviate some of this concern and redirect teacher attention to teaching the content standards since they are what the test will be assessing.

Another unintended consequence of the State Testing and Reporting (STAR) system has been heightened pressure on principals, since they alone have been subject to removal if school performance did not improve significantly. There was no provision initially to grant principals the authority to remove or reassign teachers who were ineffective in promoting student achievement. Union-negotiated contracts that protect teacher employment and restrict reassignments on the basis of seniority further complicate the situation. This fact has hindered California’s efforts to attract and retain qualified school leadership, because prospective administrators understand that they will be held accountable for outcomes which they will not be able to influence through exercising management authority.

Yet another impediment to effective accountability in public schools is the confusion of roles and responsibility for governance and oversight. California has four state-level oversight entities, without clear delineation of which is responsible for what, creating confusion for local schools and districts about what objectives they are expected to pursue – particularly when the interpretations and directives from these state entities are not always in alignment with or even complementary to each other. The result is an environment in which local districts and schools simply ‘shop around’ for an interpretation consistent with their current disposition for action. The state entities are: (1) the Governor, who appoints all members of the State Board of Education, promulgates an annual budget that sets forth priorities for education, and nearly always is the final arbiter of differences of opinion about education policy due to his line-item veto authority; (2) the State Board of Education, which is by law the policy-setting body for public schools but which has very limited ability to ensure its policies are implemented; (3) the Superintendent of Public Instruction, an elected constitutional officer who manages the California Department of Education (CDE) staff, and who has little formal policy-setting authority, but influences policy through its implementation; and (4) the Secretary for Education, originally created by former Governor Pete Wilson in 1991 by executive order as the Secretary for Child Development and Education, with a small complement of staff whose duties are largely duplicative of those in the CDE.

This confusion of roles and authority among the various state oversight entities more often than not contributes to finger pointing rather than constructive approaches to problem solving. This result is particularly the case when school performance falls below desired levels. Such finger pointing sends mixed messages to local districts and schools as to the State’s priorities for student achievement and institutional performance. An additional layer of complexity exists when the role of county offices of education is factored in. By constitutional provision, every county has a county superintendent of schools and a county board of education, the responsibilities of whom are minimally specified in statute. In addition to approving the annual budgets of individual school districts, they have also accrued over time the role of providing

support and technical service to local districts, directly providing some educational offerings in the instance of small school districts, and serving as an appellate body with regard to local family disagreements with district decisions. All but five counties have elected county superintendents. The responsibilities of county superintendents are specified in statute. In this confusing environment of overlapping responsibilities, it is virtually impossible to hold any individual or entity accountable overall for school or district performance.

Establishing an effective accountability system for public postsecondary education has been even more elusive than for the public K-12 system. This fact results in part from the different missions assigned to each of the systems and, in part, from the differing structures of each of the systems. There is no common body of knowledge for which consensus exists about what is expected to be taught to every student enrolled in a public college or university. As a consequence, there has been no basis for establishing a measure of student achievement; and the State has had to rely on auditing compliance with state mandates and guidelines, such as admission of freshmen from among the top one-third and one-eighth of high school graduates (for the California State University and University of California systems, respectively), enrollment numbers, admission and enrollment of underrepresented student groups, numbers of transfers, and degrees awarded. Even these measures of student achievement are little more than ‘snapshots,’ since they are not specifically linked to unique students or cohort groups.

In 1998, the California Community Colleges advanced a bold proposal to break this logjam by offering to provide data on specific student outcomes, aligned with its missions, in exchange for increased state financial investment. This proposal, known as the Partnership for Excellence (PFE) Program, was billed as a ‘pay for performance’ program in which the California Community Colleges Board of Governors would define a set of discrete objectives for numbers of students achieving transfer readiness, numbers of students actually transferring to baccalaureate degree-granting institutions, success of remedial education programs, percentage of students earning associate degrees and certificates, and increases in numbers of students served in workforce preparation programs. The laudable intentions of the PFE program were frustrated by the failure of the State to maintain its commitment to augment the community college’s budget by the expected amount, and a budget allocation process within the Chancellor’s Office that resulted in PFE money being distributed to each college as an entitlement rather than a reward for performance. In some ways, this outcome should have been predictable. The community colleges are required by statute to submit all policy and budget issues to consultation with a prescribed group of community college stakeholders. Moreover, constitutional provisions define the community college Board of Governors and its Chancellor’s office as state agencies, while designating local college districts as local education agencies. As a consequence, any policy directive from the Board of Governors directly, or through its administrative staff (Chancellor’s Office), is subject to a ruling by the Department of Finance (DOF) on additional cost requirements. If the DOF determines that costs would be incurred to implement the state mandate, the Chancellor’s Office is prohibited from enforcing the mandate, effectively neutralizing any directives by the Board of Governors. Under these circumstances, accountability continues to be elusive within the community college system.

Imposing accountability for student learning or any other desired outcome on the University of California is also elusive, but for very different reasons. Since being designated as a public trust

in the California constitution in 1879, the University of California has been exempt from direct control by the Legislature or the Governor. Any policy priority of the Legislature, as expressed in statute or resolution, is regarded as binding only if the University of California Regents, by resolution, agree to adopt or concur with the State's priorities. The University of California is a land-grant university and has an ethical obligation to be responsive to public needs. However, the 1879 constitutional convention sought to insulate the University from the vagaries of crass political manipulation by granting it constitutional status – a move that most observers agree has generally been a benefit to both the University and the State. It also has been an impediment at times to the State's efforts to obtain information on how public funds are being expended to achieve state goals and priorities, prompting legislative efforts to use other policy and budget mechanisms to leverage greater responsiveness to state interests.

The California State University is neither protected by the state constitution as a public trust nor affected by the separation of state and local education agencies as the community colleges are. Consequently, it has been subject to far greater control by the Legislature in the conduct of its affairs and deployment of its budget. This fact has generated great stress within the California State University system over the years and prompted a concerted effort by the Board of Trustees to achieve increased flexibility in the conduct of its affairs in exchange for being held accountable for providing evidence of the system's responsiveness to and achievement of state policy priorities. In the minds of some policy observers, the California State University's success in this regard has also spurred old aspirations to acquire a status more akin to that of the University of California.

California has had very little control over the operations of not-for-profit independent colleges and universities, despite the fact that they have been viewed as a vital component of the state's postsecondary education system. An attempt to incorporate these institutions in statutes to rid the state of private, for-profit 'diploma mill' institutions in 1989 was successfully resisted. Independent colleges and universities have argued that regional accreditation standards offer sufficient evidence of institutional quality that it is neither necessary nor desirable for the State to impose additional statutory or regulatory burdens on this sector. Nonetheless, these institutions have sought to be cooperative with the State and the efforts of the California Postsecondary Education Commission to gather and maintain data on postsecondary education outcomes. Highly prescriptive statutes have been enacted, however, to regulate the operations of private for-profit postsecondary institutions both to restore integrity to the degrees offered by these institutions and to protect Californians from fraud. The State has never achieved success in bringing these for-profit institutions into the fold as full-fledged members of the California's postsecondary education community.

For these and other reasons, including the various missions of public, private, and independent postsecondary institutions, and selectivity differences in assembling their respective student bodies, building an effective accountability system for postsecondary education has been a true conundrum for California. In response to the fiscal crisis of the early 1990's, both the California State University and University of California systems collaboratively entered into a "compact" with the Governor at that time to stabilize their funding in exchange for a commitment to meet certain performance goals. They have since renewed that effort with the current Governor in what have come to be known as "partnership agreements." While these agreements have been a



step in the right direction, they have had two primary weaknesses: they have not been publicly discussed and reported widely, and they have failed to include any measures of student learning.

## **The Vision**

We envision an education system in which student achievement will not be left to chance or ‘innate’ intelligence, which will not tolerate sorting of students into tracks in which less is expected of some students than others, and which will categorically reject the notion that student achievement must be distributed along a bell curve. California would build and sustain an education system that would hold itself collectively accountable for the achievement of all students at or above a common standard; collect and analyze data regularly to evaluate the strengths and weaknesses of its education providers; direct resources to build capacity in schools, colleges, and universities performing below desired levels; encourage replication of effective practices; and allow flexibility in the approaches taken by education institutions to achieve desired outcomes.

Our accountability system would have clear statements of a limited set of goals for each level of education provided in the state. We reaffirm our belief in, and commitment to, brokering federal, state, and local resources to ensure that families would have access to resources to provide nourishment, health care, and stimulating experiences for their young children so that they would be ready to learn upon entry to formal schooling. Elected officials would routinely ask for and analyze data on the numbers of poor families with children in California who were not receiving health care and early developmental screening to detect potential impediments to proper child development. Incentives would be provided to health and child care providers to collaborate with each other to reach unserved families with children residing in neighborhoods served by low-performing schools.

We would begin a process of expanding access to preschool for all families who desire to take advantage of it and would make full day kindergarten a requirement for all children of compulsory attendance age. We would phase in these educational services both to better manage the cost of implementation and to ensure particular attention to the improvement of the educational opportunities for students residing in neighborhoods served by our lowest performing schools before extension of those benefits to families served by higher performing schools. We would regularly review data on the achievement of students who participate in preschool and extended day kindergarten to determine how their achievement compared with that of their peers who did not participate in these services. We would also review data on the qualifications and experiences of the teachers of these students and note where additional school capacity might be required. We would require that all students enrolling in kindergarten undergo developmental screening, or have parents provide evidence that such screening had already been conducted, to ensure that any disabilities that might impede learning were identified early and appropriate interventions prescribed.

We would adhere to our academic content standards, establish desired proficiency levels for each area, strengthen our teacher preparation programs to ensure all new teachers have the content knowledge and skills to teach to those standards, complete development of criterion-referenced

assessment instruments to measure student achievement, and routinely mail school report cards to parents of enrolled students. These report cards would contain information on student achievement, and average school, district, and state achievement results. We would expand the School Accountability Report Card to include in it indicators of the ‘opportunities for teaching and learning’ that are provided in the schools and include these indicators in the Superintendent of Public Instruction’s reporting of the Academic Performance Index, and thereby assist parents in understanding both the achievement of their children relative to the opportunities provided to them, and the opportunities their children receive in comparison to the opportunities indicators that derive from the California Quality Education Model. We would direct local districts to carefully monitor student achievement data and expenditures at each school under their jurisdiction but would require annual submission of only a limited set of data on student characteristics and achievement, personnel characteristics, and status of compliance with state standards. We would identify a clear set of progressive interventions to be implemented based on evaluation of institutional performance. For low-performing schools, emphasis would be given to assessing the balance between institutional capacity and motivation. Early interventions would be aimed at increasing institutional capacity, while more severe interventions would involve dissolution of district or school leadership and appointment of new supervisory teams drawn from local constituencies and monitored by regional offices of education on behalf of the State. For high-performing schools, early interventions would focus on public recognition of schools and/or districts and listing of them as a referral for technical assistance in replicating effective practices. Continuous high performance would be rewarded with supplemental appropriations to districts/schools to enhance professional development, capacity to provide technical assistance to other schools, and improvement of teaching and learning conditions.

We envision making substantial progress in our efforts to measure student achievement in a common body of knowledge taught by all postsecondary education institutions, allowing for locally defined measures unique to our community colleges, California State University, and University of California systems. Each of our public postsecondary education systems would agree to use a modified high school exit examination as a basis for determining readiness of high school students to enroll in collegiate courses within their sector. The exam would be administered in the 11<sup>th</sup> grade year, and each system would determine an achievement score appropriate to expectations of student readiness. High school students interested in attending the California State University or the University of California, but not achieving high enough scores on the exit exam, would focus their efforts in the 12<sup>th</sup> grade to achieving the necessary levels of proficiency, and eliminating any need for remedial instruction upon college enrollment. Both the California State University and the University of California systems would provide assistance to high schools by training successful undergraduate and graduate students to provide learning support to high school students and/or encouraging them to engage in service learning activities as part of their curricular requirements. Local community colleges would provide opportunities for high school seniors to enroll concurrently to further strengthen their readiness for college or university enrollment and to accelerate their progress toward earning collegiate certificates or degrees. All three public sectors of postsecondary education would routinely provide feedback to high school principals, and to English or math department chairs as appropriate, data on the academic performance of their graduates in English and math courses completed at their respective system campuses.

We would establish a transfer associate degree program that would smooth the transition of community college students to the California State University and the University of California systems, or to California's independent colleges and universities with minimal or no loss of time or credits. The academic senates of the individual system would collaborate to revise and enhance the charge of their voluntary Intersegmental Council of Academic Senates to take the lead in efforts to align courses among the systems and class levels and to promote efficient updates when course content were revised to reflect new knowledge generated through the research of their peers. Faculty within the University of California and the California State University systems would strengthen their collaboration with each other to articulate graduate programs at the masters and doctorate levels as a means of recruiting students from underrepresented groups into, and expediting their completion of, advanced degree programs. While limiting their initial efforts to masters and doctoral programs within the same discipline, they would be prompted by the potential benefits to students to next turn their attention to opportunities for articulating graduate programs across disciplines.

We would clearly communicate the state expectation that adult education programs are intended to equip adults with skills and knowledge to be self-sufficient. A set of indicators would be in place permitting regular evaluation of the effectiveness of adult education programs. We would ensure that adequate funding would be provided to support provision of basic educational skills, English literacy and proficiency, vocational preparation, and civics in every adult education program. Establishment and modification of standards and measures for adult education performance would be located within the Department of Education, and adult education services would be delivered by high school districts independently or in collaboration with local community colleges and community-based agencies. Adult education providers would also collaborate with the State's Labor and Workforce Development Agency, which would be assigned primary responsibility for public and private workforce preparation programs, in order to ensure coordination and alignment of training production and workforce demand. Adult education programs would also be customized throughout the state by augmentation of services in the previously mentioned priority areas with other courses and training needed by adults in local communities to become self sufficient and productive members of society.

Beyond their traditional goal of providing broad access to postsecondary education, state officials would also be clearly focused on ensuring the success of those students who chose to enroll. To further this end, the California Community Colleges, the California State University, and the University of California systems would be required to annually submit all data required by the National Center for Educational Statistics and a limited set of additional data on desired student outcomes and characteristics, personnel characteristics, expenditures, and compliance with state standards. All required data would be reported by unique student identifier, to enable longitudinal monitoring of student outcomes and would be consistently submitted to the State's intersegmental education commission. Independent and private colleges and universities would be requested to submit similar data and, for certain key data on student outcomes, we would condition continued eligibility to participate in the State's financial aid program on compliance with this request.

We would take steps to better ensure quality in the educational offerings of private, for-profit institutions offering degrees, by transferring oversight and program approval to the State's

postsecondary education commission. We believe this step would be necessary to ensure that students who chose to enroll in these institutions received an education of a quality equivalent to that of public and not-for-profit, accredited independent institutions and to facilitate transitions, with minimal or no loss of credits, between and among all postsecondary education institutions approved to operate in the state. This accomplishment would not only provide greater equity in expectations for quality but would contribute to a more efficient postsecondary education enterprise by relieving some of the demand for enrollment in public institutions. The State's intersegmental education commission would monitor data on student outcomes in each type of institution and advise the Legislature and Governor of any trends indicating a need for increased scrutiny and of practices associated with high performance that might warrant replication and should therefore be disseminated.

We would anticipate the educational needs of Californians in the future by charging the State's education commissions to regularly engage in long-term planning, using comprehensive educational and demographic data as a basis for that planning. The education commissions would also collaborate with the Department of Finance's Demographic Research Unit to incorporate the unit's forecasts of California population trends and progression through public schools, and with the Governor's chief state education officer to evaluate the effectiveness of state policy intended to improve education outcomes and coordination.

### *What is Needed?*

For many, the concept of accountability is limited to the acts of measuring, reporting, and responding to schools' and students' test scores. Once scores are reported, the schools or students are 'held accountable' through systems of rewards and sanctions, or perhaps simply publicity. Significantly, such accountability most often flows in a particular direction; students, and then their teachers and parents, are likely to be 'held accountable' by school boards, the State, or the public. There are few mechanisms for students, teachers, or families to hold accountable anyone else with responsibility in the education system. The current statewide Academic Performance Index (API), School Accountability Report Cards (SARC), and the Intensive Intervention/Underperforming Schools Program (II/USP) are the State's first steps toward a useful accountability system that can support education in California. They should be continued and refined to enhance their effectiveness in identifying student needs and resource deficits and promoting improvements in teaching and learning.

Even within this narrow conception of accountability as measurement and response, California must expand its view to a system of shared accountability in which improved learning results are tightly linked to improved conditions for learning. Systemic, shared accountability includes those things that the State and school districts are responsible for providing to ensure a high-quality education for all students as well as a regular review of data to *evaluate* school offerings and use of resources to promote student achievement.

Once the fundamental prerequisite for accountability - linkage of authority with responsibility - has been met, there is still the question of how effective discharge of that responsibility can be compelled. At both the state and local levels, of course, the voters have the ultimate power to act on their judgment of the performance of elected representatives and officers. This Plan describes

a structure that ensures that the public will be provided complete information regarding that performance. Moreover, within government, the Legislature and Governor share the power that comes with budgetary authority: the ultimate sanction at their disposal is simply to reduce or eliminate funding for entities or officials that are not performing satisfactorily. However, reducing funding for a low-performing school district, for example, is not generally a constructive approach; doing so merely further impairs the district's ability to perform and is contrary to the priority placed on promoting student achievement in this Plan. More often, a curtailment of discretionary expenditure authority is a more effective basic approach – that is, rather than taking away a portion of a school district's (or other entity's) funding, the Legislature and Governor, or an authority acting pursuant to their instructions, can sequester an appropriate amount of that district's funding and direct how it must be expended to improve a specific aspect or aspects of the district's performance. Discretionary expenditure authority can then be restored when the district's performance has improved. Accountability's real task is completed, in other words, not when blame is assigned for failure or punishment is meted out, but when accountability mechanisms lead to changes that foster adequate learning opportunities and improved outcomes.

### **Governance – Aligning Responsibilities, Authority, and Accountability**

#### **State-Level Pre K-12 and Adult Education**

The structure of California's state-level governance of K-12 public education is one that has no clear lines of accountability due to multiple entities having overlapping responsibilities. Key players in the state-level governance of the public schools include:

- *The Superintendent of Public Instruction (SPI)* – this position is one of seven statewide elective offices specified in California's constitution. The responsibilities of the SPI are specified in statute, but the SPI is commonly expected to serve as the chief advocate for public education and manager of the State Department of Education. The SPI is also believed to be directly accountable to the people of California by virtue of the fact that the Superintendent is an elected officer.
- *The State Board of Education (SBE)* – this 11-member board is appointed by the Governor and has responsibility for setting policy for the State's public schools. The SPI serves formally as secretary to the SBE but is not considered staff to the board. The SBE maintains a nominal staff of its own to handle its business.
- *The Secretary for Education* – originally created by former Governor Pete Wilson in 1991 as Secretary for Child Development and Education, this position has never been formally established by constitutional provision or statute. Current Governor Gray Davis has continued the position but dropped the 'Child Development' portion of the title. Over time, there has been a gradual accretion of authority assigned to the position as well as an increased amount of responsibility for program administration and policy interpretation on behalf of the Governor.

- *The Governor* – by virtue of the budget authority assigned to this office, the authority to appoint members of the SBE, and selection of the Secretary for Education, the Governor has significant influence over what public education can do. In addition, the Governor is nearly always the final arbiter of policy priorities by virtue of the veto authority assigned to the position.

Local education leaders cite the existence of these multiple entities, each of which have a significant impact on education policy, and the lack of a clear delineation of roles among them, as impeding accountability for public education. Irrespective of the extent to which this is true, it is important to note that schools may receive state-level directives and advisories from each of these sources.

Any governance structure that is recommended to provide meaningful accountability at the state level must be sustainable. The scope of authority of several of the entities cited above has continually evolved over the past two decades. An effort to establish offices and delineate duties therefore must anticipate the abilities of various offices to redefine roles or insulate the system against such redefinition. In particular, the significant level of constitutional authority that rests with the Governor – as demonstrated by Governors’ creation and expansion of the Office of the Secretary for Education – has allowed the Governor to have an impact the other three and consolidate policy-making authority with offices under its control.

The interests and will of the electorate must also be considered in developing governance structures. Clearly, Californians support having an elected representative whose exclusive focus is education. With one exception, every significant state-level review of K-12 accountability has recommended that the office of Superintendent of Public Instruction be made appointive, but the State – either through action by its representative government or direct vote of the electorate – has been unwilling to act to implement that recommendation.

Accountability can be substantially increased, even in the context of multiple state-level entities with authority for education, by aligning the operations of the State Board of Education and certain aspects of the Department of Education with the Governor. We therefore recommend:

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## **Recommendation 26**

**Authority over the operations of California’s PreK-12 public education system at large, and ultimate responsibility for the delivery of education to California’s PreK-12 public education students in particular, should both reside within the Office of the Governor. The Office of the Governor should have authority to implement the following functions, as assigned to its various sub-entities by the Legislature:**

- **Apportion resources to schools to support teaching and learning, pursuant to statutory and budgetary direction;**
- **Manage the state financial accountability program and school district fiscal audit reviews;**

- Establish education standards and other learning expectations for students and a process for periodic review and modification of those standards and expectations;
  - Adopt K-8 textbooks (a function constitutionally assigned to the State Board of Education);
  - Establish developmentally appropriate program and operating standards for early childhood education and require continuity between the academic guidelines, standards and curricula for preschool and kindergarten;
  - Administer school improvement programs; and
  - Promote an understanding of effective uses of data to improve student learning.
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The committee's working group on Governance gave considerable attention to the linkage between the K-12 management function, currently residing in the Department of Education – which is under the direction of an independently elected Superintendent of Public Instruction – and the Office of the Governor. We view this linkage as essential, since the Department of Education is responsible for so many crucial education administrative functions. The absence of a clear administrative structure has led to confusion and mixed messages communicated to county offices of education and local school boards, particularly when administrative functions are not implemented satisfactorily. Assurance of equitable opportunities for learning and achievement of all students requires that lines of accountability lead clearly to the Governor. To further clarify structures, roles, and responsibilities, we also recommend:

**Recommendation 26.1 – The Governor should appoint a cabinet-level Chief Education Officer, to carry out, on behalf of the Governor, all state-level operations, management, and programmatic functions, and to serve as the Director of the Department of Education.**

**Recommendation 26.2 – The Governor should continue to appoint, with the consent of the State Senate, the State Board of Education. The Board's members should be drawn from and represent distinct geographical regions, and should reflect the ethnic and gender diversity of the state's populace. The functions of the State Board of Education should be limited to state policy matters specified by the Legislature.**

**Recommendation 26.3 – Once management of the California Department of Education has been transferred to the Governor's office, the separate executive director and staff of the State Board within the Department of Education should be eliminated.**

A healthy and complementary relationship can exist between the Governor's Office and a Superintendent with a newly defined set of focused responsibilities that will benefit all public school children. Hence, we recommend assignment of all functions related to non-fiscal accountability to the SPI position that will enable the SPI to provide an independent and informed voice on behalf of students and their families in the annual budget and legislative deliberations that affect public schools.

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## Recommendation 27

**The Superintendent of Public Instruction should remain an elected position and be responsible for all aspects of accountability for public education other than fiscal accountability. The Superintendent should exercise the following functions related to accountability in California’s K-12 education system:**

- **Provide for and manage a comprehensive accountability system of student and institutional measurement, to include indicators of the opportunities for teaching and learning, outputs, quality of information, and governance/policy instruments that aim to ensure adequate and equitable provision of education;**
  - **Ensure compliance with special education and civil rights law by all relevant participants in the education system.**
  - **Monitor the impact of state policy on the success of local K-12 programs in fostering student achievement;**
  - **Monitor the implementation of state and federal programs to ensure that they meet the needs of all targeted students;**
  - **Provide public identification of schools that have failed to meet student achievement targets;**
  - **Define and implement the processes for intervention in schools that fail to meet student achievement targets pursuant to state and federal laws;**
  - **Serve as an advisor to the Legislature and the Governor and as an advocate to promote the State’s Master Plan for Education and system accountability; and**
  - **Act as the independent spokesperson of California’s populace, and of students in particular, in public discourse on educational issues.**
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## Local-Level PreK-12 and Adult Education

Historically, Californians and their policy-makers have supported a significant degree of local control over the delivery of K-12 education. County superintendents and county boards of education were constitutionally created to provide support and oversight to communities on behalf of the State. School districts were statutorily created and given significant responsibility to determine the policies and programs that could best meet the state’s constitutional guarantee of elementary and secondary education in the context of local conditions. The scope of responsibility of these local governing entities has been significantly narrowed over time, in conjunction with the State’s assuming a greater share of the fiscal burden of providing K-12 education and in response to local districts’ uneven provision of educational opportunity, among other factors.

The ways in which local control is exercised have also been altered since the advent of collective bargaining between school boards and their unionized employees. While the governmental institution of K-12 public education has evolved in important ways since that time – for example, in a consistent trend of court cases that found the State has a basic responsibility for the operation of public schools that it cannot entirely delegate to local school districts – the role and



scope of collective bargaining have not been comprehensively reconsidered in light of that evolution.

Many advantages obtain from a significant degree of local control. Local agencies are in a position to clearly identify the distinct and diverse needs of their students and communities, and to modify the educational program to best meet those needs. Local decision making – including policy development and the determination of fiscal priorities – enhances the access of citizens to the policy functions of government, and through that access can enhance the involvement of and support in educational processes by the communities they serve. Further, the availability of differences in local programs offer families the opportunity to seek the education that they desire for their children. For these reasons, an appropriate measure of local control should be firmly reestablished.

Local control – in the context of a state guaranteed education – can best be maintained by a clear delineation of the roles and responsibilities of the various local entities. In addition, the State should foster a configuration of local entities that leads to the optimal support of students' learning needs, maximizes educational effectiveness, and promotes efficiency. Toward these ends, we recommend:

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#### **Recommendation 28**

**Local school district governing boards should be assigned the policy and administrative authority and a set of management responsibilities to enable them to effectively operate schools that are responsive both to state-level standards and policy priorities and to local community needs. These responsibilities should include, but not be limited to, the following:**

- **Establish a vision for the goals and objectives the district;**
- **Develop and adopt district policy on how best to implement local, state, and federal goals and requirements for the PreK-12 system as a whole, within the local context;**
- **Recruit/select highly qualified individuals for senior leadership positions;**
- **Ensure that the district superintendent is meeting the vision, goals and performance objectives of the district, and ensure that the superintendent holds district personnel accountable;**
- **Adopt a fiscally responsible budget based on the district's vision and goals, and regularly monitor the fiscal health of the district;**
- **Allocate available resources within the district so as to balance baseline equity—appropriately staffed, safe, clean, and decent schools for all students—with targeted additional resources pursuant to special funding categories described in the California Quality Education Model;**
- **Establish a framework for the district's collective bargaining process, in the instances in which bargaining is used, and adopt responsible agreements that reflect the interests of the public;**
- **Adopt district curriculum and monitor student progress;**

- **Provide support, as necessary, to ensure the success of schools within the district;**
  - **Collaborate and seek sustained positive partnerships with other non-education elements of local government, local employers, postsecondary education institutions, and community organizations; and**
  - **With particular regard to middle and secondary grades, maintain constant institutional emphasis on locally tailored efforts to achieve and maintain high rates of pupil attendance.**
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Evidence and testimony reviewed reveal numerous local school districts that are operating efficiently and effectively in promoting the achievement of students. Unfortunately, testimony and data received indicate too many schools and school districts have not been as effective in promoting student achievement as California needs them to be. This unevenness in school/district performance is of great concern. Some of it can be addressed by assigning a set of responsibilities and authority to local school boards that are clear and aligned with the goals California has set for its public education system as a whole. The foregoing list highlights those responsibilities that have emerged as the most important to successful implementation of this Plan.

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## **Recommendation 29**

**The State should take steps to bring all school districts into unified PreK-12 structures.**

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District governance structures should support the objectives of focusing on meeting student needs and enhancing student achievement. Such focus is necessarily served when the governing board has responsibility for the comprehensive educational interests of the students in its charge, as opposed to each student's interest for a limited portion of his or her experience. By contrast, our public schools are governed by a variety of structural arrangements, many of which perpetuate isolated approaches to education delivery within a particular sector, rather than the more aligned and collaborative approach advocated in this Master Plan. At the state level, this student focus is supported by the development of academic standards, which should inherently provide a certain level of curricular alignment among districts. However, our vision of a coherent system of schools, colleges, and universities would be fostered by the adoption of unified school districts throughout the state. The unified district approach reinforces the goal of achieving course alignment and articulation across grade levels. The Education Trust has provided data indicating that other states pursuing reforms aimed at improving student achievement have been most successful when they have chosen a unified PreK-16 approach.

**Recommendation 29.1 – The Legislature should develop fiscal and governance incentives to promote local communities organizing their local schools into unified districts, and should eliminate all fiscal and other disincentives to unification.**

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### **Recommendation 30**

**Local districts should, where appropriate, consolidate, disaggregate, or form networks to share operational aspects, to ensure that the educational needs of their students are effectively met and that their operational efficiency is maximized.**

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In many areas of the state, small schools and small district school boards work together well to effectively promote student achievement. At the same time, many small districts are unable to realize the cost-efficiencies that come with larger populations, to extend to all their students the opportunities envisioned by this report as constituting a high-quality education, or may expend limited, valuable resources on business functions that might be more efficiently consolidated with those of other districts. Conversely, larger districts, which can maximize cost-efficiencies and opportunity, are often criticized for being dissociated from the communities they serve, as a simple result of their size. California students should benefit from district sizes that are designed to support optimal levels of student achievement. Types of district consolidation and networking may need to be different for purposes of educational program delivery and for business operations. The committee does not yet have sufficient data to recommend a particular array of options in this regard. We therefore recommend a process be undertaken to identify and implement these options, including appropriate incentives and disincentives, pursuant to the following recommendations:

**Recommendation 30.1 – The Legislature should undertake a comprehensive study to determine the optimal size ranges for school districts with respect to both educational delivery and the conduct of business operations. The study should additionally identify a range of funding considerations that are based on size and structural options and that could be appropriately leveraged to attain optimal conditions.**

**Recommendation 30.2 – Each county committee on school organization should review the findings of the study and should have a period of three years to develop and recommend local plans and conduct local elections that would implement the findings of the study for all school districts within its jurisdiction.**

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### **Recommendation 31**

**Local districts should be provided the opportunity to exercise a degree of firmly established local control, protected from encroachment by state laws, through an amendment to the state constitution permitting those districts to adopt limited ‘home rule’ authority by votes of their electorates in a manner similar to that long authorized in the constitution for cities and counties.**

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Although local control is strongly favored politically, the Legislature nevertheless can and does frequently create new laws controlling various topics that had previously been matters of local discretion. A constitutional ‘home rule’ provision for school districts could limit that problem, by giving local districts the ability to develop their own “ordinances” that would supersede state law in specified areas. To be successful, a ‘home rule’ provision would have to very carefully spell out a limited set of matters which districts could control and clearly exclude areas of State interest, such as standards and accountability, compliance with civil rights and special education laws, etc.

To avoid legal confusion that might result from different ‘home rule’ ordinances on the same subject matter in districts with overlapping boundaries, the ‘home rule’ authority would necessarily be limited to unified districts – but could then function as an incentive to unification.

The concept of ‘home rule’ inherently enhances the relationship of the local electorate to its governing board, since the operational provisions granting ‘home rule’ must be adopted, and can only be amended, by the vote of the district’s citizens. Governing boards can be still more responsive to local educational priorities, and can be held more accountable by local electorates, when they are able to generate revenues locally and can demonstrate a direct connection between a revenue source and specific services. Therefore, the scope of authority of ‘home rule’ districts should include the new local taxation authority proposed in this report (see Recommendation 46).

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## **Recommendation 32**

**The Legislature should initiate a state-level inquiry to examine the optimal size of county offices of education, the potential transition of county offices of education into regional entities, and the efficiencies that might be realized from the consolidation of various operational aspects of county offices to organize their services to meet current and emerging district and regional needs, including fiscal oversight and management and administrative assistance. Based on the findings of this inquiry, the Master Plan should be amended, as appropriate, to incorporate action based on the findings of this inquiry.**

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California’s public school system is too large and complex to be effectively managed centrally at the state level. There are local needs that are best met and oversight functions that are best carried out at a level that is neither defined by the broad perspective of the State, nor the more parochial perspectives of local districts. However, some county offices of education are either too small or too large to discharge their responsibilities effectively and efficiently. Moreover, the enormous additional investment that will be required to implement the provisions of this Master Plan prompts a search for efficiencies and cost avoidance that will enable a larger proportion of education appropriations to be directed to the core functions of teaching and learning.

County offices of education provide a set of services that are valued by most local school districts. Many provide educational services that would otherwise not be available to students or schools due to small size and California's funding mechanism, which does not generate sufficient funding for small districts to directly provide these services. Larger districts have developed internal capacities that obviate the need for county offices to do much more than review annual budgets and hear appeals of various district decisions. The cost of maintaining a county office of education in every county in the state, with similar structures and operations, must be critically examined for cost effectiveness and the potential advantages of consolidation into a reduced number of regions or consolidation of operations. In addition, the specific responsibilities assigned to county/regional offices of education should reflect the extent to which they might be instrumental in the State's effort to ensure that all schools and districts meet minimum standards for a high-quality education. County/regional offices are much better positioned to monitor compliance with certain state requirements than is a single state entity.

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### **Recommendation 33**

**County/Regional offices of education should be assigned a set of functions, resources, and authority both to serve local districts in their efforts to provide comprehensive curricula to students and professional development opportunities for professional staff, and to act as monitoring agents on behalf of the State to ensure that every public school meets minimal standards of educational quality. These functions and responsibilities should include the following:**

- **Directly provide educational services to students served by small districts that might not otherwise be able to provide a comprehensive array of curricular offerings or learning support and to students attending court and county community schools;**
- **Provide professional development, or facilitate the provision of professional development to education personnel in school districts requesting such services;**
- **Serve as the appellate body for parents who disagree with specified decisions of local school boards;**
- **Monitor fiscal decisions of local school boards and, when appropriate, intervene to forestall imminent bankruptcy if local budget decisions were to be implemented;**
- **Serve as the primary catalyst and facilitating agency to ensure that all schools have access to a technology infrastructure that enables electronic exchange of information and educational materials; and**
- **Monitor the facility decisions of local boards and, when appropriate, intervene to ensure that every school maintains facilities that comply with state quality assurance standards.**

## Preschool-Postsecondary Education

For the past 42 years, California's postsecondary education enterprise has been guided by the *Master Plan for Higher Education*, which differentiated the missions to be pursued by each public college and university system, defined the pools from which they would select their freshman population, and established a mechanism for coordination, planning, and policy development. Upon review of the strengths and weaknesses of each of the governing boards, a particular concern emerged that there is incomplete information available on institutional and system performance and student achievement. All three public postsecondary education systems should be *required* to participate in data collection specified by the State for evaluation of their performance. Although the Joint Committee has identified the need for the University of California to expand its efforts to work more effectively with the PreK-12 community, the Legislature, and the Governor's administration to ensure that state-identified priorities are met, there is no compelling reason to alter the powers, responsibilities or structure of the Regents as specified in the State constitution. Similarly, the structure, powers, and responsibilities of the Trustees of the California State University are not in need of modification at this time. However, the Board of Governors for the California Community Colleges requires modification to elevate its powers, structure, and responsibilities commensurate with that assigned to the California State University Board of Trustees.

California also has an extensive array of regionally accredited not-for-profit and for-profit colleges and universities that make a substantial contribution to meeting the postsecondary education needs of Californians. They should continue to be considered a vital part of California's postsecondary education sector. In addition, California provides state approval to approximately 230 private, degree-granting institutions and nearly 2,500 private postsecondary vocational schools in the state, many of which are not regionally accredited. These institutions have been separately regulated and operate apart from California's education system. Both sets of non-public institutions should be explicitly incorporated into California's vision for a student-focused education system and subject to similar expectations for quality and measures of student achievement.

Effective planning has been and will continue to be essential to accommodating the demand for postsecondary education in this state. It has enabled California to leverage the resources of independent colleges and universities to complement the capacity of its public postsecondary education institutions in meeting the needs of Californians for education and training beyond high school. Long range planning should be expanded to leverage the resources of private postsecondary education institutions as well.

Long-range planning is equally essential to its preschool to adult school sectors of education. The Legislature and Governor should be able to turn to a single source to acquire information to anticipate the needs of public education in their annual policy and budget deliberations. We offer recommendations below to achieve this end:

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## Recommendation 34

**The California Community Colleges should be reconstituted as a public trust with its board of governors responsible for overall governance, setting system policy priorities, budget advocacy, and accountability for a multi-campus system. The primary functions of the California Community Colleges should continue to include instruction in the general or liberal arts and sciences up through, but not exceeding, the second year of postsecondary education leading to associate's degrees or transfer to other institutions; education, training, and services that advance California's economic growth; and vocational and technical instruction leading to employment, and community services. Community colleges should also be authorized to:**

- **Provide instruction at the upper division level jointly with the California State University, University of California, or a WASC-accredited independent or private postsecondary education institution.**
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The California Community College system has suffered from fragmentation for decades stemming from governance responsibilities' having been assigned by statute to local boards of trustees, now 72 in number, and designation of the California Community Colleges Chancellor's Office as a state agency, subject to oversight by a variety of other state agencies. In addition to personnel salaries and actions being subject to approval by the Department of General Services, the State Personnel Board, and the Governor (in the case of senior staff appointments), policy priorities adopted by the Board of Governors cannot be enforced without triggering the state mandates clause of the California constitution – effectively neutralizing the Board of Governors' ability to govern the system. The result is highly unequal performance and highly unequal opportunities to learn afforded to students enrolled in community colleges throughout the state.

The community college system, to be effective, needs a clear statement of functions and authority for the Board of Governors and the local boards of trustees. This assignment of respective functions should clarify that it is the responsibility of the Board of Governors to ensure the performance of such duties as system governance, establishing statewide policy, negotiating funding, managing, and setting accountability standards for all the colleges collectively. As with its California State University and University of California counterparts, the Board of Governors should have the flexibility to delegate primary responsibility for academic matters to its faculty senate, recognizing the considerable expertise that resides within the faculty ranks, and the authority to establish and disband any number of advisory/consultation groups to assist it in making final decisions on policy priorities for the system. There is also concern about the number and size of local districts, both in terms of capacity to maintain quality teaching and learning opportunities for all students and the containment of costs for administrative oversight of the colleges. To address these concerns, we offer the following additional recommendations:

**Recommendation 34.1 – The membership of the California Community College Board of Governors should be modified to include as ex-officio members the**

**Governor, the Superintendent of Public Instruction, the Lieutenant Governor, and the Speaker of the Assembly.**

**Recommendation 34.2 – The responsibilities of the California Community College Board of Governors should be defined as the following:**

- **Exercise general supervision over, and coordination of, the local community college districts;**
- **Provide leadership and direction through research and planning;**
- **Establish minimum conditions and standards for all districts to receive state support and to function within the system;**
- **Establish specific accountability measures and assure evaluation of district performance based on those measures;**
- **Approve courses of instruction and educational programs that meet local, regional, and state needs;**
- **Administer state operational and capital outlay support programs;**
- **Adopt a proposed system budget and allocation process;**
- **Ensure system-wide articulation with other segments of education; and**
- **Represent the districts before state and national legislative and executive agencies.**

**Recommendation 34.3 – The responsibilities of the California Community College local boards of trustees should be defined as the following:**

- **Establish, maintain, and oversee the colleges within each district;**
- **Assure each district meets the minimum conditions and standards established by the Board of Governors;**
- **Establish policies for local academic, operations, and facilities planning to assure accomplishment of the statutory mission within conditions and standards established by the Board of Governors;**
- **Adopt local district budgets;**
- **Oversee the procurement and management of property;**
- **Establish policies governing student conduct; and**
- **Establish policies to guide new course development, course revision/deletion, and curricular quality.**

**Recommendation 34.4 – The California Community College Board of Governors should have the same degree of flexibility and authority as that of the California State University, including the authority to appoint and approve senior staff of the Board of Governors.**

**Recommendation 34.5 – A state assessment should be conducted on the value of and need for restructuring of local districts, with attention to the size and number of colleges in a district, as well as the scope of authority that should be assigned to each district. Should this assessment find restructuring valuable and desirable, incentives should be provided to encourage restructuring.**



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**Recommendation 35**

**The status of the California State University as a public trust; and the size, composition, term of office, and responsibilities of its Board of Trustees should remain unchanged. The primary functions of the California State University should continue to include instruction in the liberal arts and sciences through the master's degree, in the professions and applied fields that require more than two years of postsecondary education, and in teacher education. It should continue to be authorized to:**

- **Award the doctoral degree jointly with the University of California or with a WASC-accredited independent or private postsecondary institution;**
  - **Engage in faculty research, using state-supported facilities provided for and consistent with the primary function of the California State University.**
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**Recommendation 36**

**The University of California should continue to be constituted as provided in Section 9, Article IX of California's constitution. The size, composition, term of office, and responsibilities of its Board of Regents should remain unchanged. The primary functions of the University of California should continue to include instruction in the liberal arts and sciences and in the professions, including teacher education. It should continue to have exclusive jurisdiction among public postsecondary education for instruction in the professions of law, medicine, dentistry, and veterinary medicine. The University of California should continue to have sole authority to award doctoral degrees in all fields, except that it may agree to jointly award doctoral degrees with the California State University in selected fields. The University of California should continue to be the primary, although not exclusive, academic agency for research.**

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**Recommendation 37**

**The Legislature should convene a task force to develop a strategic plan for the delivery of adult education, including a list of indicators that should be used to assess the effectiveness of California's Adult Education system. The task force assembled for this purpose should submit its plan to the Legislature for adoption.**

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The task force should solicit advice from representatives of the Department of Education, the California Community Colleges, local service providers in the areas of adult and noncredit education, including regional occupation centers and programs, the Employment Development

Department, at least one local workforce investment board, the Legislative Analyst's Office, and the Governor's Office. Advisors should also include representatives from important stakeholder groups including business and adult education students.

California's commitment to educating its populace is reflected in its provision of educational services to adults through both the K-12 and the community college systems. These services address adults' needs to become self-sufficient in a timely manner. Attainment of self sufficiency usually entails developing basic educational skills, learning English, acquiring vocational training, and otherwise preparing to participate effectively and productively in society and the economy. The State has not established systematic procedures for determining how and what services should be provided to help adults achieve self sufficiency, however, and this multi-million dollar enterprise is currently difficult for some adult learners to navigate as they embark on efforts to prepare themselves to meet the demands of the contemporary high-performance workplace and to participate effectively in civic affairs. It is in the State's interest to ensure that the delivery system for adult education meets students' immediate learning objectives and that students successfully transition into employment, gain English language literacy and civic skills, gain access to additional formal education, and pursue the long-term skills development goals they have identified as part of a plan for lifelong learning.

Increased efficiency would result if the provision of adult education services were delineated by curricular function or geographic location between school districts and community colleges. Adult education providers should target elementary and secondary basic skills courses to California adults seeking instruction that enables them to become self sufficient, as well as instruction that leads to meeting requirements for high school diplomas or their equivalent, and be assigned responsibility for instructing adults without high school diplomas in the knowledge and skills assessed in the California High School Exit Examination.

Other categories of instruction provided by adult education programs and community colleges that overlap should be reviewed to determine if this same delineation, or any other, would be appropriate. Therefore, for all instructional categories, the task force should assess whether K-12 operated adult schools should be limited to providing services to students who do not have a high school diploma or its equivalent and the community colleges limited to providing services to those who either have a high school diploma or who are at least 18 and whose academic goals include a certificate, an associate's degree, or transfer preparation. Both providers should also be obligated to structure their educational offerings to be consistent with contemporary academic standards.

Remedial or developmental instruction aimed at preparing adults for enrollment in credit-bearing collegiate coursework is part of the mission assigned to community colleges and, to a lesser extent, a function performed by the California State University and University of California systems. Such instruction should not be described as leading toward a high school diploma or its equivalent and should not be viewed as part of the adult education delivery system.

English as a Second Language, Elementary and Secondary Basic Skills, and Vocational Education courses should be considered state priorities for adult education. These categories constitute the greatest needs for the majority of adult education participants. Other categories of

instruction provide valued services to local communities and may be provided as resources permit. The State should also ensure that resources are available to identify and accommodate learning disabilities among adult participants, many of whom struggle through academic experiences with unidentified learning disabilities. Counseling services must also be supported to assist adult learners in pursuing life-long learning, including opportunities to build basic communication, information-handling, civic, and other job related skills.

Vocational Education programs included in adult education should be aligned programmatically with other workforce preparation programs in the community, including those linked with one-stop career centers and regional occupation programs and centers because of the services both sectors provide to the adult learner.

In some areas of the state, community colleges have been the primary, if not exclusive, providers of adult education. By definition, remedial education provided by postsecondary education institutions is precollegiate instruction and hence overlaps the function suggested as proper for adult education. This fact does not have to result in confusion or undesirable competition, provided the area of overlap is both constrained and well defined. To ensure that such confusion is avoided, we further recommend:

**Recommendation 37.1 – To ensure that comparable quality of instruction is available to all Californians enrolling in adult continuing education, the State should quickly move toward reciprocity of instructional credentials, based on appropriate minimum qualifications, between the K-12-operated adult and community college-operated noncredit education systems, to allow instructors to teach in either or both systems.**

**Recommendation 37.2 – State priorities for adult and noncredit education should include English as a Second Language, Elementary and Secondary Basic Skills, and Vocational Education. The State should strive to provide adequate resources to ensure that these priorities are addressed by all adult education providers.**

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## **Recommendation 38**

**The Legislature should review the founding statutes of the California Postsecondary Education Commission (CPEC) and should confirm or amend them, as appropriate, to ensure that the commission has the capacity and authority to carry out its mission as the coordinating entity for postsecondary education and chief objective adviser to the Governor and Legislature regarding the continuing improvement of California postsecondary education.**

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In order to meet the comprehensive, yet diverse, educational needs of all Californians, the 1960 *Master Plan for Higher Education* delineated a multi-part system of postsecondary education including the three public segments (the California Community Colleges, the California State University, and the University of California), coordinated with California's independent colleges

and universities. In order to provide the Legislature and the Governor a coherent, broad analysis and objective advice regarding the current and future interrelated operation of these postsecondary segments, the California Postsecondary Education Commission (CPEC) was created in 1973.

In our current time of profound change and enormous enrollment growth, CPEC's coordination and analysis mission continues to be of vital importance. However, the commission is currently impeded by insufficient funding and by a plethora of statutory and legislative directives regarding its work that are beyond its capacity to fulfill. This has lessened the commission's capacity to speak for the broad public interest on the issues most critical to postsecondary student success. The commission is further impeded by its not being assigned sufficient authority to require coordinated efforts on the part of the postsecondary segments. The Legislature should ensure adequate funding for CPEC to carry out its most essential functions, and eliminate those lesser priority demands that stretch the agency beyond its primary goals. More broadly, this Joint Committee believes that CPEC must provide more than policy analysis; it must provide a prominent voice for the public interest in postsecondary education, aiming to inform the Legislature and the public on the fiscal and programmatic implications of California's need for a better-educated population and on how California postsecondary education could be improved to enable all Californians to realize their potential.

While the University of California, the California State University, the California Community Colleges, and California's independent colleges and universities hold the public interest central to their missions and planning, they cannot individually see or plan for the overall development between them. CPEC must serve the roles of both coordinating and planning for a much more integrated and visionary approach to postsecondary education between and among the segments. The Joint Committee further believes the commission would benefit from the immediate involvement of the leadership of the different segments. Hence, we recommend:

**Recommendation 38.1 - The Commission's primary functions should include:**

- **Providing long-range planning for meeting the postsecondary education needs of Californians, including the adequate provision of facilities, programs, and campuses, and assessing and advising state policymakers regarding priorities dictated by current and evolving public needs;**
- **Providing policy and fiscal analyses regarding the most critical issues affecting the success of Californians in attending and graduating from postsecondary education institutions;**
- **Coordinating the analyses, policy recommendations, and long-range planning proposals of various public and private entities, as needed, to secure the long-term fiscal stability and public financing of public postsecondary education, including the development of student fee and financial aid policies and the efficient use of state resources across segmental boundaries;**
- **Advising the Legislature on appropriate accountability indicators for postsecondary education, to be adopted in statute, and subsequently reporting annually to the Legislature and the Governor on the performance of public postsecondary institutions in meeting the adopted indicators.**

- Evaluating and reporting to the Legislature and the Governor the extent to which public postsecondary education institutions are operating consistent with state policy priorities and discharging the responsibilities assigned to them in statute;
- Reviewing and approving new public campuses for postsecondary education; and
- Reviewing academic programs for public, postsecondary education institutions.

**Recommendation 38.2 – CPEC should be given the authority to require information to be submitted by the various segments of postsecondary education. Each year, immediately prior to the Legislature’s postsecondary education budget deliberations, CPEC should provide a report to the budget committee chairs of both houses, and to the Legislative Analyst, regarding the record of the various segments in responding to the Commission’s requests for information.**

**Recommendation 38.3 – CPEC should continue to be advised by the existing statutory advisory committee. The segmental representatives to the CPEC statutory advisory committee should consist of the Chancellor of the California Community Colleges, the Chancellor of the California State University, the President of the University of California, the President of the Association of Independent California Colleges and Universities, and the Superintendent of Public Instruction, or an executive-level designee of each.**

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## **Recommendation 39**

**The Legislature and Governor should immediately create a new California Education Commission (CEC). The CEC should have initial responsibility for planning, coordination, and analysis that encompasses preschool and K-12 education, as well as the interface between K-12 and postsecondary education.**

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The lack of overall coordination among the State’s multiple education agencies is one of the largest systemic governance problems in California. Combined with insufficient delineation of authority, this problem results in an educational system that is not structured in a manner conducive to consistent responsiveness to the comprehensive needs of learners. As has been discussed throughout this report, coordination is necessary not only among the distinct postsecondary education sectors, which operate in concert to serve all Californians, but between K-12 and postsecondary education, as well as between preschool and K-12. To realize this Plan’s vision of a coherent system of education in California, a single entity – a California Education Commission – should be assigned responsibility for these coordinating, planning, and forecasting functions, encompassing PreK-12 education and the interface between the PreK-12 and the postsecondary education sectors.

The California Education Commission should initially focus on the planning and coordinating functions related to the interface of the PreK-12 and postsecondary sectors, since there is an absolute deficiency of structural capacity in California to address those issues today. As they pursue their educational goals, California students encounter critical disjunctures within our education system. These disjunctures pertain especially to many aspects of the transition from high school to college, and to joint programs that span multiple segments of education.

The development of rational public policy for education requires the availability of comprehensive data, as well as other critical information, on which to base judgments of program effectiveness, policy and fiscal needs, demographically-driven needs, and other critical issues. These data should incorporate, but not be limited to, information regarding students, personnel, facilities, and instructional materials. California's many education and state agencies currently gather and maintain significant amounts of data related to education, but their data collection efforts are fragmented – often data on similar elements are gathered pursuant to differing data standards, such that the information cannot be integrated in a manner that can serve public policy interests. These multiple data sources can be better combined to enable a more complete understanding of the current and anticipated conditions of our education system only if they are gathered pursuant to common standards and maintained comprehensively within a single entity. The proposed roles related to multiple aspects of public education that would be assigned to the California Education Commission would make it the logically appropriate entity to carry out the function of serving as the state's education data repository. Moreover, many observers ascribe conflicts of interest to agencies that both collect/maintain and use data; such perceived conflicts could be substantially reduced by requiring the CEC to publish the methodology and assumptions used when using collected data for analytic purposes.

To ensure that the critical functions assigned to the commission are effectively met, we further recommend:

**Recommendation 39.1. – The commission's primary functions should be:**

- **Providing long-range analysis and planning for meeting the educational needs of all Californians;**
- **Providing policy and fiscal advice, based on data analysis, that represents the public interest in California's education system;**
- **Serving as California's statewide education data repository;**
- **Evaluating the extent to which all public education institutions are operating consistent with state policy priorities;**
- **Advising the Legislature and the Governor on the potential and actual impacts of major education policy proposals or initiatives;**
- **Coordinating statewide articulation of curriculum and assessment between the PreK-12 and postsecondary education sectors;**
- **Providing long-term planning for the development of joint and other shared use of facilities and programs between PreK-12 and postsecondary education entities;**
- **Sponsoring and directing inter-segmental programs that benefit students making the transition from secondary school to college and university; and**

- **Coordinating outreach activities among PreK-12 schools and postsecondary education and work-sector entities.**

**Recommendation 39.2 – The Legislature should identify and implement effective mechanisms to compel all relevant agencies with responsibility for gathering and maintaining comprehensive data on one or more aspects of California’s education system, preschool through university, to submit specified data to the commission.**

**Recommendation 39.3 – The Joint Committee should consider structuring the California Education Commission with eight lay representatives: four appointed by the Governor, two appointed by the Senate Rules Committee, and two appointed by the Assembly Speaker. In addition, the Superintendent of Public Instruction should serve as the chair of the commission. This structural option should be evaluated against other options and the preferred model submitted to the Legislature and Governor for adoption.**

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#### **Recommendation 40**

**All oversight of state-approved private colleges and universities offering academic degrees at the associate of arts level or higher should be transferred from the Department of Consumer Affairs to the California Postsecondary Education Commission, to ensure the quality and integrity of degrees awarded under the auspices of the State of California.**

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California has an enviable reputation for the quality of its regionally accredited public and independent colleges and universities. However, the private, non-accredited sector has not always shared in that reputation, a fact that led to enactment of the Private Postsecondary and Vocational Education Act in 1989. These institutions are currently regulated by the Department of Consumer Affairs’ Bureau of Private Postsecondary and Vocational Education, which was created by 1997 legislation as the successor to the independent council created by the 1989 Act. The Joint Committee is concerned, both about the difficulties the Bureau has encountered in its efforts to implement the complex, and occasionally conflicting provisions of the 1997 legislation, and about the existence of separate governance structures for each sector of postsecondary education. The absence of confidence in the quality of academic programs provided by state-approved private institutions frustrates the ambitions of students who seek to move between these institutions and regionally accredited public and independent institutions.

In addition to academic degree-granting institutions, a number of private institutions focus on workforce training and preparation for a variety of careers. The Governor has proposed that vocational and workforce preparation programs should be consolidated to achieve greater coordination and common standards for assessing performance. There is merit to further consideration of this proposal and we therefore suggest no change at this time for unaccredited postsecondary vocational schools. Accordingly, we offer the following additional recommendations:

**Recommendation 40.1 – The California Postsecondary Education Commission should develop standards to promote articulation, when appropriate, and to foster collaborative shared use of facilities and instructional equipment between state-approved private colleges and universities awarding academic degrees and regionally accredited public and independent colleges and universities.**

**Recommendation 40.2 – The California Postsecondary Education Commission should be designated as the state approval agency for veterans' institutions and veterans' courses, and should have the same powers as are currently conferred on the Director of Education by Section 12090 et seq. of the Education Code, to enter into agreements and cooperate with the United States Department of Veterans Affairs, or any other federal agency, regarding approval of courses, and to approve and supervise institutions that offer courses to veterans.**

### **Shared Accountability**

An accountability system for California must be guided by valid, comprehensive, understandable, and regularly reported data on a set of indicators that permit useful, informed decisions and judgments about student learning and the conditions under which the students learn. Ultimately, adequate and well-advised support for public schools depends upon the public's will to shape California's educational and other policy priorities and to making wise investments on behalf of high-quality and equitable schooling. A system of multiple indicators for accountability and improvement is crucial to marshalling public will and to wise investments in the schooling that most benefits students and the state. To develop such a system of accountability for California, the State must be guided by the following principles:

- Testing may be a necessary part of an accountability system; however, testing does not equal accountability;
- Accountability systems increase the probability of, but do not guarantee, high-quality practice leading to positive outcomes;
- Effective accountability systems call attention to needs and direct resources for addressing those needs, rather than simply initiating punitive measures;
- Indicators, like test scores, are information for an accountability system; they are not the system itself;
- Tests can enhance or undermine learning and accountability, depending on what they measure, how they are used, and how they are administered; and
- Accountability occurs only when policymakers and education providers act on information in ways that create better opportunities and outcomes for individuals and groups of students.

Educational indicators must include both input and outcome measures. The reasons for the inclusion of input measures is that some aspects of schools – for example, the provision of minimally adequate and safe facilities, and access to a curriculum of sufficient breadth – should be considered basic requirements of all districts and basic rights of all students, whether or not



they influence outcome measures. Outcome measures may be insufficient to reflect compliance with these basic requirements and rights, and therefore input standards are needed as well.

Two types of input standards are proposed. The first, called *guidelines*, would be used as a model against which a district could compare its own expenditure choices. The elements in these guidelines would be based on the proposed California Quality Education Model<sup>50</sup> that would generate target funding levels in California. The second set of input standards would establish *minimum requirements* for all districts and schools, which they could not fall below under any conditions and for which the State would have an obligation to ensure the provision of adequate resources. The combination of *guidelines* and *minimum requirements* would therefore provide districts with flexibility in devising their priorities for spending, while also protecting students by establishing certain absolute minimum requirements.

To build this shared accountability system, the following actions should be taken:

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#### **Recommendation 41**

**The State should establish a system of regularly reported indicators for PreK-12 accountability and improvement and develop a system of appropriate rewards and interventions, based on those indicators, that will promote continuous improvement of student achievement.**

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The Legislature should develop and the Superintendent of Public Instruction should report yearly on a comprehensive set of educational indicators, constructed from the data provided by an integrated, longitudinal, learner-focused data system and from other school-level data about educational resources, conditions, and learning opportunities. Such indicators must be easy to understand and trusted as valid and reliable. They must enable policymakers, professionals, families, and the public to monitor the status and quality of the educational system and provide information to guide the improvement of policy and practice.

To be useful, the state accountability system should monitor all levels (student, education personnel, school, district, local and state governing boards, state education agencies, Legislature, and Governor) of the educational system, and include appropriate indicators that measure the effectiveness of each level (PreK-postsecondary education) in exercising its responsibilities. Consequently, the State's indicators should enable the public to hold policymakers and governing bodies accountable for providing the commitment, policy mechanisms, resources, and conditions necessary to a high-quality system of education, as well as to hold schools, educators, and students accountable for the outcomes that result.

While this Master Plan focuses on holding all participants in the education system accountable for student outcomes, comprehensive understanding of student achievement levels is informed by identification of the availability of learning resources and opportunities. Additional

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<sup>50</sup> See recommendations in the Affordability section of this Master Plan for a description of the California Quality Education model.

information on the resources and opportunities to learn provided to students should be reported to the public and used by the Superintendent of Public Instruction to help the public gain a greater understanding of student achievement.

The indicators should provide comprehensive information about all schools, not just about those that are low-performing. Although there are many exemplary schools, the State needs information about these schools just as it needs information about schools in which students are underserved. Finally, the indicators should be structured to permit analysis of opportunities and outcomes by racial, ethnic, linguistic, and gender populations, and among students assigned to various programs within schools. Given the intended purposes of these indicators, we further recommend the following:

**Recommendation 41.1 – The K-12 Academic Performance Index (API) should be expanded in statute so that it includes grade promotion and other indicators of academic outcomes, in addition to multiple measures of student achievement and indicators of opportunities for teaching and learning.**

**Recommendation 41.2 – The Superintendent of Public Instruction should identify appropriate school-level indicators of schools’ status regarding the availability and use of high-quality learning resources, conditions, and opportunities, based on standards that specify what government agencies – the State and school districts – must provide all schools. This information should be collected by the California Education Commission and reported by the Superintendent of Public Instruction in a format that permits comparison against standards arising from the state’s California Quality Education Model and made publicly available through revision of the School Accountability Report Card.**

**Recommendation 41.3 – The California Education Commission should collect appropriate and relevant data to allow the Superintendent of Public Instruction to assess and report on the effectiveness of California’s programs for young children, and integrate these data collection and analysis efforts with the K-12 API effort.**

**Recommendation 41.4 – The State should create benchmarks and criteria, based on prototype schools, that will serve as desirable models of high-quality schools. They would also serve as the basis for determining adequacy of funding and provide potential expenditure streams to guide local education decision makers. The State should also collect and disseminate information about actual schools with effective programs and practices that promote student achievement.**

**Recommendation 41.5 – The State should develop a long-term strategic plan for the meaningful use of accountability data and indicators that are linked to state educational goals by state and local policymakers, educators, and all Californians to determine the impact of programs and interventions designed to improve learning conditions and outcomes. The plan should also contain strategies for remedying identified inadequacies.**

**Recommendation 41.6 – The State should develop a series of progressive interventions in K-12 education that support low performing schools’ efforts to build their organizational capacity, develop high-quality programs, and support student learning, particularly in schools of the greatest need. The State should also develop a series of progressive rewards that recognize schools for significant improvement and high achievement. The criteria for implementing interventions and rewards should be clearly defined and linked to the evaluation of annual performance data.**

**Recommendation 41.7 – The State should develop a series of definitive actions to apply as consequences to any entity within the public education system that fails to meet its responsibilities. These actions should range from loss of flexibility in defined expenditure decisions to the loss of control of its responsibilities.**

**Recommendation 41.8 – The accountability system should enable policymakers and the public to detect performance barriers beyond the level of the school, and distinguish carefully among actors or agencies primarily causing them. At a minimum, the Superintendent of Public Instruction should measure, report, and use all performance indicators at the state and district levels, as well as at the school level, and develop mechanisms to hold state agencies and districts directly accountable for their schools’ performance, consistent with the discussion of accountability on pages 108-109 of this report.**

**Recommendation 41.9 – The State should establish a consistent and straightforward way for local schools to describe their expenditure and programmatic decisions, to compare them with the State’s prototype expenditure guidelines, minimum standards, and outcome goals, and to clarify the trade-offs implicit in budget decisions.**

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## **Recommendation 42**

**The California Department of Education should expand adult education course standards to include student performance measures such as those developed by the National Skill Standards Board, the Secretary’s Commission on Achieving Necessary Skills (SCANS), and Equipped for the Future.**

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Currently there are state-approved model standards for five of the ten existing categories of noncredit and adult education. The established standards support programs in English as a Second Language, Adult Elementary and Secondary Skills, Parent Education, Older Adult, and Adults with Disabilities programs. With the exception of those for the Adults with Disabilities category, the standards are currently being reviewed and updated by providers of adult education services. If the program categories are revised to include an emphasis on workforce learning, these standards should be expanded to include student performance measures such as those developed by the National Skills Standards Board, SCANS, and Equipped for the Future. To promote meeting these multiple standards for adult education, we further recommend:

**Recommendation 42.1 – The State should support and expand existing accountability mechanisms for adult education providers that emphasize student performance and reward institutions for improving student achievement. The State should also encourage incorporation of the foregoing standards for workplace skills and adoption of state standards for student achievement.**

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### **Recommendation 43**

**The State should bring postsecondary education into an integrated accountability system by developing a set of accountability indicators that are consistent with state policy objectives and institutional missions and that would monitor quality and equity in access and achievement of all students in common academic content areas. All public, independent, and private institutions should be required to participate in the reporting of these accountability indicators as a condition of receiving state moneys either through direct appropriation or student financial aid.**

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The principle of accountability should apply at both the PreK-12 and postsecondary levels, although the particulars of accountability must differ for the two levels. While elementary and secondary standards work toward a set of knowledge and skills common to all students, postsecondary certificate and degree programs are based on student specialization in particular disciplines, so that multiple measures must be developed to address the various specializations. All postsecondary education institutions require their undergraduates to complete a common set of general education courses, which could serve as a foundation for accountability in common content areas. Postsecondary institutions should determine additional measures of accountability for undergraduate major and graduate subject matter areas, for which their respective faculty establish competencies. The Monterey Bay campus of the California State University has already proceeded to develop “major learning requirements” for each of its majors; those requirements warrant examination to identify the challenges that must be overcome to successfully make progress in this area.

Efforts to bring the postsecondary segments into an integrated accountability system should incorporate, yet move beyond the input measures traditionally used for accreditation and other purposes, measuring more fully the student and institutional *outcomes* that reflect State and institutional priorities. Included in these outcome measures should be labor market participation of graduates, such as those currently used by many business schools. They should provide information that assists consumers in making informed decisions on accessing postsecondary education, assists policy-makers in determining state policy and fiscal investment decisions, and assists institutions in their efforts to achieve continuous improvement. An expanded accountability system should build on the initial, but insufficient, accountability mechanisms that California already has put in place under the aegis of the Community Colleges Partnership for Excellence and the University of California and California State University partnership models. These models document enrollment, successful course completion, advancement to the next academic level within basic skill disciplines, workforce preparation, degree and certificate

attainment, and the achievement of university transfer. These partnerships should be expanded to incorporate the Legislature as a full member of the partnership between the Governor and each postsecondary education sector. In this regard, we further recommend:

**Recommendation 43.1 – The State’s accountability framework for postsecondary education should be improved by modification and expansion of the ‘partnership’ budget approach, currently applied to the University of California and the California State University systems, to include all postsecondary education, clarify the link between performance and funding, and adopt realistic alternatives for times of revenue downturns.**

**Recommendation 43.2 – The State should specify the set of indicators of student and institutional performance on which every public college and university must provide data annually, along with an implementation timeline.**

### *Summary*

The State has a responsibility to monitor the performance of public education institutions and, in the case of K-12 schools, is ultimately accountable for the proper use of public funds to ensure that every student is provided access to a high-quality education in a safe and properly maintained facility. As a practical matter, accountability for educational outcomes is, and should be, shared among a variety of people and entities. Holding these multiple actors properly accountable requires that their respective shares of responsibility be clear and broadly understood. The recommendations in this section of the Master Plan identify the major actors, delineate their responsibilities, and suggest ways in which they should be held accountable for their actions. Building a system of shared responsibility requires:

- Redefining the responsibilities of the Governor, the Board of Education, and Superintendent of Public Instruction (SPI) so that they are complementary to each other, and assigning ultimate responsibility for the public schools to the Governor’s Office.
- Clearly defining the powers and responsibilities of various state, regional/county, and local governance and administrative entities for all sectors of public education.
- Charging the SPI with responsibility for developing indicators of the opportunities for teaching and learning that are necessary to support high-quality education for every student, based on the elements of the California Quality Education Model, and with using those indicators to help parents and policymakers to interpret student achievement data.
- Promoting the use of locally developed assessment on a frequent basis, to provide teachers with information that would enable them to adjust their instructional strategies, prompt them to assess for potential learning disabilities, and/or help them refer students to supplemental support services, as needed.
- Requiring public postsecondary education to take actions that would result in a clear understanding of a set of learning outcomes are the students it enrolls expected to achieve and appropriate measures for evaluating the performance of its campuses.

- Incorporating data on student achievement into a state-level accountability system at all education levels.

In addition, serious attention should be given to examining the feasibility of using certain labor market outcomes as part of a system of indicators of the performance of education institutions, particularly for assessing the readiness of graduates of secondary and postsecondary institutions to successfully enter the workforce and engage in civic activities.

# Accountability for Learner Outcomes and Institutional Performance

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## The Context

In order to guarantee that students receive the high-quality education that is promised to them, accountability must be infused throughout California's education system. A meaningful system of accountability builds on clear expectations by providing a clear definition of the roles and responsibilities of all participants, evaluating the outcomes of efforts, and ensuring that consequences are attached to those outcomes as a means to influence their improvement.

Effective accountability requires the linkage of authority and responsibility throughout our system of education. In this context, accountability is fostered by clearly defining the responsibilities of each participant in the system, ensuring that sufficient authority is afforded

“It is important to focus on the consequences of programs, old and new, to keep uncovering their shortcomings so that the message gets through, and to locate those programs that do have positive effects and can be extended and expanded.”

-- Carol Weiss, 1989

each participant to carry out those responsibilities, and then ensuring that those responsibilities are carried out. Currently, efforts to improve accountability in public education are complicated by overlapping responsibilities among local, regional, and state entities and by a lack of alignment between the responsibilities assigned to various entities and the authority they have been provided to carry out those responsibilities. Every effort to solve the special problems that exist at different levels of our public education system in isolation one from the other is met with a stubborn reality – that the problems are not soluble until education is understood as a coherent process. How California structures and governs education is crucial to our commitment to infusing greater accountability in public education. This Plan clarifies what responsibilities should be assigned to what entities at the state, regional, and local levels.

On a daily basis, elected officials, agency heads, school district and campus academic leaders, professional educators and, most important of all, the citizens of California are being asked to pass judgment on a bewildering array of new

educational initiatives without the comprehensive, reliable, flexibly arranged, easily accessible, and timely data needed to make informed judgments. California collects a considerable amount of data on students, schools, and colleges; but that data collection is fragmented, and the data collected more directly serve the need to meet various state and federal reporting requirements than to evaluate the quality and effectiveness of public and private education in increasing student achievement.

A majority of Americans and Californians are calling for greater accountability for our public education system. Despite a growing ambivalence about the amount of testing that is taking place in public schools, the public still supports testing that measures student learning against a clear set of standards but dislikes any accountability system that relies too heavily on testing at the expense of broader-based evaluations of school performance. The public understands that testing provides a gauge for identifying significant strengths of schools that can be built upon, immediate needs that must be addressed, and eventual changes that it would be desirable to implement. Testing should not just monitor student achievement, it should also be used to advance teaching and learning in all schools.

Surveys of public opinion also reveal that efforts to develop accountability systems should take a positive view of public education.<sup>51</sup> There is little to be gained by giving in to the rhetoric of crisis and failure of schools. It is still the case that the very best students enrolled in American public schools compete well with the very best students in other nations. Rather, states should focus on long-term progress desired and study successful schools, learn what they are doing right, and seek to replicate those activities in other schools. In the minds of the public, money has much to do with school performance. They view school performance in three tiers: schools located in high income areas that are good to excellent; schools located in middle income areas that are fair to good but for which there is ample room for improvement; and schools located in low income areas that provide an inadequate education or that are in crisis. While they believe more money must be invested in public schools, they do not believe that money alone will make the difference; there must also be measures in place to hold teachers and administrators accountable for student learning. They also express a fear that accountability systems that build too tight a relationship between school performance and funding may have the unintended effect of displacing the goal of improving student learning for doing whatever it takes to attract additional money.

The goals of an education accountability system should be carefully considered before being implemented. Too often goals are only casually considered if they are considered at all. On the surface, the purposes of accountability appear to be self-evident: to identify and punish low performers and to provide rewards and incentives for higher performance. The more important objective, however, should be to derive consensus on what is meant by performance. What is it about education that is important to individuals, the State, and society at large? What are our expectations about effectiveness and efficiency? What about breadth of opportunity and depth of achievement? These are the questions that give accountability its deeper meaning, and efforts to collaboratively generate answers to them are what provide the 'buy-in' from stakeholders that ultimately will make or break any accountability system. The process of collaboratively defining what is meant by performance will also go a long way toward addressing another key impediment to change, lack of trust. Most stakeholders believe in their own capacity to set rigorous and fair standards but distrust the ability or will of others to do so. Hence, many stakeholders are reluctant to embrace any accountability system without detailed understanding of how it will affect their interests. Further, if they perceive too great an emphasis is being given to ways to punish low performance, they may actively oppose or seek to undermine any accountability system.

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<sup>51</sup> Educational Testing Service, *A Measured Response: Americans Speak on Education Reform*, (2001).



Another critical issue to address in any effort to establish accountability in public education is the question of who should be held accountable for what and to whom. No one actor can be held entirely or even largely responsible for any given outcome. The education process is simply too complex with too many actors. Key actors that must be considered include the following:

- Students – traditionally they have borne the full burden of educational outcomes. Either they applied themselves to learning or they didn't. Student failure to learn was due to either a lack of effort or a lack of intelligence.
- Peer groups – students are influenced significantly by the things their peer groups value. Students who work too hard to achieve can face rejection and/or ridicule from their peers. Who is responsible for peer influences? Parents? Students and schools? Culture?
- Teachers and faculty – recent studies have emphasized the role of teachers in facilitating student achievement at all levels of education. They have often been blamed for not having subject matter competence or poor pedagogical skills, when students have not achieve at desired levels. Such assignment of blame, however, ignores the fact that students have different abilities and dispositions for learning. A student who refuses to apply him/herself to learning will not achieve no matter how well prepared the teacher is.
- Schools and colleges – they also play a role in promoting student achievement. Do they provide adequate support and the tools needed by teachers to do an effective job of providing high-quality education opportunities to students? Is the curriculum relevant and aligned across grade levels?
- Government – all of the other actors in public education are influenced by the actions taken by federal, state, and local government. Whether resources are adequate to accomplish the educational standards adopted and whether goals are clearly understood are both affected by government decisions. Laws and regulations passed by federal, state, and local government largely shape what public education does.
- Business – it has traditionally been viewed as a customer of education and as having a responsibility to clearly communicate the knowledge and skills it wants in future employees. Increasingly business has also become a provider of education, offering training and professional development for its employees, and even developing courses and skill certifications that are offered to a larger audience. This role has made business a key player with an important responsibility to improve educational performance.

None of the actors in the foregoing list account for the influence, and consequent responsibility, of organized groups like labor unions, professional associations, accrediting bodies, and, in the case of postsecondary education, academic/faculty senates. What quickly becomes apparent is that an accountability system, to be effective, must be approached from the perspective of shared responsibility, with all stakeholders recognizing and accepting their share of responsibility for ensuring and sustaining educational improvement over time.

After careful consideration of the goals to be pursued and who should be assigned what responsibilities, it is important to decide what measures will be used to evaluate educational performance at the various levels. The goals pursued will largely define what measures are appropriate and valid for evaluating performance. The differing missions assigned to the various education providers will complicate the measures. Public school performance, for instance, can usually be measured against clearly stated academic content and proficiency standards with

either standardized or criterion-referenced test instruments. However, postsecondary education providers usually do not have a common body of knowledge that is expected to be taught to every student, have multiple majors with unique competency requirements, have faculty who are responsible for generating new knowledge as well as disseminating current knowledge, and so on. Compliance audits and program or policy reviews have been typical ways in which states have attempted to hold postsecondary institutions accountable. The differences in accountability approaches and educational missions mentioned previously underscore the need to consider multiple measures, including qualitative measures, tailored to the particular education outcomes desired and to particular types of education institutions. Not every desired outcome can be easily quantified.

Performance depends on both motivation and capacity. If a person or institution is unmotivated to perform at high levels, no amount of capacity-building will make a difference. Conversely, if a person or institution has only limited capacity to perform at high levels, no level of motivation will yield the desired performance level. Effective accountability systems must consider both intrinsic and extrinsic incentives that can be provided to individuals and institutions to motivate them to use their capacities more effectively, as well as to help them build their capacities when they are insufficient to achieve the desired performance levels.<sup>52</sup>

Key concerns in designing an accountability system for public education should include at least the following:

- Are the desired outcomes clearly stated and measurable?
- What are the barriers to achieving the desired outcomes; what are the obstacles that must be overcome?
- What tools, strategies, and/or resources are available to help bring about the desired changes?
- Who are the key actors needed to implement the accountability system; which of them have roles in maintaining the status quo?
- Are the desired changes easy to implement or will (they) require experimentation, innovation, and learning, to accomplish?
- Is it acceptable to have change occur incrementally over time, or is rapid, radical change needed in a shorter time period?

Finally, it is important to make provision for holding the accountability system itself accountable for achieving the objectives for which it was designed, just as students and education providers are held accountable. Even the best-designed accountability system cannot be expected to anticipate and account for every aspect of the education enterprise. It may need to be periodically refined. This fact should not be interpreted as a need for the system to be modified annually. Change takes time, and policymakers must be patient to allow the accountability system to take root and to collect sufficient data to adequately inform an evaluation of progress.

<sup>52</sup> Paul E. Lingenfelter, "Focus on Educational Accountability," *Network News*, SHEEO, Volume 20, No.3, (November 2001)

California has made significant but insufficient steps to instill greater accountability in its public schools. Beginning in 1998, the State Board of Education began adopting a set of academic content standards for all of its public schools. The standards specify in detail what should be taught at each grade level in the areas of mathematics, English/language arts, science, social science, and the performing arts. For the first time, there is no ambiguity about what is to be taught to all students enrolled in public schools. Until adoption of these standards, schools throughout the state offered courses that carried the same or similar titles but with content that differed radically. The consequences of this legacy have been evident in both the differential performance of students on standardized assessment instruments and students' differential eligibility for admission to the California State University and the University of California. It has also been evident in the persistence of demand for remedial instruction by students admitted to California State University and University of California campuses, students who have distinguished themselves from their peers by being among the top one-third or one-eighth of all public high school graduates in the state, respectively.

State policymakers are currently in the process of completing a determination of the level of proficiency desired from all students in each of the content areas. This determination is an important next step, as it sets the benchmark against which judgments will be made about the adequacy of student achievement as measured by the State's mandated test instrument. Although proficiency standards are expected to be high in each area, there is no expectation that student performance will, or should, yield a normal-curve distribution of student achievement. Rather, it represents the benchmark that public schools are striving to achieve with all students and against which decisions will be made about the resources needed to achieve that goal. Unfortunately, California erred in its decision to impose use of a standardized test, the Stanford Achievement Test Version 9 (SAT-9) as the measure of student achievement. That decision was motivated more by political considerations than by the alignment of the test items with the content the State decided should be taught in every public school. The consequences of this decision were predictable: initial student performance results on the SAT-9 were disappointing, complaints about the inappropriateness of the test have been shrill and increasing, and judgments about school performance have been made on the basis of faulty data. Efforts are underway by Department of Education staff to augment the SAT-9 test with what are being referred to as standards-based test items that are aligned to the adopted academic content standards.

In 2000, the Governor proposed and the Legislature adopted a series of incentives to further the cause of accountability for public schools. These incentives included monetary rewards for schools and school personnel that meet or exceed performance targets set for each school. It also included disincentives for low-performing schools, ranging from removal of the principal for persistent low performance to identification of schools required or invited to participate in the Intensive Intervention-Underperforming Schools Program (II-USP). Schools participating in the II-USP program, whether voluntarily or involuntarily, are required to develop plans and strategies for improving student achievement within a designated time period or risk state take-over. One unintended consequence of these incentives has been the perception by teachers of increased pressure to 'teach to the test,' even though the dominant test at the time (SAT-9) bore little relationship to California's academic content standards. More time has been devoted to

teaching test-taking strategies and, in some more extreme cases, altering student test scores or compromising the security of the test itself in an effort to boost student scores. The transition to the standards-based test items should alleviate some of this concern and redirect teacher attention to teaching the content standards since they are what the test will be assessing.

Another unintended consequence of the State Testing and Reporting (STAR) system has been heightened pressure on principals, since they alone have been subject to removal if school performance did not improve significantly. There was no provision initially to grant principals the authority to remove or reassign teachers who were ineffective in promoting student achievement. Union-negotiated contracts that protect teacher employment and restrict reassignments on the basis of seniority further complicate the situation. This fact has hindered California's efforts to attract and retain qualified school leadership, because prospective administrators understand that they will be held accountable for outcomes which they will not be able to influence through exercising management authority.

Yet another impediment to effective accountability in public schools is the confusion of roles and responsibility for governance and oversight. California has four state-level oversight entities, without clear delineation of which is responsible for what, creating confusion for local schools and districts about what objectives they are expected to pursue – particularly when the interpretations and directives from these state entities are not always in alignment with or even complementary to each other. The result is an environment in which local districts and schools simply 'shop around' for an interpretation consistent with their current disposition for action. The state entities are: (1) the Governor, who appoints all members of the State Board of Education, promulgates an annual budget that sets forth priorities for education, and nearly always is the final arbiter of differences of opinion about education policy due to his line-item veto authority; (2) the State Board of Education, which is by law the policy-setting body for public schools but which has very limited ability to ensure its policies are implemented; (3) the Superintendent of Public Instruction, an elected constitutional officer who manages the California Department of Education (CDE) staff, and who has little formal policy-setting authority, but influences policy through its implementation; and (4) the Secretary for Education, originally created by former Governor Pete Wilson in 1991 by executive order as the Secretary for Child Development and Education, with a small complement of staff whose duties are largely duplicative of those in the CDE.

This confusion of roles and authority among the various state oversight entities more often than not contributes to finger pointing rather than constructive approaches to problem solving. This result is particularly the case when school performance falls below desired levels. Such finger pointing sends mixed messages to local districts and schools as to the State's priorities for student achievement and institutional performance. An additional layer of complexity exists when the role of county offices of education is factored in. By constitutional provision, every county has a county superintendent of schools and a county board of education, the responsibilities of whom are minimally specified in statute. In addition to approving the annual budgets of individual school districts, they have also accrued over time the role of providing support and technical service to local districts, directly providing some educational offerings in the instance of small school districts, and serving as an appellate body with regard to local family disagreements with district decisions. All but five counties have elected county superintendents.

The responsibilities of county superintendents are specified in statute. In this confusing environment of overlapping responsibilities, it is virtually impossible to hold any individual or entity accountable overall for school or district performance.

Establishing an effective accountability system for public postsecondary education has been even more elusive than for the public K-12 system. This fact results in part from the different missions assigned to each of the systems and, in part, from the differing structures of each of the systems. There is no common body of knowledge for which consensus exists about what is expected to be taught to every student enrolled in a public college or university. As a consequence, there has been no basis for establishing a measure of student achievement; and the State has had to rely on auditing compliance with state mandates and guidelines, such as admission of freshmen from among the top one-third and one-eighth of high school graduates (for the California State University and University of California systems, respectively), enrollment numbers, admission and enrollment of underrepresented student groups, numbers of transfers, and degrees awarded. Even these measures of student achievement are little more than ‘snapshots,’ since they are not specifically linked to unique students or cohort groups.

In 1998, the California Community Colleges advanced a bold proposal to break this logjam by offering to provide data on specific student outcomes, aligned with its missions, in exchange for increased state financial investment. This proposal, known as the Partnership for Excellence (PFE) Program, was billed as a ‘pay for performance’ program in which the California Community Colleges Board of Governors would define a set of discrete objectives for numbers of students achieving transfer readiness, numbers of students actually transferring to baccalaureate degree-granting institutions, success of remedial education programs, percentage of students earning associate degrees and certificates, and increases in numbers of students served in workforce preparation programs. The laudable intentions of the PFE program were frustrated by the failure of the State to maintain its commitment to augment the community college’s budget by the expected amount, and a budget allocation process within the Chancellor’s Office that resulted in PFE money being distributed to each college as an entitlement rather than a reward for performance. In some ways, this outcome should have been predictable. The community colleges are required by statute to submit all policy and budget issues to consultation with a prescribed group of community college stakeholders. Moreover, constitutional provisions define the community college Board of Governors and its Chancellor’s office as state agencies, while designating local college districts as local education agencies. As a consequence, any policy directive from the Board of Governors directly, or through its administrative staff (Chancellor’s Office), is subject to a ruling by the Department of Finance (DOF) on additional cost requirements. If the DOF determines that costs would be incurred to implement the state mandate, the Chancellor’s Office is prohibited from enforcing the mandate, effectively neutralizing any directives by the Board of Governors. Under these circumstances, accountability continues to be elusive within the community college system.

Imposing accountability for student learning or any other desired outcome on the University of California is also elusive, but for very different reasons. Since being designated as a public trust in the California constitution in 1879, the University of California has been exempt from direct control by the Legislature or the Governor. Any policy priority of the Legislature, as expressed in statute or resolution, is regarded as binding only if the University of California Regents, by

resolution, agree to adopt or concur with the State's priorities. The University of California is a land-grant university and has an ethical obligation to be responsive to public needs. However, the 1879 constitutional convention sought to insulate the University from the vagaries of crass political manipulation by granting it constitutional status – a move that most observers agree has generally been a benefit to both the University and the State. It also has been an impediment at times to the State's efforts to obtain information on how public funds are being expended to achieve state goals and priorities, prompting legislative efforts to use other policy and budget mechanisms to leverage greater responsiveness to state interests.

The California State University is neither protected by the state constitution as a public trust nor affected by the separation of state and local education agencies as the community colleges are. Consequently, it has been subject to far greater control by the Legislature in the conduct of its affairs and deployment of its budget. This fact has generated great stress within the California State University system over the years and prompted a concerted effort by the Board of Trustees to achieve increased flexibility in the conduct of its affairs in exchange for being held accountable for providing evidence of the system's responsiveness to and achievement of state policy priorities. In the minds of some policy observers, the California State University's success in this regard has also spurred old aspirations to acquire a status more akin to that of the University of California.

California has had very little control over the operations of not-for-profit independent colleges and universities, despite the fact that they have been viewed as a vital component of the state's postsecondary education system. An attempt to incorporate these institutions in statutes to rid the state of private, for-profit 'diploma mill' institutions in 1989 was successfully resisted. Independent colleges and universities have argued that regional accreditation standards offer sufficient evidence of institutional quality that it is neither necessary nor desirable for the State to impose additional statutory or regulatory burdens on this sector. Nonetheless, these institutions have sought to be cooperative with the State and the efforts of the California Postsecondary Education Commission to gather and maintain data on postsecondary education outcomes. Highly prescriptive statutes have been enacted, however, to regulate the operations of private for-profit postsecondary institutions both to restore integrity to the degrees offered by these institutions and to protect Californians from fraud. The State has never achieved success in bringing these for-profit institutions into the fold as full-fledged members of the California's postsecondary education community.

For these and other reasons, including the various missions of public, private, and independent postsecondary institutions, and selectivity differences in assembling their respective student bodies, building an effective accountability system for postsecondary education has been a true conundrum for California. In response to the fiscal crisis of the early 1990's, both the California State University and University of California systems collaboratively entered into a "compact" with the Governor at that time to stabilize their funding in exchange for a commitment to meet certain performance goals. They have since renewed that effort with the current Governor in what have come to be known as "partnership agreements." While these agreements have been a step in the right direction, they have had two primary weaknesses: they have not been publicly discussed and reported widely, and they have failed to include any measures of student learning.

## The Vision

We envision an education system in which student achievement will not be left to chance or ‘innate’ intelligence, which will not tolerate sorting of students into tracks in which less is expected of some students than others, and which will categorically reject the notion that student achievement must be distributed along a bell curve. California would build and sustain an education system that would hold itself collectively accountable for the achievement of all students at or above a common standard; collect and analyze data regularly to evaluate the strengths and weaknesses of its education providers; direct resources to build capacity in schools, colleges, and universities performing below desired levels; encourage replication of effective practices; and allow flexibility in the approaches taken by education institutions to achieve desired outcomes.

Our accountability system would have clear statements of a limited set of goals for each level of education provided in the state. We reaffirm our belief in, and commitment to, brokering federal, state, and local resources to ensure that families would have access to resources to provide nourishment, health care, and stimulating experiences for their young children so that they would be ready to learn upon entry to formal schooling. Elected officials would routinely ask for and analyze data on the numbers of poor families with children in California who were not receiving health care and early developmental screening to detect potential impediments to proper child development. Incentives would be provided to health and child care providers to collaborate with each other to reach unserved families with children residing in neighborhoods served by low-performing schools.

We would begin a process of expanding access to preschool for all families who desire to take advantage of it and would make full day kindergarten a requirement for all children of compulsory attendance age. We would phase in these educational services both to better manage the cost of implementation and to ensure particular attention to the improvement of the educational opportunities for students residing in neighborhoods served by our lowest performing schools before extension of those benefits to families served by higher performing schools. We would regularly review data on the achievement of students who participate in preschool and extended day kindergarten to determine how their achievement compared with that of their peers who did not participate in these services. We would also review data on the qualifications and experiences of the teachers of these students and note where additional school capacity might be required. We would require that all students enrolling in kindergarten undergo developmental screening, or have parents provide evidence that such screening had already been conducted, to ensure that any disabilities that might impede learning were identified early and appropriate interventions prescribed.

We would adhere to our academic content standards, establish desired proficiency levels for each area, strengthen our teacher preparation programs to ensure all new teachers have the content knowledge and skills to teach to those standards, complete development of criterion-referenced assessment instruments to measure student achievement, and routinely mail school report cards to parents of enrolled students. These report cards would contain information on student achievement, and average school, district, and state achievement results. We would expand the

School Accountability Report Card to include in it indicators of the ‘opportunities for teaching and learning’ that are provided in the schools and include these indicators in the Superintendent of Public Instruction’s reporting of the Academic Performance Index, and thereby assist parents in understanding both the achievement of their children relative to the opportunities provided to them, and the opportunities their children receive in comparison to the opportunities indicators that derive from the California Quality Education Model. We would direct local districts to carefully monitor student achievement data and expenditures at each school under their jurisdiction but would require annual submission of only a limited set of data on student characteristics and achievement, personnel characteristics, and status of compliance with state standards. We would identify a clear set of progressive interventions to be implemented based on evaluation of institutional performance. For low-performing schools, emphasis would be given to assessing the balance between institutional capacity and motivation. Early interventions would be aimed at increasing institutional capacity, while more severe interventions would involve dissolution of district or school leadership and appointment of new supervisory teams drawn from local constituencies and monitored by regional offices of education on behalf of the State. For high-performing schools, early interventions would focus on public recognition of schools and/or districts and listing of them as a referral for technical assistance in replicating effective practices. Continuous high performance would be rewarded with supplemental appropriations to districts/schools to enhance professional development, capacity to provide technical assistance to other schools, and improvement of teaching and learning conditions.

We envision making substantial progress in our efforts to measure student achievement in a common body of knowledge taught by all postsecondary education institutions, allowing for locally defined measures unique to our community colleges, California State University, and University of California systems. Each of our public postsecondary education systems would agree to use a modified high school exit examination as a basis for determining readiness of high school students to enroll in collegiate courses within their sector. The exam would be administered in the 11<sup>th</sup> grade year, and each system would determine an achievement score appropriate to expectations of student readiness. High school students interested in attending the California State University or the University of California, but not achieving high enough scores on the exit exam, would focus their efforts in the 12<sup>th</sup> grade to achieving the necessary levels of proficiency, and eliminating any need for remedial instruction upon college enrollment. Both the California State University and the University of California systems would provide assistance to high schools by training successful undergraduate and graduate students to provide learning support to high school students and/or encouraging them to engage in service learning activities as part of their curricular requirements. Local community colleges would provide opportunities for high school seniors to enroll concurrently to further strengthen their readiness for college or university enrollment and to accelerate their progress toward earning collegiate certificates or degrees. All three public sectors of postsecondary education would routinely provide feedback to high school principals, and to English or math department chairs as appropriate, data on the academic performance of their graduates in English and math courses completed at their respective system campuses.

We would establish a transfer associate degree program that would smooth the transition of community college students to the California State University and the University of California systems, or to California’s independent colleges and universities with minimal or no loss of time



or credits. The academic senates of the individual system would collaborate to revise and enhance the charge of their voluntary Intersegmental Council of Academic Senates to take the lead in efforts to align courses among the systems and class levels and to promote efficient updates when course content were revised to reflect new knowledge generated through the research of their peers. Faculty within the University of California and the California State University systems would strengthen their collaboration with each other to articulate graduate programs at the masters and doctorate levels as a means of recruiting students from underrepresented groups into, and expediting their completion of, advanced degree programs. While limiting their initial efforts to masters and doctoral programs within the same discipline, they would be prompted by the potential benefits to students to next turn their attention to opportunities for articulating graduate programs across disciplines.

We would clearly communicate the state expectation that adult education programs are intended to equip adults with skills and knowledge to be self-sufficient. A set of indicators would be in place permitting regular evaluation of the effectiveness of adult education programs. We would ensure that adequate funding would be provided to support provision of basic educational skills, English literacy and proficiency, vocational preparation, and civics in every adult education program. Establishment and modification of standards and measures for adult education performance would be located within the Department of Education, and adult education services would be delivered by high school districts independently or in collaboration with local community colleges and community-based agencies. Adult education providers would also collaborate with the State's Labor and Workforce Development Agency, which would be assigned primary responsibility for public and private workforce preparation programs, in order to ensure coordination and alignment of training production and workforce demand. Adult education programs would also be customized throughout the state by augmentation of services in the previously mentioned priority areas with other courses and training needed by adults in local communities to become self sufficient and productive members of society.

Beyond their traditional goal of providing broad access to postsecondary education, state officials would also be clearly focused on ensuring the success of those students who chose to enroll. To further this end, the California Community Colleges, the California State University, and the University of California systems would be required to annually submit all data required by the National Center for Educational Statistics and a limited set of additional data on desired student outcomes and characteristics, personnel characteristics, expenditures, and compliance with state standards. All required data would be reported by unique student identifier, to enable longitudinal monitoring of student outcomes and would be consistently submitted to the State's intersegmental education commission. Independent and private colleges and universities would be requested to submit similar data and, for certain key data on student outcomes, we would condition continued eligibility to participate in the State's financial aid program on compliance with this request.

We would take steps to better ensure quality in the educational offerings of private, for-profit institutions offering degrees, by transferring oversight and program approval to the State's postsecondary education commission. We believe this step would be necessary to ensure that students who chose to enroll in these institutions received an education of a quality equivalent to that of public and not-for-profit, accredited independent institutions and to facilitate transitions,

with minimal or no loss of credits, between and among all postsecondary education institutions approved to operate in the state. This accomplishment would not only provide greater equity in expectations for quality but would contribute to a more efficient postsecondary education enterprise by relieving some of the demand for enrollment in public institutions. The State's intersegmental education commission would monitor data on student outcomes in each type of institution and advise the Legislature and Governor of any trends indicating a need for increased scrutiny and of practices associated with high performance that might warrant replication and should therefore be disseminated.

We would anticipate the educational needs of Californians in the future by charging the State's education commissions to regularly engage in long-term planning, using comprehensive educational and demographic data as a basis for that planning. The education commissions would also collaborate with the Department of Finance's Demographic Research Unit to incorporate the unit's forecasts of California population trends and progression through public schools, and with the Governor's chief state education officer to evaluate the effectiveness of state policy intended to improve education outcomes and coordination.

### *What is Needed?*

For many, the concept of accountability is limited to the acts of measuring, reporting, and responding to schools' and students' test scores. Once scores are reported, the schools or students are 'held accountable' through systems of rewards and sanctions, or perhaps simply publicity. Significantly, such accountability most often flows in a particular direction; students, and then their teachers and parents, are likely to be 'held accountable' by school boards, the State, or the public. There are few mechanisms for students, teachers, or families to hold accountable anyone else with responsibility in the education system. The current statewide Academic Performance Index (API), School Accountability Report Cards (SARC), and the Intensive Intervention/Underperforming Schools Program (II/USP) are the State's first steps toward a useful accountability system that can support education in California. They should be continued and refined to enhance their effectiveness in identifying student needs and resource deficits and promoting improvements in teaching and learning.

Even within this narrow conception of accountability as measurement and response, California must expand its view to a system of shared accountability in which improved learning results are tightly linked to improved conditions for learning. Systemic, shared accountability includes those things that the State and school districts are responsible for providing to ensure a high-quality education for all students as well as a regular review of data to *evaluate* school offerings and use of resources to promote student achievement.

Once the fundamental prerequisite for accountability - linkage of authority with responsibility - has been met, there is still the question of how effective discharge of that responsibility can be compelled. At both the state and local levels, of course, the voters have the ultimate power to act on their judgment of the performance of elected representatives and officers. This Plan describes a structure that ensures that the public will be provided complete information regarding that performance. Moreover, within government, the Legislature and Governor share the power that comes with budgetary authority: the ultimate sanction at their disposal is simply to reduce or

eliminate funding for entities or officials that are not performing satisfactorily. However, reducing funding for a low-performing school district, for example, is not generally a constructive approach; doing so merely further impairs the district's ability to perform and is contrary to the priority placed on promoting student achievement in this Plan. More often, a curtailment of discretionary expenditure authority is a more effective basic approach – that is, rather than taking away a portion of a school district's (or other entity's) funding, the Legislature and Governor, or an authority acting pursuant to their instructions, can sequester an appropriate amount of that district's funding and direct how it must be expended to improve a specific aspect or aspects of the district's performance. Discretionary expenditure authority can then be restored when the district's performance has improved. Accountability's real task is completed, in other words, not when blame is assigned for failure or punishment is meted out, but when accountability mechanisms lead to changes that foster adequate learning opportunities and improved outcomes.

### **Governance – Aligning Responsibilities, Authority, and Accountability**

#### **State-Level Pre K-12 and Adult Education**

The structure of California's state-level governance of K-12 public education is one that has no clear lines of accountability due to multiple entities having overlapping responsibilities. Key players in the state-level governance of the public schools include:

- *The Superintendent of Public Instruction (SPI)* – this position is one of seven statewide elective offices specified in California's constitution. The responsibilities of the SPI are specified in statute, but the SPI is commonly expected to serve as the chief advocate for public education and manager of the State Department of Education. The SPI is also believed to be directly accountable to the people of California by virtue of the fact that the Superintendent is an elected officer.
- *The State Board of Education (SBE)* – this 11-member board is appointed by the Governor and has responsibility for setting policy for the State's public schools. The SPI serves formally as secretary to the SBE but is not considered staff to the board. The SBE maintains a nominal staff of its own to handle its business.
- *The Secretary for Education* – originally created by former Governor Pete Wilson in 1991 as Secretary for Child Development and Education, this position has never been formally established by constitutional provision or statute. Current Governor Gray Davis has continued the position but dropped the 'Child Development' portion of the title. Over time, there has been a gradual accretion of authority assigned to the position as well as an increased amount of responsibility for program administration and policy interpretation on behalf of the Governor.
- *The Governor* – by virtue of the budget authority assigned to this office, the authority to appoint members of the SBE, and selection of the Secretary for Education, the Governor has significant influence over what public education can do. In addition, the Governor is

nearly always the final arbiter of policy priorities by virtue of the veto authority assigned to the position.

Local education leaders cite the existence of these multiple entities, each of which have a significant impact on education policy, and the lack of a clear delineation of roles among them, as impeding accountability for public education. Irrespective of the extent to which this is true, it is important to note that schools may receive state-level directives and advisories from each of these sources.

Any governance structure that is recommended to provide meaningful accountability at the state level must be sustainable. The scope of authority of several of the entities cited above has continually evolved over the past two decades. An effort to establish offices and delineate duties therefore must anticipate the abilities of various offices to redefine roles or insulate the system against such redefinition. In particular, the significant level of constitutional authority that rests with the Governor – as demonstrated by Governors’ creation and expansion of the Office of the Secretary for Education – has allowed the Governor to have an impact the other three and consolidate policy-making authority with offices under its control.

The interests and will of the electorate must also be considered in developing governance structures. Clearly, Californians support having an elected representative whose exclusive focus is education. With one exception, every significant state-level review of K-12 accountability has recommended that the office of Superintendent of Public Instruction be made appointive, but the State – either through action by its representative government or direct vote of the electorate – has been unwilling to act to implement that recommendation.

Accountability can be substantially increased, even in the context of multiple state-level entities with authority for education, by aligning the operations of the State Board of Education and certain aspects of the Department of Education with the Governor. We therefore recommend:

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## **Recommendation 26**

**Authority over the operations of California’s PreK-12 public education system at large, and ultimate responsibility for the delivery of education to California’s PreK-12 public education students in particular, should both reside within the Office of the Governor. The Office of the Governor should have authority to implement the following functions, as assigned to its various sub-entities by the Legislature:**

- **Apportion resources to schools to support teaching and learning, pursuant to statutory and budgetary direction;**
- **Manage the state financial accountability program and school district fiscal audit reviews;**
- **Establish education standards and other learning expectations for students and a process for periodic review and modification of those standards and expectations;**

- **Adopt K-8 textbooks (a function constitutionally assigned to the State Board of Education);**
  - **Establish developmentally appropriate program and operating standards for early childhood education and require continuity between the academic guidelines, standards and curricula for preschool and kindergarten;**
  - **Administer school improvement programs; and**
  - **Promote an understanding of effective uses of data to improve student learning.**
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The committee's working group on Governance gave considerable attention to the linkage between the K-12 management function, currently residing in the Department of Education – which is under the direction of an independently elected Superintendent of Public Instruction – and the Office of the Governor. We view this linkage as essential, since the Department of Education is responsible for so many crucial education administrative functions. The absence of a clear administrative structure has led to confusion and mixed messages communicated to county offices of education and local school boards, particularly when administrative functions are not implemented satisfactorily. Assurance of equitable opportunities for learning and achievement of all students requires that lines of accountability lead clearly to the Governor. To further clarify structures, roles, and responsibilities, we also recommend:

**Recommendation 26.1 – The Governor should appoint a cabinet-level Chief Education Officer, to carry out, on behalf of the Governor, all state-level operations, management, and programmatic functions, and to serve as the Director of the Department of Education.**

**Recommendation 26.2 – The Governor should continue to appoint, with the consent of the State Senate, the State Board of Education. The Board's members should be drawn from and represent distinct geographical regions, and should reflect the ethnic and gender diversity of the state's populace. The functions of the State Board of Education should be limited to state policy matters specified by the Legislature.**

**Recommendation 26.3 – Once management of the California Department of Education has been transferred to the Governor's office, the separate executive director and staff of the State Board within the Department of Education should be eliminated.**

A healthy and complementary relationship can exist between the Governor's Office and a Superintendent with a newly defined set of focused responsibilities that will benefit all public school children. Hence, we recommend assignment of all functions related to non-fiscal accountability to the SPI position that will enable the SPI to provide an independent and informed voice on behalf of students and their families in the annual budget and legislative deliberations that affect public schools.

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## **Recommendation 27**

**The Superintendent of Public Instruction should remain an elected position and be responsible for all aspects of accountability for public education other than fiscal accountability. The Superintendent should exercise the following functions related to accountability in California’s K-12 education system:**

- **Provide for and manage a comprehensive accountability system of student and institutional measurement, to include indicators of the opportunities for teaching and learning, outputs, quality of information, and governance/policy instruments that aim to ensure adequate and equitable provision of education;**
  - **Ensure compliance with special education and civil rights law by all relevant participants in the education system.**
  - **Monitor the impact of state policy on the success of local K-12 programs in fostering student achievement;**
  - **Monitor the implementation of state and federal programs to ensure that they meet the needs of all targeted students;**
  - **Provide public identification of schools that have failed to meet student achievement targets;**
  - **Define and implement the processes for intervention in schools that fail to meet student achievement targets pursuant to state and federal laws;**
  - **Serve as an advisor to the Legislature and the Governor and as an advocate to promote the State’s Master Plan for Education and system accountability; and**
  - **Act as the independent spokesperson of California’s populace, and of students in particular, in public discourse on educational issues.**
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## **Local-Level PreK-12 and Adult Education**

Historically, Californians and their policy-makers have supported a significant degree of local control over the delivery of K-12 education. County superintendents and county boards of education were constitutionally created to provide support and oversight to communities on behalf of the State. School districts were statutorily created and given significant responsibility to determine the policies and programs that could best meet the state’s constitutional guarantee of elementary and secondary education in the context of local conditions. The scope of responsibility of these local governing entities has been significantly narrowed over time, in conjunction with the State’s assuming a greater share of the fiscal burden of providing K-12 education and in response to local districts’ uneven provision of educational opportunity, among other factors.

The ways in which local control is exercised have also been altered since the advent of collective bargaining between school boards and their unionized employees. While the governmental institution of K-12 public education has evolved in important ways since that time – for example, in a consistent trend of court cases that found the State has a basic responsibility for the operation of public schools that it cannot entirely delegate to local school districts – the role and scope of collective bargaining have not been comprehensively reconsidered in light of that evolution.

Many advantages obtain from a significant degree of local control. Local agencies are in a position to clearly identify the distinct and diverse needs of their students and communities, and to modify the educational program to best meet those needs. Local decision making – including policy development and the determination of fiscal priorities – enhances the access of citizens to the policy functions of government, and through that access can enhance the involvement of and support in educational processes by the communities they serve. Further, the availability of differences in local programs offer families the opportunity to seek the education that they desire for their children. For these reasons, an appropriate measure of local control should be firmly reestablished.

Local control – in the context of a state guaranteed education – can best be maintained by a clear delineation of the roles and responsibilities of the various local entities. In addition, the State should foster a configuration of local entities that leads to the optimal support of students' learning needs, maximizes educational effectiveness, and promotes efficiency. Toward these ends, we recommend:

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### **Recommendation 28**

**Local school district governing boards should be assigned the policy and administrative authority and a set of management responsibilities to enable them to effectively operate schools that are responsive both to state-level standards and policy priorities and to local community needs. These responsibilities should include, but not be limited to, the following:**

- **Establish a vision for the goals and objectives the district;**
- **Develop and adopt district policy on how best to implement local, state, and federal goals and requirements for the PreK-12 system as a whole, within the local context;**
- **Recruit/select highly qualified individuals for senior leadership positions;**
- **Ensure that the district superintendent is meeting the vision, goals and performance objectives of the district, and ensure that the superintendent holds district personnel accountable;**
- **Adopt a fiscally responsible budget based on the district's vision and goals, and regularly monitor the fiscal health of the district;**
- **Allocate available resources within the district so as to balance baseline equity—appropriately staffed, safe, clean, and decent schools for all students—with targeted additional resources pursuant to special funding categories described in the California Quality Education Model;**
- **Establish a framework for the district's collective bargaining process, in the instances in which bargaining is used, and adopt responsible agreements that reflect the interests of the public;**
- **Adopt district curriculum and monitor student progress;**
- **Provide support, as necessary, to ensure the success of schools within the district;**

- **Collaborate and seek sustained positive partnerships with other non-education elements of local government, local employers, postsecondary education institutions, and community organizations; and**
  - **With particular regard to middle and secondary grades, maintain constant institutional emphasis on locally tailored efforts to achieve and maintain high rates of pupil attendance.**
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Evidence and testimony reviewed reveal numerous local school districts that are operating efficiently and effectively in promoting the achievement of students. Unfortunately, testimony and data received indicate too many schools and school districts have not been as effective in promoting student achievement as California needs them to be. This unevenness in school/district performance is of great concern. Some of it can be addressed by assigning a set of responsibilities and authority to local school boards that are clear and aligned with the goals California has set for its public education system as a whole. The foregoing list highlights those responsibilities that have emerged as the most important to successful implementation of this Plan.

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## **Recommendation 29**

**The State should take steps to bring all school districts into unified PreK-12 structures.**

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District governance structures should support the objectives of focusing on meeting student needs and enhancing student achievement. Such focus is necessarily served when the governing board has responsibility for the comprehensive educational interests of the students in its charge, as opposed to each student's interest for a limited portion of his or her experience. By contrast, our public schools are governed by a variety of structural arrangements, many of which perpetuate isolated approaches to education delivery within a particular sector, rather than the more aligned and collaborative approach advocated in this Master Plan. At the state level, this student focus is supported by the development of academic standards, which should inherently provide a certain level of curricular alignment among districts. However, our vision of a coherent system of schools, colleges, and universities would be fostered by the adoption of unified school districts throughout the state. The unified district approach reinforces the goal of achieving course alignment and articulation across grade levels. The Education Trust has provided data indicating that other states pursuing reforms aimed at improving student achievement have been most successful when they have chosen a unified PreK-16 approach.

**Recommendation 29.1 – The Legislature should develop fiscal and governance incentives to promote local communities organizing their local schools into unified districts, and should eliminate all fiscal and other disincentives to unification.**



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## **Recommendation 30**

**Local districts should, where appropriate, consolidate, disaggregate, or form networks to share operational aspects, to ensure that the educational needs of their students are effectively met and that their operational efficiency is maximized.**

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In many areas of the state, small schools and small district school boards work together well to effectively promote student achievement. At the same time, many small districts are unable to realize the cost-efficiencies that come with larger populations, to extend to all their students the opportunities envisioned by this report as constituting a high-quality education, or may expend limited, valuable resources on business functions that might be more efficiently consolidated with those of other districts. Conversely, larger districts, which can maximize cost-efficiencies and opportunity, are often criticized for being dissociated from the communities they serve, as a simple result of their size. California students should benefit from district sizes that are designed to support optimal levels of student achievement. Types of district consolidation and networking may need to be different for purposes of educational program delivery and for business operations. The committee does not yet have sufficient data to recommend a particular array of options in this regard. We therefore recommend a process be undertaken to identify and implement these options, including appropriate incentives and disincentives, pursuant to the following recommendations:

**Recommendation 30.1 – The Legislature should undertake a comprehensive study to determine the optimal size ranges for school districts with respect to both educational delivery and the conduct of business operations. The study should additionally identify a range of funding considerations that are based on size and structural options and that could be appropriately leveraged to attain optimal conditions.**

**Recommendation 30.2 – Each county committee on school organization should review the findings of the study and should have a period of three years to develop and recommend local plans and conduct local elections that would implement the findings of the study for all school districts within its jurisdiction.**

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## **Recommendation 31**

**Local districts should be provided the opportunity to exercise a degree of firmly established local control, protected from encroachment by state laws, through an amendment to the state constitution permitting those districts to adopt limited ‘home rule’ authority by votes of their electorates in a manner similar to that long authorized in the constitution for cities and counties.**

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Although local control is strongly favored politically, the Legislature nevertheless can and does frequently create new laws controlling various topics that had previously been matters of local discretion. A constitutional ‘home rule’ provision for school districts could limit that problem, by giving local districts the ability to develop their own “ordinances” that would supersede state law in specified areas. To be successful, a ‘home rule’ provision would have to very carefully spell out a limited set of matters which districts could control and clearly exclude areas of State interest, such as standards and accountability, compliance with civil rights and special education laws, etc.

To avoid legal confusion that might result from different ‘home rule’ ordinances on the same subject matter in districts with overlapping boundaries, the ‘home rule’ authority would necessarily be limited to unified districts – but could then function as an incentive to unification.

The concept of ‘home rule’ inherently enhances the relationship of the local electorate to its governing board, since the operational provisions granting ‘home rule’ must be adopted, and can only be amended, by the vote of the district’s citizens. Governing boards can be still more responsive to local educational priorities, and can be held more accountable by local electorates, when they are able to generate revenues locally and can demonstrate a direct connection between a revenue source and specific services. Therefore, the scope of authority of ‘home rule’ districts should include the new local taxation authority proposed in this report (see Recommendation 46).

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## **Recommendation 32**

**The Legislature should initiate a state-level inquiry to examine the optimal size of county offices of education, the potential transition of county offices of education into regional entities, and the efficiencies that might be realized from the consolidation of various operational aspects of county offices to organize their services to meet current and emerging district and regional needs, including fiscal oversight and management and administrative assistance. Based on the findings of this inquiry, the Master Plan should be amended, as appropriate, to incorporate action based on the findings of this inquiry.**

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California’s public school system is too large and complex to be effectively managed centrally at the state level. There are local needs that are best met and oversight functions that are best carried out at a level that is neither defined by the broad perspective of the State, nor the more parochial perspectives of local districts. However, some county offices of education are either too small or too large to discharge their responsibilities effectively and efficiently. Moreover, the enormous additional investment that will be required to implement the provisions of this Master Plan prompts a search for efficiencies and cost avoidance that will enable a larger proportion of education appropriations to be directed to the core functions of teaching and learning.

County offices of education provide a set of services that are valued by most local school districts. Many provide educational services that would otherwise not be available to students or

schools due to small size and California's funding mechanism, which does not generate sufficient funding for small districts to directly provide these services. Larger districts have developed internal capacities that obviate the need for county offices to do much more than review annual budgets and hear appeals of various district decisions. The cost of maintaining a county office of education in every county in the state, with similar structures and operations, must be critically examined for cost effectiveness and the potential advantages of consolidation into a reduced number of regions or consolidation of operations. In addition, the specific responsibilities assigned to county/regional offices of education should reflect the extent to which they might be instrumental in the State's effort to ensure that all schools and districts meet minimum standards for a high-quality education. County/regional offices are much better positioned to monitor compliance with certain state requirements than is a single state entity.

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### **Recommendation 33**

**County/Regional offices of education should be assigned a set of functions, resources, and authority both to serve local districts in their efforts to provide comprehensive curricula to students and professional development opportunities for professional staff, and to act as monitoring agents on behalf of the State to ensure that every public school meets minimal standards of educational quality. These functions and responsibilities should include the following:**

- **Directly provide educational services to students served by small districts that might not otherwise be able to provide a comprehensive array of curricular offerings or learning support and to students attending court and county community schools;**
- **Provide professional development, or facilitate the provision of professional development to education personnel in school districts requesting such services;**
- **Serve as the appellate body for parents who disagree with specified decisions of local school boards;**
- **Monitor fiscal decisions of local school boards and, when appropriate, intervene to forestall imminent bankruptcy if local budget decisions were to be implemented;**
- **Serve as the primary catalyst and facilitating agency to ensure that all schools have access to a technology infrastructure that enables electronic exchange of information and educational materials; and**
- **Monitor the facility decisions of local boards and, when appropriate, intervene to ensure that every school maintains facilities that comply with state quality assurance standards.**

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## **Preschool-Postsecondary Education**

For the past 42 years, California's postsecondary education enterprise has been guided by the *Master Plan for Higher Education*, which differentiated the missions to be pursued by each public college and university system, defined the pools from which they would select their freshman population, and established a mechanism for coordination, planning, and policy development. Upon review of the strengths and weaknesses of each of the governing boards, a particular concern emerged that there is incomplete information available on institutional and system performance and student achievement. All three public postsecondary education systems should be *required* to participate in data collection specified by the State for evaluation of their performance. Although the Joint Committee has identified the need for the University of California to expand its efforts to work more effectively with the PreK-12 community, the Legislature, and the Governor's administration to ensure that state-identified priorities are met, there is no compelling reason to alter the powers, responsibilities or structure of the Regents as specified in the State constitution. Similarly, the structure, powers, and responsibilities of the Trustees of the California State University are not in need of modification at this time. However, the Board of Governors for the California Community Colleges requires modification to elevate its powers, structure, and responsibilities commensurate with that assigned to the California State University Board of Trustees.

California also has an extensive array of regionally accredited not-for-profit and for-profit colleges and universities that make a substantial contribution to meeting the postsecondary education needs of Californians. They should continue to be considered a vital part of California's postsecondary education sector. In addition, California provides state approval to approximately 230 private, degree-granting institutions and nearly 2,500 private postsecondary vocational schools in the state, many of which are not regionally accredited. These institutions have been separately regulated and operate apart from California's education system. Both sets of non-public institutions should be explicitly incorporated into California's vision for a student-focused education system and subject to similar expectations for quality and measures of student achievement.

Effective planning has been and will continue to be essential to accommodating the demand for postsecondary education in this state. It has enabled California to leverage the resources of independent colleges and universities to complement the capacity of its public postsecondary education institutions in meeting the needs of Californians for education and training beyond high school. Long range planning should be expanded to leverage the resources of private postsecondary education institutions as well.

Long-range planning is equally essential to its preschool to adult school sectors of education. The Legislature and Governor should be able to turn to a single source to acquire information to anticipate the needs of public education in their annual policy and budget deliberations. We offer recommendations below to achieve this end:

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#### **Recommendation 34**

**The California Community Colleges should be reconstituted as a public trust with its board of governors responsible for overall governance, setting system policy priorities, budget advocacy, and accountability for a multi-campus system. The primary functions of the California Community Colleges should continue to include instruction in the general or liberal arts and sciences up through, but not exceeding, the second year of postsecondary education leading to associate's degrees or transfer to other institutions; education, training, and services that advance California's economic growth; and vocational and technical instruction leading to employment, and community services. Community colleges should also be authorized to:**

- **Provide instruction at the upper division level jointly with the California State University, University of California, or a WASC-accredited independent or private postsecondary education institution.**
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The California Community College system has suffered from fragmentation for decades stemming from governance responsibilities' having been assigned by statute to local boards of trustees, now 72 in number, and designation of the California Community Colleges Chancellor's Office as a state agency, subject to oversight by a variety of other state agencies. In addition to personnel salaries and actions being subject to approval by the Department of General Services, the State Personnel Board, and the Governor (in the case of senior staff appointments), policy priorities adopted by the Board of Governors cannot be enforced without triggering the state mandates clause of the California constitution – effectively neutralizing the Board of Governors' ability to govern the system. The result is highly unequal performance and highly unequal opportunities to learn afforded to students enrolled in community colleges throughout the state.

The community college system, to be effective, needs a clear statement of functions and authority for the Board of Governors and the local boards of trustees. This assignment of respective functions should clarify that it is the responsibility of the Board of Governors to ensure the performance of such duties as system governance, establishing statewide policy, negotiating funding, managing, and setting accountability standards for all the colleges collectively. As with its California State University and University of California counterparts, the Board of Governors should have the flexibility to delegate primary responsibility for academic matters to its faculty senate, recognizing the considerable expertise that resides within the faculty ranks, and the authority to establish and disband any number of advisory/consultation groups to assist it in making final decisions on policy priorities for the system. There is also concern about the number and size of local districts, both in terms of capacity to maintain quality teaching and learning opportunities for all students and the containment of costs for administrative oversight of the colleges. To address these concerns, we offer the following additional recommendations:

**Recommendation 34.1 – The membership of the California Community College Board of Governors should be modified to include as ex-officio members the Governor, the Superintendent of Public Instruction, the Lieutenant Governor, and the Speaker of the Assembly.**

**Recommendation 34.2 – The responsibilities of the California Community College Board of Governors should be defined as the following:**

- Exercise general supervision over, and coordination of, the local community college districts;
- Provide leadership and direction through research and planning;
- Establish minimum conditions and standards for all districts to receive state support and to function within the system;
- Establish specific accountability measures and assure evaluation of district performance based on those measures;
- Approve courses of instruction and educational programs that meet local, regional, and state needs;
- Administer state operational and capital outlay support programs;
- Adopt a proposed system budget and allocation process;
- Ensure system-wide articulation with other segments of education; and
- Represent the districts before state and national legislative and executive agencies.

**Recommendation 34.3 – The responsibilities of the California Community College local boards of trustees should be defined as the following:**

- Establish, maintain, and oversee the colleges within each district;
- Assure each district meets the minimum conditions and standards established by the Board of Governors;
- Establish policies for local academic, operations, and facilities planning to assure accomplishment of the statutory mission within conditions and standards established by the Board of Governors;
- Adopt local district budgets;
- Oversee the procurement and management of property;
- Establish policies governing student conduct; and
- Establish policies to guide new course development, course revision/deletion, and curricular quality.

**Recommendation 34.4 – The California Community College Board of Governors should have the same degree of flexibility and authority as that of the California State University, including the authority to appoint and approve senior staff of the Board of Governors.**

**Recommendation 34.5 – A state assessment should be conducted on the value of and need for restructuring of local districts, with attention to the size and number of colleges in a district, as well as the scope of authority that should be assigned to each district. Should this assessment find restructuring valuable and desirable, incentives should be provided to encourage restructuring.**

### **Recommendation 35**

**The status of the California State University as a public trust; and the size, composition, term of office, and responsibilities of its Board of Trustees should remain unchanged. The primary functions of the California State University should continue to include instruction in the liberal arts and sciences through the master's degree, in the professions and applied fields that require more than two years of postsecondary education, and in teacher education. It should continue to be authorized to:**

- **Award the doctoral degree jointly with the University of California or with a WASC-accredited independent or private postsecondary institution;**
  - **Engage in faculty research, using state-supported facilities provided for and consistent with the primary function of the California State University.**
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### **Recommendation 36**

**The University of California should continue to be constituted as provided in Section 9, Article IX of California's constitution. The size, composition, term of office, and responsibilities of its Board of Regents should remain unchanged. The primary functions of the University of California should continue to include instruction in the liberal arts and sciences and in the professions, including teacher education. It should continue to have exclusive jurisdiction among public postsecondary education for instruction in the professions of law, medicine, dentistry, and veterinary medicine. The University of California should continue to have sole authority to award doctoral degrees in all fields, except that it may agree to jointly award doctoral degrees with the California State University in selected fields. The University of California should continue to be the primary, although not exclusive, academic agency for research.**

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### **Recommendation 37**

**The Legislature should convene a task force to develop a strategic plan for the delivery of adult education, including a list of indicators that should be used to assess the effectiveness of California's Adult Education system. The task force assembled for this purpose should submit its plan to the Legislature for adoption.**

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The task force should solicit advice from representatives of the Department of Education, the California Community Colleges, local service providers in the areas of adult and noncredit education, including regional occupation centers and programs, the Employment Development Department, at least one local workforce investment board, the Legislative Analyst's Office, and

the Governor's Office. Advisors should also include representatives from important stakeholder groups including business and adult education students.

California's commitment to educating its populace is reflected in its provision of educational services to adults through both the K-12 and the community college systems. These services address adults' needs to become self-sufficient in a timely manner. Attainment of self sufficiency usually entails developing basic educational skills, learning English, acquiring vocational training, and otherwise preparing to participate effectively and productively in society and the economy. The State has not established systematic procedures for determining how and what services should be provided to help adults achieve self sufficiency, however, and this multi-million dollar enterprise is currently difficult for some adult learners to navigate as they embark on efforts to prepare themselves to meet the demands of the contemporary high-performance workplace and to participate effectively in civic affairs. It is in the State's interest to ensure that the delivery system for adult education meets students' immediate learning objectives and that students successfully transition into employment, gain English language literacy and civic skills, gain access to additional formal education, and pursue the long-term skills development goals they have identified as part of a plan for lifelong learning.

Increased efficiency would result if the provision of adult education services were delineated by curricular function or geographic location between school districts and community colleges. Adult education providers should target elementary and secondary basic skills courses to California adults seeking instruction that enables them to become self sufficient, as well as instruction that leads to meeting requirements for high school diplomas or their equivalent, and be assigned responsibility for instructing adults without high school diplomas in the knowledge and skills assessed in the California High School Exit Examination.

Other categories of instruction provided by adult education programs and community colleges that overlap should be reviewed to determine if this same delineation, or any other, would be appropriate. Therefore, for all instructional categories, the task force should assess whether K-12 operated adult schools should be limited to providing services to students who do not have a high school diploma or its equivalent and the community colleges limited to providing services to those who either have a high school diploma or who are at least 18 and whose academic goals include a certificate, an associate's degree, or transfer preparation. Both providers should also be obligated to structure their educational offerings to be consistent with contemporary academic standards.

Remedial or developmental instruction aimed at preparing adults for enrollment in credit-bearing collegiate coursework is part of the mission assigned to community colleges and, to a lesser extent, a function performed by the California State University and University of California systems. Such instruction should not be described as leading toward a high school diploma or its equivalent and should not be viewed as part of the adult education delivery system.

English as a Second Language, Elementary and Secondary Basic Skills, and Vocational Education courses should be considered state priorities for adult education. These categories constitute the greatest needs for the majority of adult education participants. Other categories of instruction provide valued services to local communities and may be provided as resources



permit. The State should also ensure that resources are available to identify and accommodate learning disabilities among adult participants, many of whom struggle through academic experiences with unidentified learning disabilities. Counseling services must also be supported to assist adult learners in pursuing life-long learning, including opportunities to build basic communication, information-handling, civic, and other job related skills.

Vocational Education programs included in adult education should be aligned programmatically with other workforce preparation programs in the community, including those linked with one-stop career centers and regional occupation programs and centers because of the services both sectors provide to the adult learner.

In some areas of the state, community colleges have been the primary, if not exclusive, providers of adult education. By definition, remedial education provided by postsecondary education institutions is precollegiate instruction and hence overlaps the function suggested as proper for adult education. This fact does not have to result in confusion or undesirable competition, provided the area of overlap is both constrained and well defined. To ensure that such confusion is avoided, we further recommend:

**Recommendation 37.1 – To ensure that comparable quality of instruction is available to all Californians enrolling in adult continuing education, the State should quickly move toward reciprocity of instructional credentials, based on appropriate minimum qualifications, between the K-12-operated adult and community college-operated noncredit education systems, to allow instructors to teach in either or both systems.**

**Recommendation 37.2 – State priorities for adult and noncredit education should include English as a Second Language, Elementary and Secondary Basic Skills, and Vocational Education. The State should strive to provide adequate resources to ensure that these priorities are addressed by all adult education providers.**

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## **Recommendation 38**

**The Legislature should review the founding statutes of the California Postsecondary Education Commission (CPEC) and should confirm or amend them, as appropriate, to ensure that the commission has the capacity and authority to carry out its mission as the coordinating entity for postsecondary education and chief objective adviser to the Governor and Legislature regarding the continuing improvement of California postsecondary education.**

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In order to meet the comprehensive, yet diverse, educational needs of all Californians, the 1960 *Master Plan for Higher Education* delineated a multi-part system of postsecondary education including the three public segments (the California Community Colleges, the California State University, and the University of California), coordinated with California's independent colleges and universities. In order to provide the Legislature and the Governor a coherent, broad analysis

and objective advice regarding the current and future interrelated operation of these postsecondary segments, the California Postsecondary Education Commission (CPEC) was created in 1973.

In our current time of profound change and enormous enrollment growth, CPEC's coordination and analysis mission continues to be of vital importance. However, the commission is currently impeded by insufficient funding and by a plethora of statutory and legislative directives regarding its work that are beyond its capacity to fulfill. This has lessened the commission's capacity to speak for the broad public interest on the issues most critical to postsecondary student success. The commission is further impeded by its not being assigned sufficient authority to require coordinated efforts on the part of the postsecondary segments. The Legislature should ensure adequate funding for CPEC to carry out its most essential functions, and eliminate those lesser priority demands that stretch the agency beyond its primary goals. More broadly, this Joint Committee believes that CPEC must provide more than policy analysis; it must provide a prominent voice for the public interest in postsecondary education, aiming to inform the Legislature and the public on the fiscal and programmatic implications of California's need for a better-educated population and on how California postsecondary education could be improved to enable all Californians to realize their potential.

While the University of California, the California State University, the California Community Colleges, and California's independent colleges and universities hold the public interest central to their missions and planning, they cannot individually see or plan for the overall development between them. CPEC must serve the roles of both coordinating and planning for a much more integrated and visionary approach to postsecondary education between and among the segments. The Joint Committee further believes the commission would benefit from the immediate involvement of the leadership of the different segments. Hence, we recommend:

**Recommendation 38.1 - The Commission's primary functions should include:**

- **Providing long-range planning for meeting the postsecondary education needs of Californians, including the adequate provision of facilities, programs, and campuses, and assessing and advising state policymakers regarding priorities dictated by current and evolving public needs;**
- **Providing policy and fiscal analyses regarding the most critical issues affecting the success of Californians in attending and graduating from postsecondary education institutions;**
- **Coordinating the analyses, policy recommendations, and long-range planning proposals of various public and private entities, as needed, to secure the long-term fiscal stability and public financing of public postsecondary education, including the development of student fee and financial aid policies and the efficient use of state resources across segmental boundaries;**
- **Advising the Legislature on appropriate accountability indicators for postsecondary education, to be adopted in statute, and subsequently reporting annually to the Legislature and the Governor on the performance of public postsecondary institutions in meeting the adopted indicators.**

- Evaluating and reporting to the Legislature and the Governor the extent to which public postsecondary education institutions are operating consistent with state policy priorities and discharging the responsibilities assigned to them in statute;
- Reviewing and approving new public campuses for postsecondary education; and
- Reviewing academic programs for public, postsecondary education institutions.

**Recommendation 38.2 – CPEC should be given the authority to require information to be submitted by the various segments of postsecondary education. Each year, immediately prior to the Legislature’s postsecondary education budget deliberations, CPEC should provide a report to the budget committee chairs of both houses, and to the Legislative Analyst, regarding the record of the various segments in responding to the Commission’s requests for information.**

**Recommendation 38.3 – CPEC should continue to be advised by the existing statutory advisory committee. The segmental representatives to the CPEC statutory advisory committee should consist of the Chancellor of the California Community Colleges, the Chancellor of the California State University, the President of the University of California, the President of the Association of Independent California Colleges and Universities, and the Superintendent of Public Instruction, or an executive-level designee of each.**

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## **Recommendation 39**

**The Legislature and Governor should immediately create a new California Education Commission (CEC). The CEC should have initial responsibility for planning, coordination, and analysis that encompasses preschool and K-12 education, as well as the interface between K-12 and postsecondary education.**

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The lack of overall coordination among the State’s multiple education agencies is one of the largest systemic governance problems in California. Combined with insufficient delineation of authority, this problem results in an educational system that is not structured in a manner conducive to consistent responsiveness to the comprehensive needs of learners. As has been discussed throughout this report, coordination is necessary not only among the distinct postsecondary education sectors, which operate in concert to serve all Californians, but between K-12 and postsecondary education, as well as between preschool and K-12. To realize this Plan’s vision of a coherent system of education in California, a single entity – a California Education Commission – should be assigned responsibility for these coordinating, planning, and forecasting functions, encompassing PreK-12 education and the interface between the PreK-12 and the postsecondary education sectors.

The California Education Commission should initially focus on the planning and coordinating functions related to the interface of the PreK-12 and postsecondary sectors, since there is an absolute deficiency of structural capacity in California to address those issues today. As they pursue their educational goals, California students encounter critical disjunctures within our education system. These disjunctures pertain especially to many aspects of the transition from high school to college, and to joint programs that span multiple segments of education.

The development of rational public policy for education requires the availability of comprehensive data, as well as other critical information, on which to base judgments of program effectiveness, policy and fiscal needs, demographically-driven needs, and other critical issues. These data should incorporate, but not be limited to, information regarding students, personnel, facilities, and instructional materials. California's many education and state agencies currently gather and maintain significant amounts of data related to education, but their data collection efforts are fragmented – often data on similar elements are gathered pursuant to differing data standards, such that the information cannot be integrated in a manner that can serve public policy interests. These multiple data sources can be better combined to enable a more complete understanding of the current and anticipated conditions of our education system only if they are gathered pursuant to common standards and maintained comprehensively within a single entity. The proposed roles related to multiple aspects of public education that would be assigned to the California Education Commission would make it the logically appropriate entity to carry out the function of serving as the state's education data repository. Moreover, many observers ascribe conflicts of interest to agencies that both collect/maintain and use data; such perceived conflicts could be substantially reduced by requiring the CEC to publish the methodology and assumptions used when using collected data for analytic purposes.

To ensure that the critical functions assigned to the commission are effectively met, we further recommend:

**Recommendation 39.1. – The commission's primary functions should be:**

- **Providing long-range analysis and planning for meeting the educational needs of all Californians;**
- **Providing policy and fiscal advice, based on data analysis, that represents the public interest in California's education system;**
- **Serving as California's statewide education data repository;**
- **Evaluating the extent to which all public education institutions are operating consistent with state policy priorities;**
- **Advising the Legislature and the Governor on the potential and actual impacts of major education policy proposals or initiatives;**
- **Coordinating statewide articulation of curriculum and assessment between the PreK-12 and postsecondary education sectors;**
- **Providing long-term planning for the development of joint and other shared use of facilities and programs between PreK-12 and postsecondary education entities;**
- **Sponsoring and directing inter-segmental programs that benefit students making the transition from secondary school to college and university; and**

- **Coordinating outreach activities among PreK-12 schools and postsecondary education and work-sector entities.**

**Recommendation 39.2 – The Legislature should identify and implement effective mechanisms to compel all relevant agencies with responsibility for gathering and maintaining comprehensive data on one or more aspects of California’s education system, preschool through university, to submit specified data to the commission.**

**Recommendation 39.3 – The Joint Committee should consider structuring the California Education Commission with eight lay representatives: four appointed by the Governor, two appointed by the Senate Rules Committee, and two appointed by the Assembly Speaker. In addition, the Superintendent of Public Instruction should serve as the chair of the commission. This structural option should be evaluated against other options and the preferred model submitted to the Legislature and Governor for adoption.**

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#### **Recommendation 40**

**All oversight of state-approved private colleges and universities offering academic degrees at the associate of arts level or higher should be transferred from the Department of Consumer Affairs to the California Postsecondary Education Commission, to ensure the quality and integrity of degrees awarded under the auspices of the State of California.**

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California has an enviable reputation for the quality of its regionally accredited public and independent colleges and universities. However, the private, non-accredited sector has not always shared in that reputation, a fact that led to enactment of the Private Postsecondary and Vocational Education Act in 1989. These institutions are currently regulated by the Department of Consumer Affairs’ Bureau of Private Postsecondary and Vocational Education, which was created by 1997 legislation as the successor to the independent council created by the 1989 Act. The Joint Committee is concerned, both about the difficulties the Bureau has encountered in its efforts to implement the complex, and occasionally conflicting provisions of the 1997 legislation, and about the existence of separate governance structures for each sector of postsecondary education. The absence of confidence in the quality of academic programs provided by state-approved private institutions frustrates the ambitions of students who seek to move between these institutions and regionally accredited public and independent institutions.

In addition to academic degree-granting institutions, a number of private institutions focus on workforce training and preparation for a variety of careers. The Governor has proposed that vocational and workforce preparation programs should be consolidated to achieve greater coordination and common standards for assessing performance. There is merit to further consideration of this proposal and we therefore suggest no change at this time for unaccredited postsecondary vocational schools. Accordingly, we offer the following additional recommendations:

**Recommendation 40.1 – The California Postsecondary Education Commission should develop standards to promote articulation, when appropriate, and to foster collaborative shared use of facilities and instructional equipment between state-approved private colleges and universities awarding academic degrees and regionally accredited public and independent colleges and universities.**

**Recommendation 40.2 – The California Postsecondary Education Commission should be designated as the state approval agency for veterans' institutions and veterans' courses, and should have the same powers as are currently conferred on the Director of Education by Section 12090 et seq. of the Education Code, to enter into agreements and cooperate with the United States Department of Veterans Affairs, or any other federal agency, regarding approval of courses, and to approve and supervise institutions that offer courses to veterans.**

### **Shared Accountability**

An accountability system for California must be guided by valid, comprehensive, understandable, and regularly reported data on a set of indicators that permit useful, informed decisions and judgments about student learning and the conditions under which the students learn. Ultimately, adequate and well-advised support for public schools depends upon the public's will to shape California's educational and other policy priorities and to making wise investments on behalf of high-quality and equitable schooling. A system of multiple indicators for accountability and improvement is crucial to marshalling public will and to wise investments in the schooling that most benefits students and the state. To develop such a system of accountability for California, the State must be guided by the following principles:

- Testing may be a necessary part of an accountability system; however, testing does not equal accountability;
- Accountability systems increase the probability of, but do not guarantee, high-quality practice leading to positive outcomes;
- Effective accountability systems call attention to needs and direct resources for addressing those needs, rather than simply initiating punitive measures;
- Indicators, like test scores, are information for an accountability system; they are not the system itself;
- Tests can enhance or undermine learning and accountability, depending on what they measure, how they are used, and how they are administered; and
- Accountability occurs only when policymakers and education providers act on information in ways that create better opportunities and outcomes for individuals and groups of students.

Educational indicators must include both input and outcome measures. The reasons for the inclusion of input measures is that some aspects of schools – for example, the provision of minimally adequate and safe facilities, and access to a curriculum of sufficient breadth – should be considered basic requirements of all districts and basic rights of all students, whether or not

they influence outcome measures. Outcome measures may be insufficient to reflect compliance with these basic requirements and rights, and therefore input standards are needed as well.

Two types of input standards are proposed. The first, called *guidelines*, would be used as a model against which a district could compare its own expenditure choices. The elements in these guidelines would be based on the proposed California Quality Education Model<sup>53</sup> that would generate target funding levels in California. The second set of input standards would establish *minimum requirements* for all districts and schools, which they could not fall below under any conditions and for which the State would have an obligation to ensure the provision of adequate resources. The combination of *guidelines* and *minimum requirements* would therefore provide districts with flexibility in devising their priorities for spending, while also protecting students by establishing certain absolute minimum requirements.

To build this shared accountability system, the following actions should be taken:

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#### **Recommendation 41**

**The State should establish a system of regularly reported indicators for PreK-12 accountability and improvement and develop a system of appropriate rewards and interventions, based on those indicators, that will promote continuous improvement of student achievement.**

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The Legislature should develop and the Superintendent of Public Instruction should report yearly on a comprehensive set of educational indicators, constructed from the data provided by an integrated, longitudinal, learner-focused data system and from other school-level data about educational resources, conditions, and learning opportunities. Such indicators must be easy to understand and trusted as valid and reliable. They must enable policymakers, professionals, families, and the public to monitor the status and quality of the educational system and provide information to guide the improvement of policy and practice.

To be useful, the state accountability system should monitor all levels (student, education personnel, school, district, local and state governing boards, state education agencies, Legislature, and Governor) of the educational system, and include appropriate indicators that measure the effectiveness of each level (PreK-postsecondary education) in exercising its responsibilities. Consequently, the State's indicators should enable the public to hold policymakers and governing bodies accountable for providing the commitment, policy mechanisms, resources, and conditions necessary to a high-quality system of education, as well as to hold schools, educators, and students accountable for the outcomes that result.

While this Master Plan focuses on holding all participants in the education system accountable for student outcomes, comprehensive understanding of student achievement levels is informed by identification of the availability of learning resources and opportunities. Additional

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<sup>53</sup> See recommendations in the Affordability section of this Master Plan for a description of the California Quality Education model.

information on the resources and opportunities to learn provided to students should be reported to the public and used by the Superintendent of Public Instruction to help the public gain a greater understanding of student achievement.

The indicators should provide comprehensive information about all schools, not just about those that are low-performing. Although there are many exemplary schools, the State needs information about these schools just as it needs information about schools in which students are underserved. Finally, the indicators should be structured to permit analysis of opportunities and outcomes by racial, ethnic, linguistic, and gender populations, and among students assigned to various programs within schools. Given the intended purposes of these indicators, we further recommend the following:

**Recommendation 41.1 – The K-12 Academic Performance Index (API) should be expanded in statute so that it includes grade promotion and other indicators of academic outcomes, in addition to multiple measures of student achievement and indicators of opportunities for teaching and learning.**

**Recommendation 41.2 – The Superintendent of Public Instruction should identify appropriate school-level indicators of schools' status regarding the availability and use of high-quality learning resources, conditions, and opportunities, based on standards that specify what government agencies – the State and school districts – must provide all schools. This information should be collected by the California Education Commission and reported by the Superintendent of Public Instruction in a format that permits comparison against standards arising from the state's California Quality Education Model and made publicly available through revision of the School Accountability Report Card.**

**Recommendation 41.3 – The California Education Commission should collect appropriate and relevant data to allow the Superintendent of Public Instruction to assess and report on the effectiveness of California's programs for young children, and integrate these data collection and analysis efforts with the K-12 API effort.**

**Recommendation 41.4 – The State should create benchmarks and criteria, based on prototype schools, that will serve as desirable models of high-quality schools. They would also serve as the basis for determining adequacy of funding and provide potential expenditure streams to guide local education decision makers. The State should also collect and disseminate information about actual schools with effective programs and practices that promote student achievement.**

**Recommendation 41.5 – The State should develop a long-term strategic plan for the meaningful use of accountability data and indicators that are linked to state educational goals by state and local policymakers, educators, and all Californians to determine the impact of programs and interventions designed to improve learning conditions and outcomes. The plan should also contain strategies for remedying identified inadequacies.**



**Recommendation 41.6 – The State should develop a series of progressive interventions in K-12 education that support low performing schools’ efforts to build their organizational capacity, develop high-quality programs, and support student learning, particularly in schools of the greatest need. The State should also develop a series of progressive rewards that recognize schools for significant improvement and high achievement. The criteria for implementing interventions and rewards should be clearly defined and linked to the evaluation of annual performance data.**

**Recommendation 41.7 – The State should develop a series of definitive actions to apply as consequences to any entity within the public education system that fails to meet its responsibilities. These actions should range from loss of flexibility in defined expenditure decisions to the loss of control of its responsibilities.**

**Recommendation 41.8 – The accountability system should enable policymakers and the public to detect performance barriers beyond the level of the school, and distinguish carefully among actors or agencies primarily causing them. At a minimum, the Superintendent of Public Instruction should measure, report, and use all performance indicators at the state and district levels, as well as at the school level, and develop mechanisms to hold state agencies and districts directly accountable for their schools’ performance, consistent with the discussion of accountability on pages 108-109 of this report.**

**Recommendation 41.9 – The State should establish a consistent and straightforward way for local schools to describe their expenditure and programmatic decisions, to compare them with the State’s prototype expenditure guidelines, minimum standards, and outcome goals, and to clarify the trade-offs implicit in budget decisions.**

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## **Recommendation 42**

**The California Department of Education should expand adult education course standards to include student performance measures such as those developed by the National Skill Standards Board, the Secretary’s Commission on Achieving Necessary Skills (SCANS), and Equipped for the Future.**

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Currently there are state-approved model standards for five of the ten existing categories of noncredit and adult education. The established standards support programs in English as a Second Language, Adult Elementary and Secondary Skills, Parent Education, Older Adult, and Adults with Disabilities programs. With the exception of those for the Adults with Disabilities category, the standards are currently being reviewed and updated by providers of adult education services. If the program categories are revised to include an emphasis on workforce learning, these standards should be expanded to include student performance measures such as those developed by the National Skills Standards Board, SCANS, and Equipped for the Future. To promote meeting these multiple standards for adult education, we further recommend:

**Recommendation 42.1 – The State should support and expand existing accountability mechanisms for adult education providers that emphasize student performance and reward institutions for improving student achievement. The State should also encourage incorporation of the foregoing standards for workplace skills and adoption of state standards for student achievement.**

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### **Recommendation 43**

**The State should bring postsecondary education into an integrated accountability system by developing a set of accountability indicators that are consistent with state policy objectives and institutional missions and that would monitor quality and equity in access and achievement of all students in common academic content areas. All public, independent, and private institutions should be required to participate in the reporting of these accountability indicators as a condition of receiving state moneys either through direct appropriation or student financial aid.**

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The principle of accountability should apply at both the PreK-12 and postsecondary levels, although the particulars of accountability must differ for the two levels. While elementary and secondary standards work toward a set of knowledge and skills common to all students, postsecondary certificate and degree programs are based on student specialization in particular disciplines, so that multiple measures must be developed to address the various specializations. All postsecondary education institutions require their undergraduates to complete a common set of general education courses, which could serve as a foundation for accountability in common content areas. Postsecondary institutions should determine additional measures of accountability for undergraduate major and graduate subject matter areas, for which their respective faculty establish competencies. The Monterey Bay campus of the California State University has already proceeded to develop “major learning requirements” for each of its majors; those requirements warrant examination to identify the challenges that must be overcome to successfully make progress in this area.

Efforts to bring the postsecondary segments into an integrated accountability system should incorporate, yet move beyond the input measures traditionally used for accreditation and other purposes, measuring more fully the student and institutional *outcomes* that reflect State and institutional priorities. Included in these outcome measures should be labor market participation of graduates, such as those currently used by many business schools. They should provide information that assists consumers in making informed decisions on accessing postsecondary education, assists policy-makers in determining state policy and fiscal investment decisions, and assists institutions in their efforts to achieve continuous improvement. An expanded accountability system should build on the initial, but insufficient, accountability mechanisms that California already has put in place under the aegis of the Community Colleges Partnership for Excellence and the University of California and California State University partnership models. These models document enrollment, successful course completion, advancement to the next academic level within basic skill disciplines, workforce preparation, degree and certificate

attainment, and the achievement of university transfer. These partnerships should be expanded to incorporate the Legislature as a full member of the partnership between the Governor and each postsecondary education sector. In this regard, we further recommend:

**Recommendation 43.1 – The State’s accountability framework for postsecondary education should be improved by modification and expansion of the ‘partnership’ budget approach, currently applied to the University of California and the California State University systems, to include all postsecondary education, clarify the link between performance and funding, and adopt realistic alternatives for times of revenue downturns.**

**Recommendation 43.2 – The State should specify the set of indicators of student and institutional performance on which every public college and university must provide data annually, along with an implementation timeline.**

### *Summary*

The State has a responsibility to monitor the performance of public education institutions and, in the case of K-12 schools, is ultimately accountable for the proper use of public funds to ensure that every student is provided access to a high-quality education in a safe and properly maintained facility. As a practical matter, accountability for educational outcomes is, and should be, shared among a variety of people and entities. Holding these multiple actors properly accountable requires that their respective shares of responsibility be clear and broadly understood. The recommendations in this section of the Master Plan identify the major actors, delineate their responsibilities, and suggest ways in which they should be held accountable for their actions. Building a system of shared responsibility requires:

- Redefining the responsibilities of the Governor, the Board of Education, and Superintendent of Public Instruction (SPI) so that they are complementary to each other, and assigning ultimate responsibility for the public schools to the Governor’s Office.
- Clearly defining the powers and responsibilities of various state, regional/county, and local governance and administrative entities for all sectors of public education.
- Charging the SPI with responsibility for developing indicators of the opportunities for teaching and learning that are necessary to support high-quality education for every student, based on the elements of the California Quality Education Model, and with using those indicators to help parents and policymakers to interpret student achievement data.
- Promoting the use of locally developed assessment on a frequent basis, to provide teachers with information that would enable them to adjust their instructional strategies, prompt them to assess for potential learning disabilities, and/or help them refer students to supplemental support services, as needed.
- Requiring public postsecondary education to take actions that would result in a clear understanding of a set of learning outcomes the students it enrolls expected to achieve and appropriate measures for evaluating the performance of its campuses.

- Incorporating data on student achievement into a state-level accountability system at all education levels.

In addition, serious attention should be given to examining the feasibility of using certain labor market outcomes as part of a system of indicators of the performance of education institutions, particularly for assessing the readiness of graduates of secondary and postsecondary institutions to successfully enter the workforce and engage in civic activities.

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# Affordability of A High-Quality Education System

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## The Context

Historically, public schools in California and the United States have been funded primarily by local property taxes, with the actual tax rates determined locally. This local determination, however, led to significant differences in resources available to different school districts throughout the states, depending on the relative value of the property within the districts. Over the past three decades, courts have issued various orders aimed at equalizing school funding. The underlying assumption behind these efforts is that there is a clear relationship between the amount of money available and the quality of education provided to students.<sup>54</sup> Research suggests, however, that it is just as important to consider how resources are used as it is to determine what resources are available.<sup>55</sup>

Modifications of public school financing systems, particularly those prompted by court orders, have sought to ‘level the playing field’ by invoking equal protection clauses in state constitutions. These constitutional provisions have been used to establish the fact that state government has ultimate responsibility for assuring that all students have equal access to educational opportunities and hence life chances.<sup>56</sup> The 1968 *Serrano v. Priest* decision was one of the earliest of these court decisions, requiring California to finance its public schools in a way that was more equitable for both taxpayers and students. The ruling focused on the base general purpose funds available to schools and did not require that all sources of revenue be equalized. The decision specifically excluded categorical funding from the base amounts to be equalized that derived from state and local sources. Categorical funding was exempted to enable districts to respond to special needs emanating from student characteristics or particular district circumstances. This ruling, and others that followed in California and other states, established an important principle: equitable funding does not necessarily mean equal funding.

This principle did not answer the question of what is an adequate amount of funding that should be provided to schools. California’s implicit determinations of adequacy have been made primarily on the basis of historical expenditures, rather than on analysis of what schools actually

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<sup>54</sup> See David and Lucille Packard Foundation, *The Future of Children: Financing Schools*, (1997)

<sup>55</sup> W. Norton Grubb and Luis A. Huerta, *Straw Into Gold, Resources Into Results: Spinning Out the Implications of the “New” School Finance*, Policy analysis for California Education, Research Series 01-1, (April 2000); P.A. Miniori and S.D. Sugarman, “Educational Adequacy and the Courts: The Promise and Problems of Moving to a New Paradigm,” in H.F. Ladd, R. Chalk, & J.S. Hanson (Eds), *Equity and Adequacy in Education Finance: Issues and Perspectives*, (1999).

<sup>56</sup> EdSource, *How Much is Enough? Funding California’s Public Schools*, (April 2000).

need to provide equitable educational opportunities for all students. Many states, and key education stakeholders in California, have compared expenditures in their public schools with average expenditures reported by other states, or schools that are most similar to their own, as a rough gauge of the adequacy of their own funding. Expenditures per pupil or expenditures per unit of average daily attendance (ADA) are the two most frequently cited measures of adequacy of funding. The two approaches produce slightly different measures of adequacy; the first provides an overall measure of effort to support schools, while the second is more reflective of workload, by accounting for student attendance behavior and movement of families.

As originally conceived, categorical funds were supplemental funds allocated to schools above their basic general revenues, to meet special needs of students served and, to a more limited extent, particular school circumstances. It might logically be concluded that there would be a relationship between total resources received and schools serving high concentrations of special needs students. However, no clear relationship seems to exist between student characteristics and total school district revenue.<sup>57</sup> This fact appears to reflect a growing tendency among states and the federal government to earmark public funds for specific programs and services that have little or no relationship to student differences. These trends seem to have sparked frustration in many states about not only the amount of funding provided to public schools but also how that money is allocated.

Increasingly, states are recognizing that any effort to determine the adequacy of funding must first begin with a clear understanding of the educational and other goals that are to be accomplished. This concept of adequacy is based on a belief that how much funding is provided and how it is allocated should in some way be linked to expectations of student achievement and institutional performance. The standards-based approach to school reform, coupled with the current federal effort to promote school-level accountability for student achievement, has lent added impetus to operationally defining what constitutes an adequate base of funding. Conceptually, researchers have identified three steps to defining an adequate base of funding. The first step is to explicitly define the goals of an ‘adequate’ or ‘high-quality’ education. This step constitutes a complex undertaking since there are probably as many different goals for public education as there are people willing to offer an opinion. This step also requires state policymakers to identify which of those goals are appropriately something the public schools should be responsible for attaining and those which are affected by factors such as poverty and, therefore, are not reasonably within the ability of schools to control.

The second step is to identify the essential components of an adequate or high-quality education. This step is also complicated, because even those components that research indicates are strongly related to student achievement may have different outcomes when applied in different local communities. Nonetheless, states can be guided by the research that does point to certain elements as essential to effective teaching and learning. For instance, the quality and experience of teachers in schools is more strongly related to student achievement than is almost any other school-based factor. Expert subject-area knowledge, years of teaching experience, and knowledge of a variety of teaching strategies and learning styles are all measures of the capacity of teachers to provide high-quality education.

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<sup>57</sup> EdSource, Op. Cit.

The third step is to attach a cost to these components: to determine how much money will be needed to actually implement the education system that is envisioned. This step, too, represents an elusive task, because of the absence of any strong relationships between the amount of money available and student achievement. This absence results from the fact that a host of factors beyond the amount of money available influence teaching and learning outcomes; school culture, family and cultural values, school policies and practices, and the skills of educational providers and administrators all influence student achievement and are not easily quantifiable.

This three-step process of determining the adequacy of resources is an important advance over historical approaches of allocating money on the basis of what is available annually or how far above or below the national average a state is. It also furthers the goal of accountability by explicitly acknowledging a link between what is expected from public schools and the resources provided to meet those expectations. Further, it enables state policymakers and taxpayers to consciously determine if they can afford to invest the resources needed to realize the education system they envision.

Similar to the concern about adequacy of funding for basic operations, there is a concern about the adequacy of school facility finance. There is a general belief that inadequate investment in school construction and modernization has resulted in a nationwide crisis, but that individual districts have fared relatively better or worse. Nationally, most states fund school construction and modernization through a combination of state and local resources. Locally, most school facilities are financed through voter-approved General Obligation bonds, financed by revenue from limited-term property tax increases. This practice has raised concerns about equity in many states, because of differences in assessed property tax values. In 1994, the Arizona Supreme Court ruled that reliance on local General Obligation bonds to finance school facilities was unconstitutional because it “created vast disparities in districts’ ability to afford school construction, building maintenance, and equipment.”<sup>58</sup> Arizona transferred responsibility for school finance from local school districts to the state in response to this court ruling. Similarly, a class action lawsuit has been filed in Colorado to overturn that state’s system of school facility finance.<sup>59</sup>

California had to address the issue of the adequacy of state facility financing earlier than most states, partly because of sustained growth in its public schools, combined with the passage of Proposition 13 by California’s voters in 1978. Prior to Proposition 13, California financed school construction and modernization primarily through locally approved General Obligation bonds. Proposition 13 eliminated the authority of local school districts and other local governments to set their own property tax rates and had the effect of shifting primary responsibility for financing school construction and modernization from local districts to the state. By 1984, it had become apparent that revenue from state bond issues alone was insufficient to meet the infrastructure needs of California’s public schools. In response, voters passed a new initiative in 1984, Proposition 46, restoring the ability of local school districts to issue General Obligation bonds with two-thirds approval of local district voters; and two bills were enacted through the legislative process authorizing school districts to impose developer fees (AB 2929, statutes of 1986) and (Chapter 1451, Statutes of 1982), which authorized creation of

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<sup>58</sup> Education Week, (May 22, 1996).

<sup>59</sup> American School and University, (April 2000).

special (Mello-Roos) financing districts to finance subdivision infrastructure, including new school construction.<sup>60</sup>

Public education also includes public colleges and universities. Issues of adequacy of funding and affordability are equally salient at the postsecondary education level but reflect the differing structures and missions of public postsecondary institutions. Community and junior college finance issues are most similar to those included in the foregoing discussion regarding funding for the K-12 public schools, in that the community colleges have historically derived much of their financing from local communities through property taxes. Many community college districts have been granted limited authority to levy local property taxes to partially finance basic college operations, with the balance of basic operations funded from a combination of state financing, other fund raising, student fees, and tuition charges. Variations in total property values have produced disparity in revenues generated from one local community to another and have prompted actions to give states a larger share of responsibility for providing adequate financing to meet basic operational needs.

Comprehensive state colleges and universities have historically received a majority of their operational revenue from a combination of state financing, student fees, tuition, and other revenue sources. In the case of research universities, a substantial source of the ‘other’ revenues has been state, federal, and private research grants, as well as gifts from alumni and other patrons. Enabling legislation and state constitutional provisions generally require or permit selective admissions of students to state colleges and universities, while granting much broader access to community colleges – particularly in California, which promises access to any adult who possesses a high school diploma or can benefit from instruction beyond high school.

Determining what constitutes adequate funding of public colleges and universities also requires progression through the three-step process of precisely defining the goals desired from public colleges and universities, determining the essential components for achieving those goals, and assigning a cost to those components. A further layer of complexity is added, however, in that state policymakers must also decide how much of those costs should be borne by the state and how much should be borne by students and their families through the form of mandatory fees and/or tuition charges. Since enrollment in public colleges and universities is not compulsory by law but instead entirely voluntary, most states subscribe to the proposition that students have an obligation to pay for a portion of their education in the form of tuition charges.<sup>61</sup> Need-based financial aid is usually made available to ensure that students who wish to attend college do not feel that choice has been denied them because of the perceived cost of attendance.

No state has yet developed and implemented an analytic approach to determining what is an adequate base of funding that should be provided to public colleges and universities. Most continue to rely on such proxies as state appropriations for higher education as a proportion of

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<sup>60</sup> Community Facility Districts (CDF’s) often encompass only part of a school district and their creation is subject to the approval of two-thirds of the landowners within the boundaries of the proposed CDF.

<sup>61</sup> While California statute explicitly exempts state residents from paying tuition, it does require payment of mandatory fees that vary for the California Community College system, the California State University system, and the University of California. All three public systems are permitted to charge non-residents tuition, defined as the full cost of providing education, including cost of faculty salary and benefits.



total state appropriations for government operations, comparison of state appropriations for public higher education with appropriations reported by other states, and per capita expenditures on higher education. While these measures provide an indicator of how state funding compares to some other benchmark, they fail to answer the question of whether this level of funding is adequate.

In California and other states, estimates of steady future increase in enrollment demand are producing greater signs of stress in the financing of postsecondary education. Not only is there the question of whether states can afford to increase their investment in supporting the basic operations of public colleges and universities, states must also address the need for construction of new facilities and modernization of existing facilities. As with the problems of facility financing in public schools, states have assumed an increasing responsibility for financing of new construction and modernization of public colleges and universities, relying heavily on the issuance of General Obligation bonds. Facility costs are only partially correlated to enrollment demand estimates for public postsecondary education, because of the additional costs associated with the research facilities and graduate program needs of senior institutions as compared to the needs of community colleges – although these differences can be partially reduced by facility requirements of workforce preparation programs tied to local industry needs.

The issues of affordability and adequacy are different but related matters for all levels of public education. Central to each issue is the question of what goals are being pursued through public education institutions. These goals, in turn, define the components that are essential to attaining them and drive the costs that are associated with the envisioned education system. With respect to public schools, adequacy and affordability are entirely a question of public will to make the needed level of education investment. At the postsecondary education level, the question of what is adequate and affordable must be divided between what is adequate and affordable to the State and what is affordable to students and their families – a delicate task of balancing accessibility and cost. At all levels of education, state policymakers must consider how resources are used to promote student achievement, and then devise ways to make sure resources are directed to these practices – while avoiding heavy statutory prescriptiveness and extensive categorical allocation of funds.

### **California Today**

California's public schools currently enroll nearly six million students, who have a variety of cultural and socio-economic backgrounds, learning styles, languages, and needs. Attendance is a no-cost option for all children who will reach age 5 by December 2<sup>nd</sup> of each year; and students are required to remain in attendance until the age of 18, or until they are at least 16 and have graduated from high school.

Approximately one-third of California's roughly 1,000 school districts are unified, encompassing kindergarten through high school; a little more than half of them are K-6 or K-8 districts, serving as feeders to high school districts. (Many unified and high school districts also offer adult education.) Many of these school districts are small in size: nearly a third serve fewer than 500 students; and, overall, close to half of the districts serve 1,000 or fewer students. In contrast, the

Los Angeles Unified School District serves more than 700,000 students and is nearly five times as large as the second largest district, located in San Diego. The smallest districts have only one school, or even one classroom, while Los Angeles has more than 700 schools.

All of these school districts, their elected governing boards, teachers, administrators, and other professional personnel are affected by a financing system controlled by the Legislature and Governor. California's public education system is supported primarily by state income and sales tax revenue, and revenue from local property taxes. This funding is supplemented by federal monies, revenue from the California State Lottery, and miscellaneous funds such as developer fees and contributions from a variety of sources. In 2001-02, an estimated \$40.4 billion was invested in California K-12 education, with \$28.8 billion coming from the state General Fund and the balance from local revenue.<sup>62</sup> The Legislature and Governor determine the state funding amounts annually, beginning with development of the Governor's budget that is introduced in January of each year. From initial introduction to adoption of a final budget at the end of the fiscal year (June 30 or later), a number of adjustments and political tradeoffs are made. These adjustments are influenced by requirements of Proposition 98, a constitutional amendment approved by voters in 1988 that prescribes a minimum portion of the total General Fund that must be committed to public schools each year and a complex formula for how additional allocations get counted in the minimum guarantee to public schools in future years.

Each school district has a historically derived revenue limit per unit of ADA, which determines the general purpose funds it receives from the State. Revenue limit funding provides the majority of income a district receives annually to fund its operations. The Legislature adjusts this amount in most years to provide a cost of living adjustment (COLA) to each district's revenue limit. Revenue limits, in their current form, were developed in response to the 1968 *Serrano v. Priest* court decision, which required California to reduce funding disparities resulting from unequal real estate wealth, permitting only a narrow band of variation. To determine the education budget, the Legislature adds state funds to local revenue, in amounts determined by multiplying each district's ADA times its revenue limit and subtracting from that amount the district's estimated local property tax receipts; the difference represents the amount of state funds needed to reach the district's revenue limit entitlement. A small number of districts generate property tax receipts that equal or exceed their revenue limits. These districts are called 'basic aid' districts, and they are allowed to retain all of their local revenue, even when it exceeds their revenue limit entitlements. In addition, they are entitled to receive \$120 per student from the State that is guaranteed by the California Constitution.<sup>63</sup> In addition to their revenue limit allocations, all districts receive categorical aid of some type, from both state and federal sources. In most cases categorical aid is accompanied by regulations and reporting requirements to ensure that the money is spent on the students or on purposes for which it was granted. Some types of categorical aid, such as textbook money, are granted to all schools, while others require districts to apply for them. Some categorical funds are based on student characteristics, such as English language learners, while others are based on district circumstances, such as the need for transportation funds. Other types of categorical aid, such as for special education, require districts to provide some amount of base or 'matching' funds from their own general purpose revenues.

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<sup>62</sup> California Postsecondary Education Commission, *Fiscal Profiles 2001*, Commission Report 02-1, (January 2002).

<sup>63</sup> EdSource, *California's School Finance System*, (December 1999).

The balance of revenue to school districts comes from lottery funds and such supplemental sources as fees, cafeteria food sales, money for debt repayment, interest on reserves, and successful grant applications. Since 1990-91, lottery funds have been generating between \$110 and \$120 per student per year for districts.

The actions of California voters in the last 25 years have radically altered the financing of public schools and the roles of the State and local school boards. The 1978 passage of Proposition 13 removed the authority of local district governing boards to generate their own revenue through the levy of local *ad valorem* property taxes as well as dramatically reducing the amount of revenue realized from local property taxes overall. As a consequence, it significantly increased the role of the State in the financing of public schools and largely severed the fiscal link between local voters and their schools. Concerned about the schools' ability to attract adequate funding in competition with every other state General Fund-supported public program and service, voters approved Proposition 98 in 1988, which amended the state constitution to guarantee a minimum funding level for public K-14 education.

Propositions 98 and 13 also had a tremendous impact on the California Community Colleges. Like the K-12 public schools, community college districts previously derived the majority of their funding from local property tax revenues and had local authority to levy property taxes within certain limits to offer programs and services responsive to community needs. Proposition 13 removed this authority and shifted the proportion of district revenue from approximately 60 percent local and 40 percent state funding to the reverse. The California Community College system was the only one of California's three public postsecondary education systems to be incorporated in the constitutional guarantee of minimal funding resulting from passage of Proposition 98.

The California Community Colleges system declined to join its California State University and University of California counterparts in opposing Proposition 98, in hopes that they would be able to stabilize and improve their funding. There were then 104 (now 108) community colleges in 1988, organized into 71 districts (now 72), and serving more than a million students from diverse backgrounds, with different languages, learning styles, levels of preparation, and needs. Despite this huge diversity in students served, the community colleges were, as a matter of public policy, funded at a level substantially below that of their California State University and University of California counterparts. This fact reflected state decisions to manage the costs of broad access to postsecondary education through the differentiation of function, differential funding, and coordination that were embodied in the 1960 *Master Plan for Higher Education*. In 1988-89, state funding per full-time equivalent (FTE) student for the three public postsecondary education systems is shown in Table 7, following:

**Table 7**  
**State Funding per FTE in Public Postsecondary Education, 1988-89**

	<b>California Community Colleges</b>	<b>California State University</b>	<b>University of California</b>
1988-89	\$2,708	\$5,623	\$13,106
<i>Source: California Postsecondary Education Commission, Fiscal Profiles 2001, Displays 13-15</i>			

Community college hopes for stable and adequate funding as a result of inclusion in the Proposition 98 guarantee of minimum funding did not materialize. Community colleges' share of Proposition 98 funding was expected to be roughly 11 percent of the guarantee, but they received this amount in only the first three years following adoption of the proposition (see Table 8, following). Instead, they have found themselves subject to a 'floating' funding commitment, with the needs of K-12 schools addressed first and the resulting balance allocated to the community colleges.

**Table 8**  
**Distribution of Proposition 98 Funding**

<b>Year</b>	<b>1988-89</b>	<b>1989-90</b>	<b>1990-91</b>	<b>1991-92</b>	<b>1992-93</b>	<b>1993-94</b>	<b>1994-95</b>	<b>1995-96</b>	<b>1996-97</b>
K-12	88.8%	88.8%	87.8%	89.0%	90.1%	90.3%	89.4%	89.2%	89.0%
CCC	10.9%	10.9%	11.8%	10.7%	9.5%	9.4%	10.0%	10.1%	10.2%
	<b>1997-98</b>	<b>1998-99</b>	<b>1999-00</b>	<b>2000-01</b>	<b>2001-02</b>				
K-12	88.8%	88.9%	88.9%	88.8%	88.8%				
CCC	10.3%	10.2%	10.0%	10.3%	10.3%				
<i>Source: California Postsecondary Education Commission, Fiscal Profiles 2001, Display 11</i>									
<i>Note: California Youth Authority and Special State Schools received balance of Proposition 98 funds</i>									

California's approach to the financing of public postsecondary education remains primarily one of negotiating increases over the base budgets negotiated in previous years. The primary operations of the three systems are adjusted around several previously defined areas:

- COLA adjustments to their base budgets to reflect increases in cost of operations due to inflation;
- COLA adjustments to categorical programs in each system;
- Augmentations to increase compensation of faculty and other staff. Decisions about compensation increases for faculty are partially based on calculations of differences in the salaries paid by eight comparable institutions, in the case of University of California faculty, and 28 comparable institutions, in the case of the California State University faculty, conducted annually by the California Postsecondary Education Commission. There is no explicit state goal to pay faculty at or within a specific range of the average paid at the respective sets of comparison institutions;
- Enrollment growth, reflected in a negotiated marginal rate of funding. The marginal rate of funding is the negotiated amount of money required to add an additional

- student to a classroom. When growth is significant, it does not adequately capture additional costs of facilities, support services, and personnel;
- Adjustments for special needs, such as additional energy costs resulting from the 2001-02 fiscal year energy crises;
  - Capital outlay needs for deferred maintenance and new construction; and
  - Research initiatives for the University of California.

In addition to these adjustments to the base budgets of the postsecondary education systems, the Legislature and Governor can also make adjustments based on state policy priorities, including expansion of certain academic programs; student outreach programs; professional development programs and services for teachers, administrators, and faculty; technology applications; and so on.

In recent years, all three systems have entered into partnership agreements with the Governor and Legislature to stabilize the portion of General Funds they receive annually. The California Community Colleges have established a Partnership for Excellence (PFE) program, in which they agree to exchange more data, on specific student outcomes tied to their mission and functions, for increased funding from the State. Originally billed as a 'pay for performance' program, the PFE has evolved into a mechanism to attract increased funding to the system. Both the California State University and University of California systems have entered into partnerships with the Governor over the past four years to essentially provide evidence of responsiveness to state policy priorities in exchange for stable funding, funding of enrollment growth, and a predictable inflationary adjustment to their base budgets. These partnership approaches have injected more civility into the annual budget process for postsecondary education and have reduced, but not eliminated, perceptions of a political spoils system of funding in which the University of California negotiates its needs privately with the Governor, followed by the California State University, with any remaining resources allotted to the community colleges.

Total financing for postsecondary education derives from state and local tax dollars, student fees, lottery funds, and other university funds. In 2001-02 an estimated \$9.9 billion in General Fund monies and an additional \$1.8 billion in local revenue were invested in postsecondary education to support public colleges and universities. The former figure represents 12.6 percent of the 2001-02 General Fund appropriations, a 0.9 percentage point increase over its counterpart in the 2000-01 fiscal year, in the third consecutive year in which the percentage of General Fund appropriations devoted to higher education has increased. It falls short of its counterpart in the 1972-73 peak, when the State invested 17.7 percent of all General Fund appropriations in higher education, but still represents a 157 percent increase in 2001-02 inflation-adjusted dollars from 1972-73 appropriations.<sup>64</sup>

Student resident fees and non-resident tuition charges are another major source of revenue for public postsecondary education. Resident student fees are established by the University of California Regents and the California State University Trustees, for their respective systems, with the concurrence of the Legislature, and directly by the Legislature in the case of the California Community Colleges. Further, the University of California Regents are authorized to

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<sup>64</sup> CPEC. Op.Cit.

charge differential fees to resident students enrolled in certain graduate and professional programs. Each system's governing board is authorized to charge non-resident students tuition, defined as the full cost of instruction plus non-instructionally related costs charged to resident students. Total fee and tuition revenue generated by the three systems for the 2001-02 fiscal year is estimated at \$3.01 billion. During the early recession years of the 1990s, increases in student fees were used as a mechanism to offset state and local funding's falling below stated needs, generating serious concerns about the impact of fees on college access for talented students from low-income families.

Lottery funds accounted for only \$202 million of the funding available to support the basic operations of the three public postsecondary education systems in 2001-02. In addition, the community colleges generated funding from other sources totaling \$88.7 million in 2001-02; the California State University generated funding from other sources totaling \$1.6 billion, including federal funds, continuing education fees, and other revenues; and the University of California generated funding from other sources, excluding its organized research activities, totaling \$6.8 billion, including self-supporting operations, interest income, and other revenues. In addition, the University of California manages a substantial organized research operation funded by state, federal, and private sources.

Overall, state and local funding, including systemwide student fees, accounted for approximately 25.7 percent of the University of California's total cost of operations, 65.9 percent of the California State University's total operations, and 95.6 percent of the community colleges' total operations, during 2001-02. These percentages change somewhat for the California State University and substantially for the University of California if the calculation is restricted to instructionally related activities. This fact reflects the differences in the missions and functions assigned to the three systems, as well as the fee structure permitted by state policymakers. Low fees have been deemed to be an essential component of broad access and hence community college fees have been kept low – currently \$330 per year, the lowest of any public community or junior college system in the nation. Systemwide fees at the California State University have been set at \$1,428 per year for the past three years, and systemwide resident student fees for the University of California have also remained the same for the past three years, at \$3,429, ranking them below the average for comparable public universities nationally. To ensure that enrollment remains a viable choice for talented low-income students, the State has significantly increased its investment in state-supported financial aid programs over the past decade, increasing appropriations from \$149 million in 1992-93 to more than \$503 million in 2001-02. Senate Bill 1644 (Statutes of 2000), which instituted a guarantee of financial aid to all eligible high school graduates in 2000-01, accounted for a 34 percent increase in financial aid funding that year.

For nearly two decades, California's public school districts have paid for about 60 percent of the cost of constructing new school facilities and modernizing existing ones through property tax overrides and developer fees. The State has picked up the remaining 40 percent of school facility costs through the issuance of General Obligation bonds. These proportional shares represent the split for total school facility costs in the state (shares for individual districts could have ranged from zero to 100 percent for either partner). Over the years the State has developed a number of programs for the allocation of capital funds to districts, using a variety of criteria that include measures of school facility capacity, enrollment, and age of existing facilities.

A practice that has been most detrimental to some school districts is the allocation of capital funds on a first-come, first-served basis. Because of variations in district capacity to prepare complete applications for facility funding, and differences in availability of land for new construction, some districts have annually failed to secure funding badly needed for new construction and have accordingly experienced overcrowded schools and schools in a poor state of maintenance. This limited capacity has been worsened by the unpredictability of when the State would be able to make facility money available to districts, how much money would be available, and what rules would govern eligibility, impairing district ability to plan, build schools, and raise supplemental local capital funds.<sup>65</sup> The first-come, first-served approach to allocation of what limited capital funds are available has also meant that districts with the greatest needs have not necessarily received facility funding. This fact has prompted reliance on year-round education in some districts, some configurations of which have the disadvantage of fewer calendar days of instruction and of extending the length of instructional days to ensure that state-mandated instructional minutes minimums are met. It has also resulted in lawsuits seeking to reserve facility funding for high-need districts and to divert facility funding to districts that are unable to provide high-quality teaching and learning conditions due to inadequate facilities. It also underscores the importance of having a state entity, such as the State Allocation Board, develop and maintain a facility inventory for public schools to enable better monitoring of the age of school facilities, with the resulting data to be factored into state-level facility planning.

Meeting the facility needs of public colleges and universities also relies on a combination of state and local funding. Within public postsecondary education, only the community college districts have the option of raising local facility revenue through parcel taxes with the two-thirds approval of local voters. The California State University and University of California systems both rely on state appropriation of General Fund monies and issuance of General Obligation bonds to meet capital construction and modernization needs. Long range planning is hampered, as with the public schools, because the two university systems never know when or how much state facility money will be available. However, each systemwide office prepares and regularly updates long-range facility plans based on campus master plan capacity and estimates of enrollment demand.

The 1960 *Master Plan for Higher Education* established a process to guide the construction of new college and university campuses. The process requires each system that believes it needs to construct new campuses, to develop and present a supporting rationale for that conclusion to the California Postsecondary Education Commission (CPEC) for review and approval prior to allocation of General Fund dollars for that purpose. CPEC has prepared a set of review criteria that it uses to evaluate each application, and forwards each of its recommendations both to the Legislature and to the proposing system. Conceptually, the Legislature does not appropriate money for new campus construction without a positive, independently determined recommendation from CPEC; but recent free or near-free gifts of federal and private property, coupled with strong enrollment growth, have served to substantially influence CPEC's recommendations.

As a result of the weaknesses in the ways that California finances educational facilities, a number of agencies are offering alternative approaches to both financing facility construction and

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<sup>65</sup> Elizabeth G. Hill, *A New Blueprint for California School Facility Finance*, (May 2001)

modernization, in the case of the public schools, and reviewing and allocating State facility funds for the public colleges and universities. These alternatives aim to provide greater flexibility, predictability, and timeliness in meeting facility needs of public education.

Overall, California is currently far from the approach to financing public education that the Joint Committee envisions. California continues to attract large numbers of people who choose to call this state home, and collectively they will place huge demands on our education system. We have an obligation to think creatively about ways to finance an education system that will be of consistent high-quality and that will provide the uniform conditions for teaching and learning necessary to enable all education providers to meet our expectations for student learning and to meet the needs of our diverse state economy. This section offers guidance in this area.

### **The Vision**

**I**n absolute dollars, California now invests more money in its public education system than any other state in the nation, by a considerable margin; but we also enroll considerably more students than any other state. We envision a system, however, in which we will be far less concerned about how California's investment compares to that of other states than we will about how well we are providing the resources we believe are necessary to make possible the education system we desire. Our annual appropriations for each level of education would be determined by our best estimates of what it costs to provide the educational resources that make a difference in promoting student achievement. We would fully expect all public schools, colleges, and universities to be efficient in their operations and use of public funds; but we would also realize that quality education is expensive. We would not expect public education to sacrifice effectiveness simply to achieve greater economy.

We would ground our educational goals in academic content standards and proficiency levels for student achievement, from preschool to lower division levels of postsecondary education. These academic standards would be reviewed on a regular cycle and adjusted as deemed appropriate for current and future state needs. We would use the findings of our own researchers and education providers, as well as those from other states and nations, to determine the components essential to the educational quality we envision, in which virtually every student would be prepared for success at each subsequent level of education and upon eventual transition to employment and/or postsecondary education, and to active participation in California society. We would affirm our belief that readiness for participation in California society would also prepare individuals for global involvement.

We would commit ourselves to providing adequate compensation, benefits, and working conditions that would position California to attract and retain education personnel with professional qualifications and attitudes that would match our vision of public education at all levels. We would modify our compensation schedules and reward systems to provide opportunities for increased compensation without requiring excellent teachers to leave the classroom or disproportionately devote their time to research unrelated to excellence in teaching and learning. We would earmark a modest proportion of state-funded research to advance our knowledge of what works in promoting learning and achievement among diverse student groups, in recognition of the fact that the greater public benefit derives from Californians who develop a



disposition for learning and acquire from their educational experiences the tools of learning that enable them to continue to learn over a lifetime.

Our goals-based approach to financing public education would enable us to strike a better balance between state and local control over the use of education resources. The State would focus clearly on the academic achievement goals it wanted for all students and the resources necessary to achieve those goals, but would clearly understand that there is no single ‘best way’ to achieve those goals. We would therefore dramatically reduce state reliance on categorical allocation of funds. Rather, we would ensure that all education institutions had the base of funding determined to be adequate to achieve the goals established for them, and allow them to locally determine how best to use those funds to achieve the learner outcomes we expect. We would establish state standards for physical facilities, to ensure appropriate conditions for teaching and learning, and for teaching and administrative qualifications, to ensure all students are taught by qualified teachers. All education institutions would be run by educational leaders who understand how to maintain school cultures that are supportive of teaching and learning, knew how to evaluate achievement data, and emphasize continuous improvement. These educational leaders would also publicly report educational progress within their institutions to enable regular review and evaluation of both student achievement and institutional performance. The resources needed to gather and report appropriate data would be considered essential components of quality and would be built into the adequate base of funding.

All public schools, colleges, and universities would maintain an array of supplemental learning support designed to assist students in meeting the learning expectations we had for them at each level of public education. This support would include learning centers, academic tutoring, and supplemental instruction; it would also include use of technology to facilitate independent replication of problem solving, retrieval of lecture and/or lab notes after hours, accommodation of diagnosed disabilities, and embedded assessments to assist students in accelerating their learning. Professional staff would be available to assist students in grounding their learning in real-world contexts through service learning experiences, career exploration, internships, apprenticeships, and career and academic planning. These contextual learning opportunities, too, would be considered essential components and would be built into our base of adequate funding.

We would systematically upgrade and expand public education facilities through a combination of direct General Fund appropriations and issuance of General Obligation bonds. We would focus first on upgrading schools and colleges with the oldest facilities and with the facilities in the worst state of repair. Not only would this focus be both logical, and equitable to students and communities, it would contribute to satisfaction of our commitment to ensure that qualified teachers were available to teach students in every public school classroom, by ensuring they had modern, well-maintained campuses in which to teach. Like that of all states, California’s economy would still be subject to good times and bad times. We would follow the advice of economists by using bonds to amortize the costs of facility construction and modernization, spreading their repayment across future generations whose children would derive the greatest benefits from the facilities. We would be mindful, however, that some of those future costs could be mitigated through direct appropriation of General Fund monies for facility needs when state revenues permitted, thereby avoiding financing costs to the State and on-going expenditures that would be more difficult to reduce during poor fiscal times.

We would reaffirm our state's long-standing commitment to providing Californians affordable access to public colleges and universities. We would adhere to the belief that students have an obligation to assume responsibility for paying a fair share of the costs of attending college. That share, after possible readjustments, would include health care, laboratory fees, intercollegiate athletics, and student services. Additional costs could be incurred by students who chose to reside on campus or park personal cars on campus. Any suggested increase in student fees would be based on increases in these costs and would be limited by changes in per capita family income. The State would assume responsibility for meeting increases in operational costs related to instruction and state-supported research. Changes in housing and parking costs would be annually communicated to students in writing and would be considered legitimate costs of attendance for which needy students could receive financial assistance, as would other costs used to determine mandatory student fees. During times of poor economic conditions, state policymakers would negotiate with the governing boards of each public system to limit any increases in student fees and to balance trade-offs between enrollment growth, compensation increases, and investment in other quality education components.

We would be obligated to be prudent in the use of public funds, even for as important a state investment as public education. We would seek to carry out this responsibility in several ways. First, we would actively encourage schools, colleges, and universities to build and maintain linkages with businesses throughout the state. Business would be not only a consumer of education products but a provider itself. Business could also be far more responsive to innovation and change than education institutions, and could serve both as a harbinger of what education institutions might need to be responsive to in their delivery systems and as a source of access to near state-of-the-art equipment, as businesses made wholesale shifts to accommodate the latest advances in technology. The State would provide certain incentives to businesses to engage in such partnerships with education institutions.

Second, we would seek to take greater advantage of the impressive array of private and independent schools, colleges, and universities within California. At the postsecondary level, we would continue a long-standing commitment to providing financial assistance to Californians who choose to enroll in independent institutions rather than public colleges or universities. We would incorporate private, proprietary colleges and universities into our education system to ensure that students who choose to enroll in such institutions would have access to comparable quality in educational programs, enrollment in which, in turn, would qualify them for need-based financial assistance from state and federal sources.

Finally, we would center coordination of California's education institutions in the California Education Commission (CEC). The combination of direct interaction with representatives of preschool, K-12, and postsecondary education sectors; access to data maintained by the state's education sectors; and a focus on long-term planning by the CEC would facilitate efficient use of public resources and avoidance of undesirable duplication. We would reaffirm our belief that differentiation of function is more efficient than redundancy in function among California's education providers. Our mechanism for coordination would reflect this belief.

Our vision of California's education system would be expensive but efficient. We would steadily improve our understanding of the relationship between component costs and the goals we adopted for public education. A portion of the research capacity of this state would be continuously focused on this relationship to guide state policymakers in making difficult funding decisions when the State entered poor fiscal circumstances. Our clarity of vision and understanding of the relationship between education goals and their costs would also guide reinvestment decisions when economic times improved, so that we would reinvest in things that matter most rather than simply attempting to restore cuts or unrealized gains of the past.

### *What is Needed?*

Funding for the basic K-12 educational program in California currently is distributed to districts in amounts that are similar for each student in the state, with additional, specifically targeted funding provided through separate programs to meet exceptional student needs. Districts receive an amount for each student that reflects an average of the costs of education across many students, but that average amount is derived from historical levels of education spending established at a particular point in time, rather than from any calculation of the actual costs of education, then or now.

This Master Plan envisions a fundamental change from a traditional focus of California's K-12 financing system on equality of funding – assuring that nearly all schools receive similar dollar amounts per student – to one of adequacy, in which the essential components (personnel, materials, equipment, and facilities) necessary for an exemplary education are identified and provided. With this foundation of adequate resources for a high-quality education, schools and students would be truly accountable for meeting established standards of achievement.

“While real per-pupil spending has increased steadily, as have efforts to enhance equity in spending, wide disparities still exist between groups of students.”

--W. Norton Grubb and Luis A. Huerta, 2001

Funding for postsecondary education, like that for K-12 education, is distributed in amounts that are similar for each full-time-equivalent (FTE) student enrolled in each public system, although the amounts vary significantly by system. State appropriations for public colleges and universities, for the most part, do not recognize the cost differences of different disciplinary programs, the costs of responding to varied student learning support needs, or

the cost differences associated with format (lecture, lab, seminar, and so on.) and level (lower division, upper division, or graduate) of instructional delivery.<sup>66</sup> Because enrollment in postsecondary education is not a fundamental right like K-12 enrollment, and because nearly all postsecondary students are 18 years old or older, the State does not strive to meet the full costs of operations for public colleges and universities through direct General Fund appropriations. A

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<sup>66</sup> State appropriations have averaged the cost differences of high-cost programs like nursing into the per FTE appropriations for each system. It also builds in cost differences associated with the different missions assigned to the CCC, CSU, and UC.

portion of the costs of operation for colleges and universities is met from federal and private grant funds, and another portion is met from fees charged to students. The State has a significant influence on the fees that are charged to students enrolling in public colleges and universities and, therefore, on the perceived accessibility and affordability of postsecondary enrollment for California's least-advantaged learners.

This Master Plan continues to support the goals embodied in the 1960 *Master Plan for Higher Education*, which promoted broad access, affordability, and choice for Californians. When this historical perspective is coupled with an emphasis on promoting student achievement at all education levels, we believe that this Master Plan should seek to establish a postsecondary education financing system that supports the goals of (1) Access; (2) Affordability; (3) Quality; (4) Choice; (5) Efficiency; (6) Cooperation; (7) Accountability; and (8) Shared Responsibility.<sup>67</sup>

Funding for the programs and services needed to foster school readiness in every child comes from a myriad of state and federal sources and is not easily reduced to an allocation formula per child. In many cases little or no public resources are expended on developing the readiness of young children; in other cases, considerable funds are expended. This Master Plan envisions consolidating multiple funding streams to improve the adequacy of funding, to ensure that all parents and families who desire it have access to the services that will enable them to help their children become ready to learn upon enrollment in school.

## **PreK-12 Education**

California's current K-12 finance structure is complex and highly restrictive in its determination of both revenue generation and expenditures. The State appropriates a substantial portion of district revenues for specific purposes and in doing so encumbers districts with multiple requirements as to how those funds may be used. The result of this longstanding pattern is a byzantine structure of education finance, including many dozens of specifically targeted budget appropriations, that impedes educators' flexibility to meet the comprehensive needs of individual students (to whom those funds are targeted). Moreover, the complexity of this structure precludes community members at large from understanding how their schools are funded, thereby eroding their capacity to support their schools and divorcing them from school decision-making. We therefore believe that simplification of the PreK-12 finance system must be an objective of this Master Plan. To achieve simplification, it is essential that the PreK-12 finance structure be understandable by parents, educators, policymakers, and the general public; and it must be aligned with the instructional, governance, and accountability structures of the public school system.

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## **Recommendation 44**

**The Legislature should direct a 13-member Quality Education Commission, consisting of business, parent, and education community leaders from throughout the state, to develop a California Quality Education Model (CQEM), to be consistent with the parameters set**

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<sup>67</sup> See recommendations contained in the final report of the Joint Committee's Working Group on Postsecondary Education Finance for further rationale for these financing goals.

**forth in this Plan, and use that model to determine an adequate level of funding necessary to support a high-quality education for every student enrolled in public schools, PreK-12.**

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Replacing the existing school finance model, the CQEM would provide the Legislature with the critical education components (see the Access portion of this Plan for a listing of the core quality components), related resources, and corresponding level of funding needed to provide the opportunity for every student to obtain a quality education based upon rigorous state standards. This information would allow the Legislature and the Governor to make more informed annual budgetary decisions about the level of resources available for education, and how those resources can be allocated to foster a world-class education system. It will also provide the beginnings of a meaningful context for shared accountability within a framework of flexible local control over the use of educational resources.

The Commission's work and the California Quality Education Model should reflect the policy goals and structure of this Master Plan. This model should include creating a guaranteed preschool allocation for all three- and four-year olds (and additional funding for 'wraparound' care and flexible support services for three- and four-year olds of low-income families) to provide school readiness services to them and their families through local School Readiness Centers. The Commission should be authorized to convene and consult expert panels for advice relating to research-based best practices that are most closely associated with high student achievement. The Commission should assure that the substance of the model fairly captures the diversity of California. To ensure timely implementation of this action and its future appropriateness for California, we also recommend the following actions:

**Recommendation 44.1 – Within 12 months of its formation, the commission should submit its final report, encompassing the prototype model and the commission's findings and recommendations, to the Legislature and Governor. The Legislature should adopt the model as the basis for determining PreK-12 education funding for California.**

**Recommendation 44.2 – The Quality Education Commission should continuously monitor, evaluate, and refine the California Quality Education Model, as appropriate, to ensure that its implementation provides adequate funding for high-quality education for all students at all schools.**

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## **Recommendation 45**

**The Legislature should limit adjustments to the adequate base of funding to three types of categorical funding to reflect differences from the prototypes used in the California Quality Education Model.**

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Categorical programs provide resources to accommodate differences in student needs, for efforts to meet selected state policy goals, and to spur reforms in the delivery of educational services.

The committee supports *appropriate* categorical programs and the purposes they serve, with the caveat that they should not be used to circumvent the intent embodied in adoption of a quality education model for financing public school operations. California is a very diverse state, and that diversity signals differences that must be addressed by targeting funds to selected districts and students. Further, the courts have affirmed the appropriateness of promulgating differences in funding based on students' needs. To forestall further proliferation of categorical funding, adjustments to base funding should be limited to those which accommodate district characteristics that are not under the districts' control, a limited set of student characteristics, and short-term initiatives. Therefore, we further recommend:

**Recommendation 45.1 – The State should develop a K-12 school finance system that recognizes a limited set of differential costs, primarily geographic in nature, that are not under the control or influence of school districts, by establishing a *District Characteristics* adjustment.<sup>68</sup> The additional revenue provided to school districts in recognition of these uncontrollable cost factors would result in similar overall levels of 'real' resources.**

**Recommendation 45.2 – The State should include in the K-12 school financing system block grants for allocation to school districts on the basis of *Student Characteristics* that mark a need for additional educational resources. Further, we strongly suggest that the adjustments in this category be limited to additional funding for special education, services for English language learners who have been enrolled in California schools for less than five years, and resources provided in recognition of the correlation of family income level with student achievement. (New programs in these areas should be tested and implemented through an initiative process, described in the following recommendation).**

**Recommendation 45.3 – The State should establish a category of grants that would be clearly identified as *Initiatives*. These initiatives should be limited in duration, and serve one of two purposes:**

- **Pilot and evaluate proposed new programs before they are implemented statewide. Once such a program were implemented statewide, the funding for it would be consolidated into the base funding for schools, or one of the two major categories of adjustments – student characteristics and district characteristics.**
- **Meet immediate, but temporary, needs for additional funding targeted to specific districts to mitigate the effects of transitory, and possibly unforeseen, shocks to the instructional program. For example, funding provided for programs specifically targeted to reduce the number of emergency permit teachers would be a high priority, but presumably time-limited, effort.**

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<sup>68</sup> District characteristic adjustments are intended to address such needs as transportation and weather challenges resulting from the geographic locations of school districts, rather than differences in the cost of living in different areas of the state.

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## Recommendation 46

**The State should provide local school districts with options for generating revenue locally to supplement their adequate funding base (as outlined in recommendations 44 and 45), and should provide local community college districts the same options for generating revenue locally.**

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Historically, local communities provided the majority of school funding through locally generated revenue streams. Since the passage of Proposition 13, the State has assumed the role of providing the majority of school funding. Today, nearly 30 percent of public school funding still comes from local sources, and we believe that local communities should still share in this level of revenue generation to support an adequate base of education funding.

School and community college district governing boards could be more responsive to local educational needs, and could be held more accountable by local electorates for programmatic decisions, if they were able to generate revenues locally to supplement their adequate funding base. Districts currently have very limited ability to raise revenues locally. The bulk of ‘local’ revenue in the current financing system comes from the property tax, and property tax revenues allocated to local school districts are a dollar-for-dollar offset to state aid. Finally, property tax rates are set by constitutional and statutory provisions not subject to local control. Currently, school districts can receive locally raised revenue from a few previously authorized special taxes. School districts can, with approval of the electorate, impose a parcel tax; and they can participate in a local sales tax through a local public finance authority. Schools also raise funds locally through foundations and other parent-centered fundraising efforts. While these sources of revenue may be significant for some school districts and schools, they are limited in their application across the state.

It is critical to recognize that a meaningful local revenue option must link local revenues to those purposes that are best developed and resourced locally. In particular, we would caution that local revenues raised from an optional tax must not become a means of supplanting adequate basic educational funding that is a statewide responsibility. Consequently, local revenue options should not be available until the State has met its obligation to provide adequate funding to support high-quality education in every public school. Revenues raised from a local option tax must be available wholly at local discretion, to augment all other funds received for the educational program. With this caveat, we recommend the following additional options be provided to local school districts:

**Recommendation 46.1 – The State should authorize school districts in counties where a majority of school districts wish to join together to propose to the electorate a sales and use tax increase, within the local option sales and use tax levy limitation, to take effect with the approval of the voters in a countywide election. Revenue would be divided among the schools on a population (per-pupil) basis, or as delineated in the tax measure. The State should provide for an equalization mechanism to enable a state-guaranteed tax yield, to ensure that each county voting**

to do so could raise the statewide average per-pupil amount that would be realized through the imposition of a given tax rate.<sup>69</sup>

**Recommendation 46.2 – The Legislature should approve a ballot initiative to amend the constitutional provisions governing the property tax, to authorize school districts that have voted for and been granted ‘home rule’ authority (see Recommendation 31), and all community college districts, to propose to the electorate a property tax override for the exclusive use of the public schools or community colleges. The State should assure a minimum, state-guaranteed yield per pupil through a statewide equalization mechanism to provide state financial assistance to communities where a self-imposed tax rate would not yield the minimum state-determined per-pupil amount for that rate.<sup>70</sup>**

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#### **Recommendation 47**

**The Legislature should direct an analysis of the feasibility of replacing the current funding model for school facilities with annual state per-pupil allocations restricted to assisting school districts in meeting their capital and major maintenance needs according to a long-term Facilities Master Plan adopted by each school district. State and local funding for capital outlay and major maintenance should be protected to prevent redirection of capital resources when other cost pressures arise and to protect the public’s investment in major capital projects.**

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School facilities are an integral part of the package of resources necessary to provide a high-quality education for students. The first step in ensuring their adequacy is to determine the level of resources necessary to provide each student with an educational facility that supports a high-quality education. While specific criteria must be developed to determine and ensure adequacy for school facilities, there is no doubt that the current model of funding for public school facilities in California is unresponsive to the planning and funding needs of school districts, and, therefore, results in the inefficient use of resources for facilities. In particular, reliance on state General Obligation bonds and the current method of allocating bond proceeds has created a system that has not been conducive to long-term planning for school facility needs at the local level, and that fails to ‘leverage’ or encourage the development of local sources of funding for school capital outlay needs. County offices of education, which provide essential services to special education and community school students, do not usually have access to local funding sources available to local school districts. Consequently, county offices of education should continue to receive allocations of state funding in amounts necessary to fully meet the needs of specific facility projects to support these programs.

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<sup>69</sup> Because of the *Serrano v. Priest* provisions, it is important that the State take steps to ensure that districts successfully pursuing local revenue options would not generate fiscal conditions between districts that were grossly unequal and would result in inequitable opportunities to learn throughout the state.

<sup>70</sup> Ibid



Should this analysis suggest that changing California's approach to funding school facility needs to a per-pupil annual allocation is feasible, we are concerned that the transition to such a system not perpetuate existing inequities among schools. Students and teachers throughout the state should learn and work in facilities that will promote and support a high-quality education. We would therefore recommend that any transition incorporate the following actions:

**Recommendation 47.1 – The State should require that first priority for capital funding allocations be given to meeting projected needs, taking into consideration historical patterns of student migration/mobility. After all school districts have achieved state standards of adequacy<sup>71</sup> for their facilities and the State has transitioned into a base per-pupil allocation mechanism, the commitment to equity should change focus from ‘leveling up’ to accommodation of special circumstances.**

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#### **Recommendation 48**

**The State should create a statewide school facilities inventory system to assist state and local decision makers in determining short- and long-term school facilities needs.**

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It is not possible to do a credible job of estimating and developing plans to meet the costs of providing adequate educational facilities for all public education institutions, without having an accurate understanding of the age and condition of existing facilities. Under the current configuration of state entities, the State Allocation Board is the appropriate body to develop and maintain such an inventory on behalf of the State and to coordinate allocation of facility funds to public schools. Within the governance structure described in the Accountability section of this report, however, the California Education Commission, which would be responsible for planning and coordination, might ultimately evolve as the appropriate body to maintain such an inventory for all public schools, colleges, and universities. Based on testimony and recommendations received by the committee, we believe that a tiered approach to developing and maintaining needed facilities data is appropriate. Local districts and postsecondary education campuses have a responsibility to manage and maintain public education facilities in satisfactory condition, and should routinely gather, maintain, and update data that enable proper exercise of this responsibility. Regional education entities and systemwide offices of the public postsecondary education sectors have a responsibility to monitor district and campus compliance with state facility standards, and should inspect facilities and request data from local districts and campuses that would enable them to certify the condition of education facilities to the State on a regular schedule. The State should specify standards for education facilities that must be met or exceeded by all public education institutions. To facilitate diligent exercise of these complementary responsibilities, the State should determine the basic data needed to make necessary management, budget, and policy decisions, incorporating information contained in existing data collection reports maintained by school districts.

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<sup>71</sup> The standards of adequacy referred to here are consistent with recommendation 20 in the Access section of this Master Plan.

## Postsecondary Education

California's current postsecondary education finance structure is based upon historical practices rather than an analytic model. It reflects different levels of General Fund allocation per full-time equivalent (FTE) student that, in part, reflect the differential missions and functions assigned to each sector with the adoption of the 1960 *Master Plan for Higher Education*, and different costs associated with program mixes and levels of instruction (for example, community colleges are prohibited from offering instruction at the upper division or graduate levels). Each of the three systems has developed additional capacity to generate fiscal resources independent of General Fund support, relying on contributions from alumni and wealthy patrons, as well as indirect funds generated from successful research activities of their faculty and other grants attracted by professional staff. The community college sector has less capacity to generate extramural funding and hence has a greater reliance on General Fund support. Its inclusion in the Proposition 98 funding guarantees has also proved to be a disadvantage, in that the fiscal needs of the public schools have been given a greater priority in the distribution of Proposition 98 funding than the community colleges needs – an artifact reflecting the constitutional right to attend a free public school described in the Access section of this Plan as contrasted with the statutory promise of access to postsecondary education. All three public postsecondary education sectors have had to struggle with the impact of increased student fees and institutional costs during periods of state economic exigency. California's continuous growth has also eliminated the prospect of providing free access to public postsecondary education, given other increasing demands on the General Fund. We believe that seeking to better determine how General Fund monies can be combined with federal and private funding to keep postsecondary education affordable to Californians who desire it and meet the costs of operations of public colleges and universities is an appropriate objective for this Plan.

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### Recommendation 49

**The State should adopt policies to provide more stability for finance and to dampen the 'boom and bust' swings of state appropriations for postsecondary education.**

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In good financial times, the State funds the base budgets of public institutions according to certain agreements or annual negotiations, plus costs associated with projected enrollment growth. The State also provides additional support beyond this funding. In bad financial times, the State cuts base budgets by some negotiated amount, may reduce funds for additional enrollments regardless of demand, and allows student fees to increase substantially. This summary accurately describes funding of public postsecondary education over the past decade. Analysis, research, working group reports, and expert testimony offer no reliable alternative. Once the State has satisfied its commitment to provide an adequate base of funding to meet the basic operational needs of its public colleges and universities, additional allocations should emphasize one-time expenditures that can, if necessary, be more easily reduced in times of financial stress. The State should examine the adequacy of its approach to funding public colleges and universities in several respects to ensure that resources are adequate to preserve high-quality teaching and learning opportunities at all levels.

As with K-12 financing structures, we believe the State should maintain a long-term objective for postsecondary education financing of aligning the allocation and expenditure of monies with the actual costs of providing the educational services for which they are spent. The Joint Committee recognizes that this objective may be more difficult to attain for postsecondary education, in that each sector has multiple missions and functions to carry out, and that the faculty, academic support, instructional materials, and facilities employed at each institution are utilized differently to meet each or all of these missions and functions. Hence, assigning a percentage of their time/usage to various missions would be complex. However, the committee finds the proposition that the State should allocate funding to support lower division instruction at roughly comparable levels in all three public sectors of postsecondary education is attractive in several respects: it is consistent with our stance that quality educational opportunities should be available to all students enrolling in public colleges and universities and that state financing should reflect this commitment; it would provide substantial additional resources to community colleges, which serve students with the greatest range of preparation and learning support needs; and it might foster greater faculty collaboration and course articulation. However, pursuing this option could result in a substantial additional financial obligation for the State, which could threaten community college access during poor economic times and exert pressure to increase fees charged to community college students.

It has also been suggested that consideration be given to extending the California Quality Education Model (see Recommendation 44) to the postsecondary education sector. This suggestion is consistent with our vision of developing a coherent system of education, and would substantiate the recognition that education institutions serving greater proportions of students for whom additional services are necessary to enable them to reach common expectations require additional resources beyond the adequate base provided to every campus within each respective system. Such an undertaking would be substantially more complex than that required for developing a new funding model for public schools. These alternative approaches to financing postsecondary education may be appropriate for consideration, since they come closer to identifying the education components essential to quality education at the postsecondary level; but the financial implications of these approaches require that they be studied carefully before action is taken to implement any one of them. Examination of these options should also be accompanied by an analysis of their potential impact on student fee policy and financial aid requirements.

In a similar vein, disparities exist in state financing of California's public colleges and universities in several regards. First, definitions of what constitutes a full-time equivalent student (FTES) – the basis for student-driven funding allocation by the State – at the graduate level are not common for the California State University and University of California systems (15 units and 12 units, respectively), resulting in the generation of differential funding beyond that which occurs as a result of the differences in funding per FTES for each system. Second, the State engages in line-item financing of the central administrative office operations of the California Community Colleges, in contrast to its practice of providing overall system funding for the California State University and University of California systems – resulting in the Board of Governors' being financially precluded from effectively governing the community colleges. Finally, the University of California and California State University systems receive minimal

support for applied research related to state policy priorities, such as effective teaching and learning practices, and have no reserve appropriated for research to address urgent state-determined priorities.

While much of the testimony and staff analysis on these points is interesting and, in some cases, compelling in nature, specific recommendations for long-term changes in postsecondary education financing are inappropriate at this time. Nonetheless, we believe that the following near-term actions should take place:

**Recommendation 49.1 - The State should establish the California Community Colleges' share of overall state revenues guaranteed by Proposition 98 to K-14 education at 10.93 percent.**

**Recommendation 49.2 - The State should analyze the appropriateness of modifying the current 'marginal cost' approach for funding all additional enrollments in public colleges and universities, to account for contemporary costs of operations, differing missions and functions, and differential student characteristics that affect costs in each sector.**

**Recommendation 49.3 - The State should make an annual investment for state-supported applied research by public postsecondary education institutions, to be held in reserve to allow the State to address issues of urgent public priority, as identified by the Legislature and the Governor. Such investment and allocation should be consistent with the missions of the postsecondary education sectors.**

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## **Recommendation 50**

**The Legislature and Governor should, after formal study of all relevant factors, determine and define how the costs of postsecondary education should be distributed among the State, the federal government, and students and their families, and thereupon design a new, fiscally responsible, and appropriately balanced student fee policy that would preserve access to higher education opportunity for all of California's students, particularly those from low-income and underrepresented groups.**

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California's traditional policy of retaining low fees for public postsecondary education should be re-examined in light of modern realities. The 1960 *Master Plan for California Higher Education* strongly endorsed low student charges, prohibited tuition (direct payment for instruction), and assumed that fees were the most important factor in steering young adults toward or away from college. That assumption discounted the impact of the costs of other factors, such as housing, transportation, child care, and various fees for materials, books, and supplies, all of which have been growing significantly.

Appropriate information is needed to guide any reform of the State's current fee structure and the development of any fee policy. Such information could also assist in determining how the costs of postsecondary education should be distributed among the State, institutions, the federal government, and students and their families. California has provided essentially tuition-free access to public post-secondary education, including very low fees for students enrolled in community colleges and comparatively low fees for students enrolled in the California State University and University of California systems. For a variety of reasons, including enrollment growth, economic uncertainty, and increased demand for limited General Fund dollars, the State should now consider a shift from a no- or low-fee system to a system of affordable fees, coupled with sufficient financial aid to assure fees are never a barrier to access for Californians seeking postsecondary education. California should strive for a fiscally responsible and equitable fee policy that would minimize and mitigate the creation of barriers to students from low-income and under-represented groups, and preserve access for all Californians. There is also benefit from state actions to limit substantial year-to-year increases in student fees, which research indicates have the greatest negative impact on students enrolling in community colleges.

Any change in fee policy should be complemented by a correlative change in financial aid policy that would recognize the overall costs of attending a postsecondary education institution in California. California should also continue its commitment to use state financial aid policies to encourage and enable students who want to pursue their postsecondary education goals at independent and private postsecondary education institutions.

Accordingly, we recommend the following actions:

**Recommendation 50.1 – The State should adopt a student fee policy aimed at stabilizing student fees, such that, to the extent feasible, fees would increase in a moderate and predictable fashion when needed, and should resist pressure to buy out student fee increases or reduce student fees at the California Community Colleges California State University, and University of California systems during strong economic times. The State should adopt distinct student fee policies designed to address the unique needs and considerations of California's 2-year and 4-year public institutions.**

**Recommendation 50.2 – State policy should allow additional fee revenue collected by community colleges to remain with each college, without a General Fund offset, whenever fiscal conditions compel fees to be increased.**

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## **Recommendation 51**

**The State should maintain a need-based financial aid and scholarship program to assist students from low-income backgrounds to pursue their educational objectives in a California college or university.**

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Today, more financial resources are available to students than ever before to pay the costs of fees, room and board, and books, depending on students' financial circumstances and the kind of institution attended. These resources include federal and state need-based grants (Pell and Cal Grants), middle-income federal tuition tax credits, institution-based grant aid given by each college or university, and subsidized and unsubsidized loans to students or parents. The latter constitute a growing proportion of the financial aid available to students, and the type most often rejected by low-income students. California's Cal Grant program, the largest of its financial aid programs, originated as a scholarship program and has evolved over time into one that emphasizes both need and merit. Further expansion of this program should retain a high priority on the financial need of students, since meritorious achievement of students is recognized by admission to one of California's two 'selective' public universities or by admission to selective independent colleges and universities operating within the state.

Fiscal pressures resulting from a growing demand for General Fund support of public programs in a growing state, routine shifts in the strength of the state's economy, and steady growth in postsecondary education enrollment demand have fueled a shift from statewide practices of no or low fees to affordable fees. Notwithstanding these realities, California should continue its commitment to affordability for students enrolled in public colleges and universities. California should also continue its commitment to use its financial aid policies to encourage and enable students to pursue their postsecondary education goals at independent and private postsecondary education institutions. In addition, public postsecondary education institutions should be strongly encouraged to use institutionally based aid to ensure that low-income students enrolled in their campuses are not left with unmet need.

Accordingly, we recommend the following actions:

**Recommendation 51.1 – The State should continue to emphasize financial need in the award of state-supported student grants and should continue to fund the Cal Grant 'entitlement' as defined in SB 1644 (Statutes of 2000). The State should assure outreach and distribution of information regarding financial aid to students from low-income families and under-represented groups.**

**Recommendation 51.2 – The maximum Cal Grant amount awarded to students choosing to attend independent postsecondary education institutions should be reviewed periodically, but at least once every five years and, as needed, adjusted to maintain the estimated average General Fund cost of educating a student at the public four-year institutions of postsecondary education, including the average authorized student fees charged by the California State University and University of California systems.**

**Recommendation 51.3 – The State's financial aid policy should consider the role of institutional aid, maintaining flexibility in its use by higher education institutions, while holding the institutions accountable for its use in meeting the State's commitment to providing need-based financial aid.**

**Recommendation 51.4 – The Legislature should regularly review, and where appropriate update, state financial aid programs in order to ensure that eligibility requirements are consistent with contemporary needs of students.**

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## **Recommendation 52**

**The State should review its methodology for determining and funding facilities in California postsecondary education, and, as appropriate for each segment, make changes to emphasize multiple-use facilities, comprehensive space planning, sharing of space among institutions, and incentives to maximize other sources of capital outlay.**

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The California Postsecondary Education Commission estimates that by 2010 enrollment demand will total more than 714,000 additional students over the enrollment accommodated in public colleges and universities in 1998, and that an addition 78,000 students will likely seek enrollment in regionally accredited independent California colleges or universities. If California seeks to accommodate that demand by the traditional approach of classroom-based delivery on permanent campus sites, the renewal and repair costs of capital facilities that will be needed in public postsecondary education will be more than state government will be able to afford, necessitating use of non-traditional approaches.<sup>72</sup> Widely accepted estimates suggest that the annual cost to maintain the existing postsecondary education physical plant is almost \$700 million per year and that an additional \$821 million per year will be necessary, under the traditional approach, to build needed facilities to accommodate enrollment growth in the public institutions.

An additional concern is that neither the demand nor the capacity to accommodate that demand will be evenly distributed throughout the state. A more recent CPEC analysis of future enrollment demand in 11 regions of the state examined historical participation rates of recent high school graduates and adult learners at public colleges and universities located within their communities as well as elsewhere in California. Based on that analysis, only the colleges located in Los Angeles County will have the capacity to accommodate the enrollment demand expected in Fall 2004; and by 2010, no region of the state will have enough capacity within the existing campuses to accommodate the expected enrollment demand in community colleges. Within the California State University system, only those campuses located in the central coast and south coast regions of the state will have sufficient capacity to accommodate the expected enrollment demand, mostly at the two newest California State University campuses, CSU Monterey Bay and CSU Channel Islands. By 2010, these two regions will remain the only regions in the state where the California State University will be able to accommodate enrollment demand; but the excess demand for the system as a whole will increase nearly four-fold between 2004 and 2010.<sup>73</sup> A similar analysis for University of California campuses is underway.

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<sup>72</sup> While the strongest surge of enrollments will occur through approximately 2010, there is no decline projected thereafter, so that the facilities constructed for additional enrollments will not be surplus.

<sup>73</sup> California Postsecondary Education Commission, *Regional Higher Education Enrollment Demand Study*, (December 2001)

Use of technology is increasingly being considered as a viable means to enhance teaching and learning, squeeze efficiencies from administrative operations, and reduce inequities in access to current knowledge by students throughout the state. Technology advances, especially the integration of multimedia in home education and entertainment, are part of the ordinary life of today's children – children who ultimately will move through public schools and enroll in a college or university within the state. Their exposure suggests that technology should be considered as an integral component of facility planning and strategies to share educational resources between and among educational institutions in the state. The confluence of increasingly sophisticated information technology and increasing numbers of students comfortable with the use of technology should also serve as an incentive for educators to think in terms of developing new teaching and learning models, mediated by technology, that are better than, rather than 'as good as,' traditional teaching and learning approaches.

While access to technology and use of the Internet have increased nationally, they have not increased for all groups. According to a recent report, the difference between Internet use in White households using the Internet and non-White households increased from 13 percentage points in 1997 to 20 percentage points in 1998.<sup>74</sup> The lowest level of access to computers and use of the Internet was found to be among poor, and Black, students living in rural areas. While higher income narrows the racial divide in access to and use of technology, it does not entirely eliminate the 'digital divide' for students in that socio-economic level. State facility planning must consciously take these facts into account as it seeks to assure access to various types of technology for all students and educators in the state.

## Early Childhood Education

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### Recommendation 53

**The State should develop and fund a per-child allocation model for financing early child care and education, sufficient to meet the new system's quality standards and organizational infrastructure requirements.**

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Today, young children and their families are served by a variety of agencies with various funding streams. Each has specific eligibility guidelines and requirements. This arrangement provides neither the level of funding nor the efficient coordination needed to ensure the well-being and school readiness of California's young children. California therefore needs to develop an equitable per-child allocation model for financing early child care and education. This model should include creating an allocation for all children, birth to kindergarten, to provide school readiness services to them and their families through local School Readiness Centers, and an initial allocation, to be phased in until it becomes a guarantee, to fund early child care and education services and flexible support services for all low-income families with children from birth to age three.

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<sup>74</sup> Commerce Department, *Falling Through the Net: Defining the Digital Divide*, (1999).



The allocation model also should fund the organizational infrastructure of the new early child care and education system, including professional development, to quality improvement and data collection, for better accountability. To accomplish these recommendations, we propose the following:

**Recommendation 53.1 – The State should consolidate, under the California Department of Education, all child development funding sources, including those from the departments of Education and Social Services, and create new sources of revenue to augment existing funds.**

**Recommendation 53.2 – The State should create a Financing Task Force to calculate the per-child allocation needed to fund high-quality early education services and organizational infrastructure for low-income newborns to three-year olds, and for school readiness services for families with children, from birth to kindergarten.**

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#### **Recommendation 54**

**The State should improve the availability, quality, and maintenance of early education facilities.**

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In the absence of explicit attention from policymakers, shortages of qualified facilities are likely to hamper expansion of preschool and early child care programs. Pressures will intensify as preschool programs expand toward universal access, although encouraging the participation of existing child care and preschool providers in state-approved programs will help.<sup>75</sup> However, as employers and individuals become increasingly aware of the benefits of providing high-quality child care and preschool opportunities in their businesses and communities, the State will have an opportunity to collaborate broadly to reduce the direct costs of building an entire network of facilities for providers. Specific actions needed to advance this recommendation include the following:

**Recommendation 54.1 – The State should increase the number of school facilities serving young children.**

**Recommendation 54.2 – The State should provide incentives to stimulate facility construction and development.**

**Recommendation 54.3 – The State should provide incentives for employers to implement family-friendly policies geared to helping parents carry out their responsibilities for nurturing and facilitating the readiness of their children for success in formal schooling.**

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<sup>75</sup> Committee on Economic Development, *Preschool for All*, p. 59.

## *Shared Responsibility*

California's system of public education has been one of the most respected in the nation and around the world, in large measure because of its commitment to access, quality, affordability, and choice. However, the expense of fully meeting all these goals, during times of strong enrollment demand and fluctuating tax revenues, is more than state government can meet alone. Realistically, the fiscal responsibility for providing broad access to high-quality public education has to be shared by state government, local communities, students and their families, and the businesses that employ high school and college graduates. California should encourage efforts to share facilities and instructional equipment between and among education institutions – public, independent, and private – as well as other governmental entities and community-based organizations. The State should also actively encourage collaboration between public educational institutions and private employers, particularly in the areas of technology, personnel exchanges, and loans of private employer personnel for part-time teaching assignments in public schools.

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### **Recommendation 55**

**The State should take the lead in developing educational technology partnerships that include the public, private, non-profit, and for-profit sectors.**

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To develop effective use of and access to educational technology, the State should take advantage of all available resources. There are many organizations that have expertise in this arena. The State should draw on this expertise and be responsible for bringing together leaders in the field to develop 'cutting-edge' technology that can augment instructional delivery and facilitate the accomplishment of learning objectives. Many agencies have initiated a number of exciting applications of technology to enhance teaching and learning and to streamline administrative practices. Many of these initiatives have already been introduced by private sector businesses responding to compelling business needs, but they also have applicability for educational institutions. Others have been developed within the education sector and have application in a broader arena. A key consideration for the State is the extent to which education and business can collaborate to scale up their respective initiatives into a coordinated and complementary delivery system that would meet both educational and business needs for creating lifelong learners. Consistent with this objective, we also recommend the following:

**Recommendation 55.1 – The State should encourage local education agencies to establish partnerships with utilities, telecommunication companies, software and hardware providers, and others, to facilitate functional universal access to technology in all public schools, colleges, and universities.**

**Recommendation 55.2 – The State and local communities should establish incentives for joint development and use of school facilities, with cities and**

**counties, including libraries, classrooms, other learning sites, and recreational and community space.**

- **New construction should be linked to the community, and better links should be established with the community in existing schools.**
- **The facilities should be constructed in compliance with the uniform building codes applicable to other public buildings, such as libraries and government offices.**
- **Technology should be integrated and support distributed learning in these and other settings.**

**Recommendation 55.3 – The State should provide incentives to encourage businesses to contribute to meeting the technology infrastructure and upgrade needs of public education institutions and the communities they serve.**

### *Summary*

California invests significant sums of money in public education. Determining whether this investment is adequate is difficult, due to the complex manner in which funds are allocated to schools. The State must make the financing of the public schools simpler, so that parents and policymakers alike can understand the extent to which the schools are receiving the resources needed, and more equitable, so that all schools receive the resources needed to provide high-quality education to all their students. In addition, ways must be identified to reduce the disparities in how funds are allocated to school districts for purposes of constructing and maintaining needed instructional facilities. The recommendations in this section of the Master Plan identify ways to systematically address those needs:

- Development of a California Quality Education Model to identify the key components of quality and assign an average cost to each component, for elementary, middle, and high schools;
- Dramatic reduction of the use of categorical funding as a means of providing adequate resources to schools, while providing an option for supplemental funding to schools serving higher proportions of high-need students; and
- Examination of the feasibility of modifying current capital outlay funding processes to distribute such funding to school districts on a per-ADA basis, and of creating a state facilities inventory to improve short- and long-term capital facilities planning.

The State must also strive to find ways to keep access to postsecondary education affordable to students and taxpayers over time. Stable and predictable financing of public colleges and universities is essential to those institutional efforts to effectively plan for and accommodate qualified students who apply, and to provide them a high-quality educational experience. It is equally important for students and their families to have some predictability in the costs of college attendance that they will be expected to bear. This Master plan provides clear direction on how these goals should be pursued. Further, the Plan strongly encourages collaboration

among the various public, independent, and private postsecondary sectors as a means of achieving greater efficiency in the use of educational resources.

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# Concluding Comments

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## Emerging Issues

This Master Plan represents the Joint Committee's best recommendations for enhancing California's educational system to better meet students' current and future needs. The report is based on our current understanding of contemporary and anticipated circumstances in our state, the nation, and the world. Much change will occur in the years ahead, so this document should be regarded as dynamic, and revisited as appropriate to accommodate future circumstances and needs as they arise. Therefore, a systematic structure for review and revision of the Master Plan for Education should regularly be undertaken by the Legislature. We recommend that such a review occur on a decennial basis. While this Master Plan should undergo a comprehensive review every ten years, the Joint Committee further believes that interim reviews, more limited in scope should occur every three-to-five years following the Plan's adoption. Those interim reviews should focus on monitoring the implementation of key recommendations contained in this Plan, reviewing and acting on the studies called for in this Plan, and determining whether emerging trends in the state warrant revisions to the Plan prior to its comprehensive review. We therefore recommend the following:

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### Recommendation 56

**The Legislature should create a joint committee to perform a comprehensive review of this California Master Plan for Education at least every ten years from the date of submission of this report.**

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Probably one of the most startling and compelling trends of our time is the ever-increasing pace of change. Because of the potential impact that rapid change could have on the success of the implementation of this Master Plan, we further recommend that emerging issues – many of which this committee has identified as presenting potentially major impact on public education, but which, because of their dynamic nature, cannot yet be explored or understood sufficiently for us to reach conclusions or make recommendations – be studied by the Legislature on a more frequent basis than decennially:

**Recommendation 56.1 – In light of the rapidly changing times and emerging conditions we are experiencing, the Legislature should create a joint committee no more than five years from the date of submission of this report, for the purpose of reviewing especially important, emerging issues, including:**

- The potential impact of electronically-mediated and distance learning on the effectiveness of teaching and learning, as well as on the variety of learning options from among which Californians might choose to pursue their interests in acquiring new knowledge and new skills;
- The variety of formats in which textbooks and other instructional materials could be available and the possibilities that these formats could offer for assuring that every learner enrolled in a public education institution has access to current information and learning support;
- The findings of research on effective ways to create and sustain small learning communities and diverse learning environments, that may suggest new ways to structure and finance public schools; and
- Future governance styles that might cultivate educational leadership, and collaborative governance arrangements that could improve the effectiveness and seamlessness of California's education system, including an examination of current management practices and collective bargaining in the context of teaching and learning.

**Recommendation 56.2 – The legislative joint committee to be empanelled five years from the adoption of this report, pursuant to the preceding recommendation, should further examine, and when appropriate take action on, the implementation of key recommendations of this Plan to ensure that sufficient progress is being made toward the goals of this Plan. These recommendations include at least the following:**

- Elimination of the use of teachers with emergency permits, particularly in low-performing schools;
- Progress in elimination of the use of multi-track year-round school schedules that have fewer calendar days of instruction;
- Development of 'opportunities for teaching and learning' indicators for inclusion in the Student Accountability Report Card and use by the Superintendent of Public Instruction;
- Review of the findings of various studies called for in this Plan, including those of optimal organization for county offices of education and school districts, and the cost of funding essential components of a quality education system; and
- Progress in implementing a comprehensive educational data system.

**Recommendation 56.3 – The Legislative Analyst should, on an annual basis, review the operations of the California Postsecondary Education Commission and the California Education Commission, to determine the extent to which, and the effectiveness with which, they are meeting the functions assigned to them, and should report the findings of that review to the Legislature during the annual state budget process. Within these reviews, the Legislative Analyst should assess the feasibility of merging the California Education Commission and the California Postsecondary Education Commission into one entity with two divisions to better serve the well-being of all California education.**

**Recommendation 56.4 - The Legislative Analyst should annually review the foregoing, as well as other, emerging issues to determine their potential impact on successful implementation of this Master Plan and report to the Legislature any issues which appear to warrant further analysis and/or policy action.**

This call for interim reviews is also driven by this Plan's focus on student achievement and by its commitment to both equity and accountability in the provision of high quality educational experiences for all students enrolled in California's schools, colleges, and universities. With all Californians supporting these basic principles, we will be able to provide more educational access, quality, and success to more students than ever before – a goal that is uniquely Californian and to which we can all aspire.

### *Summary*

This Plan is ambitious in its scope, and its full implementation will require a sustained commitment on the part of all Californians and substantial investment from the State, local communities, and business. This Plan cannot be implemented without the engagement of our entire state and all of its component parts. Parents, students, educators, policymakers, community-based organizations, and employers each and all have a responsibility to support quality teaching and learning and must both accept and fulfill their respective responsibilities for implementation of this Plan. No other state has undertaken what is being proposed in this Master Plan for Education: creation of a framework to guide educational policy for all aspects of education, from early childhood education to postsecondary education levels, driven by an uncompromised commitment to promoting student achievement and the ability to learn for a lifetime. We reject the notion that public education can serve only a proportion of its learners well and that student achievement must be distributed along a 'normal curve.' We believe that virtually every student can and should be assisted to realize her/his potential to become a learner for life, and to meet (or even exceed) high standards of achievement. An education system that remains focused on helping learners achieve this potential must also be focused on continual improvement.

Broad participation in the development of this Master Plan has been sought to ensure that it incorporates the best of what all Californians believe they need from their education system in order to ensure a society that celebrates its diversity as a strength to be cherished and cultivated. We have sought to anticipate the learning needs of Californians 20 years into the future, to guide ourselves in making wise decisions today that will increase the likelihood that California will remain a world leader. We hope and believe that our collective commitment to adopt and implement this Master Plan will restore all of California's educational sectors to positions of prominence in promoting student learning.

Because learning takes place within the context of learners' lives, the needs to which our education system must respond will inevitably change over time. Today's instruction is not limited to use of slates and chalkboards, as it was in the past; and it is reasonable to conclude that instruction will not be limited to printed textbooks and face-to-face interaction between teachers and learners in the future. The changes generated by science, technology, and use of information

are increasingly generating new opportunities and new tools for workers, learners, teachers, and researchers alike. At the same time, California's increasingly diverse population is creating opportunities for new community linkages and opening new paths for students to become engaged citizens. The committee recognizes this fact and recommends that this Master Plan for Education be reviewed comprehensively at least every ten years, and be modified, as necessary, to ensure a continued focus on learners within California's education system. There is an inherent tension between the capacity of educational institutions to adequately respond to the unique needs of individual students and the capacity of the public policymaking process to shape institutional structures and practices that are flexible, while also being accountable to the general public. Resolution of this tension can be best accomplished by actively seeking the input of Californians throughout the state during each subsequent review of this Plan.



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# Appendix A

## Letters of Dissent

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While not all Joint Committee members agree with every assertion or all recommendations in the Plan, there is broad general agreement on many, and the majority of all Joint Committee members support this overall Master Plan for Education and the aggregate set of recommendations in it as a general template to guide education policy and budget decision-making in coming years.

The following Joint Committee members have elected to enclose letters expressing their concerns about specific aspects of the Plan:

Senator Charles S. Poochigian

Senator William “Pete” Knight

Assemblymember George Runner

Assemblymember Virginia Strom-Martin

# CALIFORNIA LEGISLATURE

STATE CAPITOL  
SACRAMENTO, CALIFORNIA  
95814

September 5, 2002

The Honorable Dede Alpert  
Chair, Joint Committee to Develop A Master Plan for Education  
1020 N Street, Suite 560  
Sacramento, CA 95814

Dear Senator Alpert:

We have been honored to serve as members of the Joint Committee to Develop a Master Plan for Education – Kindergarten through University. You are to be commended for the very conscientious effort you have made toward crafting the California Master Plan for Education, Kindergarten through University. We would also like to thank the members of the working groups for their time and expertise and the public for their input throughout the process. While you and the other members of the Joint Committee have demonstrated a commitment to putting forth a document which can be effectively utilized on a statewide basis, there are several components in the Master Plan Report which we believe may be inconsistent with this goal.

We are concerned by the extensive array of recommendations in the Master Plan Report. The original Master Plan has enjoyed decades of success because it established a clear governance structure that defined the mission and roles of post-secondary segments without being overly prescriptive. While the Joint Committee should be commended for approaching such a daunting task as to coordinate K-16 education in California, we are concerned that the report is less of a blueprint and more a series of specific policy points. We will attempt to specifically address areas of concern.

The Accountability section of the Report seems to move away from the state's more recent and deliberate attention to "outcomes" and performance measures and instead returns to the prevailing focus in previous decades on "inputs," i.e. money, personnel resources, program expansion, etc. As an example, the document seems to favor testing as an approach to support teaching practices more so than testing for accountability, by determining if the students have actually learned and the teachers have effectively taught.



Pursuing this matter further, both the above-mentioned section and the Affordability section do not link financing of the K-University system very closely with student achievement and program quality. The Report shifts from "equity" in funding to an "adequacy" model. The proposed Quality Education Commission is derived from a new and untested concept of an "adequate level of funding" model. First, we believe that approach has yet to yield meaningful results about its successes or failures for application in a state as large and diverse as California. However, an even greater concern is that the Report does not contemplate spending reforms that focus on efficient use of monies and/or focus on effective programs.

For continuity in the ongoing structuring of its accountability system, it is important that the state build on the results of the recent Academic Performance Index (API) by ascertaining the experiences and practices of the schools most successful in increasing student achievement – including charter schools and non-public schools – and applying the information to future program and funding options. Ultimately, the funding and accountability systems should provide parents coherent data and offer them flexible options.

Of paramount concern to us and many of our constituents is that the larger portion of the student population – those who will not go on to or complete post-secondary education – seems to be once again relegated to inferior status. We know that as many as half of high school seniors leave school without the skills they need to succeed in education or the world of work and only 10% of them report having adequate career preparation. Such little mention regarding the specific and varied education needs (such as continuing classes in vocational education) of this student population seems a critical misapplication of the widely stated intent of this Master Plan effort to "address all students."

We find that this report pays an inordinate amount of attention to noncompulsory or nonexistent programs. The Proposition 10 Commission sponsorship of these recommendations excluded a significant, but less-vocal population of citizens who believe the family should remain the primary teacher and/or that there are more appropriate settings/developmental approaches for children in the earliest years. It is conceivable that state operated daycare would provide a positive environment for some children. However, many people have marked reservations about mandatory full-day kindergarten and universal preschool. Furthermore, universal preschool would absorb from \$2 billion to potentially more than \$5 billion of needed funding to help meet the education needs of students in the current system, as well as the established, but unfunded priorities and goals of prior Master Plan efforts. We believe this is a matter better addressed at the local level. For instance, Los Angeles County's Prop. 10 Commission recently established universal preschool in that area and other counties have the choice to follow suit.

Several Report proposals seem to compound the diminution of local control by court rulings and initiatives in recent decades with a major shift toward increased state governance (such as the recommendation to eliminate the State Board of Education), thereby removing a major opportunity for local input. The Report further erodes local control by pressing for greater local school tax authority for education funding, but at the same time shifting Access and Achievement responsibilities to the State.



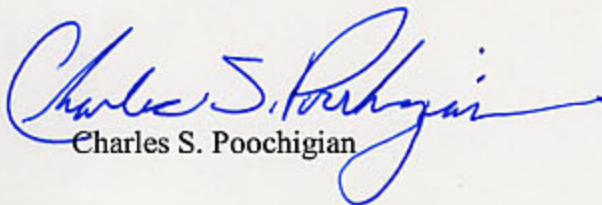
Therefore, we are proposing that the full Legislature engage in a discussion regarding the appropriate mix of local and state governance in the K-University system. It makes sense to focus on the basic structural element of governance by clear identification of the appropriate responsibilities of the state and local schools and districts. It would then be consistent and entirely appropriate to address governance in the community college system, and finally address the connectivity and role of each post-secondary establishment (Community Colleges, CSU, and UC). With the governance of each segment linked throughout the education system in a cohesive manner, all succeeding legislative decisions regarding funding, programs, etc. would then flow from the construct of the K-University governance structures.

The next step would be to determine funding principles for the long term, i.e. performance funding (reflecting the attribute of program effectiveness) that would focus on the way funds are distributed. We might want to stipulate that the relationship between funding and performance be tight, automatic, and formula based. Ideally, the principles would have as much uniformity across segments as possible, considering the varied sources of revenue. Once a performance measurement system is determined, financial incentives to drive performance, which are relatively stable over time, would be created.

In this way, the Legislature would be able to utilize many positive components of this Report to clearly discuss and define a plan, as well as a destination to guide them in the development of education policy over the next 10 years. We should focus first on building what is already in place and allowing state revenues sufficient time to stabilize before any major program expansion in the system.

Thank you for this opportunity to voice concerns and present options as the Legislature contemplates the construction of a world class education system for all K-University students in California.

Sincerely,

  
Charles S. Poochigian

  
William "Pete" Knight



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Assembly  
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GEORGE RUNNER  
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- SELECT COMMITTEE ON AEROSPACE INDUSTRY

August 31, 2002

The Honorable Dede Alpert  
Chair, Joint Committee to Develop  
A Master Plan for Education  
1020 N Street, Suite 560  
Sacramento, CA 95814

Dear Chairwoman Alpert,

I would like to commend you for your dedication to improving education in California. I know that you and I are both seeking to do what we think is best for California students, as we endeavor to create a Master Plan that will address the needs of our state for decades to come. In that respect, I have carefully reviewed the report, solicited input from local education leaders in my district, and talked with community members at local town halls. While there are good attributes of the plan, I have many concerns that I would like to share.

**Adequate Funding**

The proposed finance model included in the Master Plan is very troubling to me. I am primarily wary of establishing a state commission to determine adequate funding. First, it is unclear how one even begins to define "adequacy." Districts often face special, unique challenges that would make "adequacy" a poor paradigm. What may be adequate for one district may be considered inadequate for other districts. Even with the proposed categorical adjustments, I believe that the education system is too complex and has too many variables to adopt a one-size-fits-all approach.

Moreover, I do not believe that there is a strong enough focus on ensuring that expenditures are efficient and will result in higher student performance. It would be easy and tempting for the proposed California Quality Education Commission (CQEC) to throw money at problems and hope that things improve, and I have strong concerns that the Commission would ultimately lead us in that direction, especially for low-performing schools. There needs to be a clear, demonstrable link between funding increases and performance improvement, and a greater emphasis on results. It is absolutely critical that the relative return on our investment be included as a primary consideration. This return should also be consistent with what other states are accomplishing. Some states manage to achieve more with less money, and we should determine how they do it, emulate their efficiency, and hold our schools to the same standards.

While our schools do face unique challenges, we need to make sure that we do not fall into the trap of equating more money with greater student performance. Unfortunately, I believe that a standard based on "adequacy" will eventually lead us down that path, as the model by definition highlights funding levels rather than efficiency and innovation as the keystone to achievement.



Finally, I was extremely disappointed with the Committee's endorsement of Assembly Bill 2217 (Strom-Martin). That bill essentially enacted this recommendation by establishing a commission to estimate how much money is needed to deliver a quality education. However, this bill does not promote a thorough dialogue. Instead, it guarantees that the minority party's opinion on what constitutes adequate funding will be completely stifled. Seven members of CQEC would be appointed by the Governor, two by Senate Rules, two by the Speaker of the Assembly, and two by the Senate of Public Instruction. Given the composition of state government, it is likely that Commission appointments would be limited to a single party, ultimately resulting in a partisan analysis of how much money schools need to educate children. Republicans promoted a fair alternative, suggesting that the minority party make four of the thirteen appointments. However, this approach was summarily rejected. The Commission needs to be more balanced, and after seeing the direction the Legislature has taken, I cannot support this model.

#### **Local Revenue Enhancement**

I also have a problem with the local revenue component advocated by the Master Plan. If we reverted back to local property taxes as a means of revenue, we may ultimately have the same funding inequities that spurred the *Serrano v. Priest* decision. Once again, wealthier regions would enjoy greater levels of education funding, as the communities who could most afford to pay higher property taxes would be more inclined to take advantage of this option. Moreover, given disparities in property values, even if similar taxes were levied in a wealthy and poor community, the wealthier community will net a disproportionately higher level of tax dollars. Because of the *Serrano* decision, such a result would be unacceptable.

The Master Plan tries to get around this problem by promoting an equalization scheme. However, if the state provided equalization dollars for those districts that did not or could not raise taxes to the same degree as other districts, the state would create a perverse incentive structure where no community would be uniquely motivated to raise taxes. Instead, districts might just wait for other districts to raise taxes, and then would capture the benefit in state equalization dollars. Funding for richer regions will surpass funding for poorer areas, and then the state will have to spend millions to level-up funding for poorer schools to address the new inequities. This brings us right back to the status quo.

I think that it is also worth noting that during fiscal crises, the state has historically exploited alternative revenue sources for schools in order to offset its responsibility. Instead of serving as a means to supplement state funding, local revenue sources may end up supplanting state funding. Revenue generated from local taxes may provide another excuse for the state to avoid its obligations to our schools.

#### **Universal Preschool / Health Services Delivery**

I am very concerned with the substantial emphasis of Universal Preschool and early childhood development as a solution to our educational ills. Indeed, it is important for young children to be healthy and engage in activities that promote physical, social, and intellectual development. However, I believe that families, not the state, should be responsible for the earliest phases of childhood development and health. There are several reasons why I feel that it is inadvisable to shift parental responsibility to a system that is ill-equipped to handle such duties.



First, our K-12 schools are already burdened with a host of responsibilities, and, as indicated in the report, many are already struggling to fulfill these charges. I believe that it is counterproductive to add social and health obligations that may only serve to shift the focus of schools away from teaching the fundamentals of knowledge. Schools are not one-stop social service centers, nor should they be. Schools should concentrate on education and should focus their attention on teaching world class curriculum. They should not be forced to address childhood factors that are the responsibility of parents, or serve as de facto childcare providers. While I can agree that there should be a safety net that targets early education efforts for at-risk children, I do not believe that folding these programs into the existing K-12 structure is the right approach.

Second, Universal Preschool and incorporated social programs are tremendously costly endeavors that would significantly detract from other educational needs. The anticipated cost of providing just preschool for all children three and four years of age is in excess of \$2 billion annually. While an augmentation to education funding may be something that is feasible in financially sound years, during a fiscal crisis, the state has traditionally funded education at, or sometimes less than, the minimum guarantee established by Proposition 98. If Universal Preschool and other schemes were included in this guarantee, a significant amount of financial support would be funneled away from our K-12 system. This is very disconcerting, especially given that the Master Plan has noted that financial resources are already spread too thinly at many of our schools.

Finally, while the Committee has opined that Universal Preschool is geared towards at-risk kids from socioeconomically challenged families, the Master Plan makes no distinction between advantaged and disadvantaged children when recommending the availability of Universal Preschool. It is free for everybody, regardless of one's ability to pay. This amounts to a direct subsidy to the many parents who can afford and do pay for childcare. Welfare for the middle class should not be a component of this plan.

I strongly believe that this Master Plan should focus on the K-12 system before expanding in directions that may or may not result in any substantive improvement in performance.

#### **Multi Track Year Round Education**

I sincerely appreciate the attempt by the Committee to address my concerns about Multi Track Year Round Education. However, I believe that the issue is insufficiently addressed. First, it is inappropriately included under the sub-category of "Access to Adequate Learning Support Services." Multi Track is not about learning support services. Multi Track is about packing kids into inadequate facilities by assigning them into "tracks" that attend school at differing times throughout the year. While one track is in school, another track is on vacation. Multi Track was supposed to be a short-term solution to alleviate the need for facilities augmentation, but it seems to have become a permanent reality for California schools. Operational grants that once were touted as making Multi Track affordable have dwindled, resulting in significant district costs. There are also concerns that Multi Track programs adversely impact the educational experience of our students.



**Master Plan for Education**  
**Dissent Letter Page 4**

The Master Plan encourages the elimination of Multi Track, but does not provide any framework for such an endeavor. In fact, although Multi Track is a huge problem for our schools, there is little background included in the Master Plan. The State needs to establish a comprehensive short-term plan to address the immediate funding problems associated with Multi Track and a long-term plan to expand facilities where Multi Track is utilized. Unfortunately, the Master Plan is incomplete in this respect, as the recommendation is perfunctory at best. The reformation of Multi Track is a critical issue that the Master Plan needs to better address.

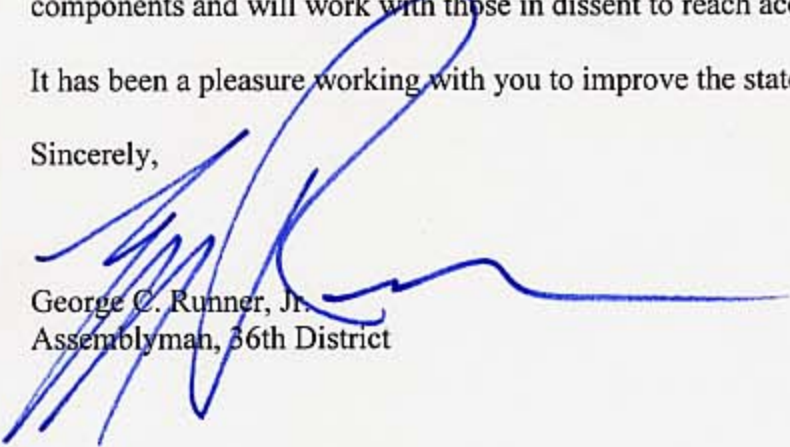
**Class Size Reduction**

Class Size Reduction was implemented under the auspices of fostering more personalized instruction for our children. A recent study by the Public Policy Institute of California found significant achievement gains in third grade, with an even greater gain for low-income students. Class Size Reduction has yielded significant benefits, but has also created new problems for our schools, including teacher and classroom shortages. This was a major policy initiative with significant ongoing repercussions, yet the Master Plan does not directly address this issue. Given the scope of the policy, the Master Plan should have focused on whether Class Size Reduction is a policy that we should expand to additional grade levels or reconsider given the problems it is causing for our schools.

The concerns I have raised are not intended to be construed as a comprehensive list. Indeed, there are several other problems that I have with the Master Plan, but these are the biggest in scope. However, despite my reservations, I have decided to sign the Master Plan in a spirit of collegiality. It is my hope that when the Legislature begins recommending policy changes from this document, they will recognize that there are significant objections to some of the included components and will work with those in dissent to reach acceptable, bipartisan solutions.

It has been a pleasure working with you to improve the state of education in California.

Sincerely,



George C. Runner, Jr.  
Assemblyman, 36th District



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ARTS  
DEVELOP A MASTER PLAN FOR EDUCATION -  
KINDERGARTEN THROUGH UNIVERSITY,  
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EXPOSITION PARK  
PROTECTION OF INLAND WATERWAYS  
TASK FORCES:  
PACIFIC FISHERIES LEGISLATIVE TASK FORCE  
WESTERN STATES LEGISLATIVE FORESTRY  
TASK FORCE  
SCHOOL BUILDING FINANCE COMMITTEE  
WILDLIFE CONSERVATION BOARD

September 4, 2002

Senator Dede Alpert  
Chair, Joint Committee to Develop a Master Plan for Education  
1020 N Street, Suite 560  
Sacramento, CA 95819

Dear Senator Alpert:

I am writing to express my concerns with Recommendations 29 and 30 of the Master Plan for Education. While I agree that the Department of Education's role and responsibilities should be clearly defined, as well as that of the State Board of Education (SBE) and the Office of the Secretary for Education (OSE), I do not agree with redefining the Superintendent of Public Instruction's (SPI) role as one of overseer of accountability (non-fiscal).

The electorate has made it abundantly clear that they prefer an elected representative whose exclusive focus is education. The tension that presently exists between the SPI and the administration has evolved from recently expanding the scope of the OSE. If we give the Administration even more authority (i.e. the management of the K-12 system via the appointment of a cabinet-level Chief Education Officer serving as the Director of the Department of Education), we will have achieved a mega-authority system residing with the Governor and her/his appointees.

If the elected Superintendent is reduced to monitoring and managing an accountability system he or she did not create, then the office becomes similar to the legislature's and serves a comparable function. However, the Superintendent would have no authority to implement change, unlike that of the legislature.

I strongly suggest that we keep the Superintendent's role as is, reign in the overlap with the OSE and provide for legislative appointees to the SBE by the Speaker and the President Pro Tem of the Senate. In addition, I would create criteria for the appointees based on geographical representation, ethnicity, gender and occupation for a more balanced Board reflective of our state's diversity. In this way we do not necessarily eliminate tension amongst the various governance entities, but we cast a wider net of influence within the scope of decision-making.

Sincerely,

Virginia Strom-Martin  
Assemblymember, 1<sup>st</sup> District



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# Appendix B

## 2002 Master Plan for Education

### Summary of Recommendations

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#### **Recommendation 1**

The State should consolidate and expand funding for all infant and toddler services and enhance developmental screening in the earliest years of life.

#### **Recommendation 2**

The State should support the effective coordination of health and social services delivery for all children, beginning with services that meet young children's developmental needs, at sites that are conveniently accessible to families.

**Recommendation 2.1** – The State should provide funding to establish neighborhood-based School Readiness Centers to give families access to essential services to meet young children's developmental needs.

**Recommendation 2.2** – To the greatest extent possible, schools should make available facilities where students and their families may access essential services from community health and social service providers.

#### **Recommendation 3**

For the two years prior to kindergarten entry, the State should provide voluntary access to formal preschool programs that offer group experiences and developmentally appropriate curricula.

#### **Recommendation 4**

The law should be changed to require full-schoolday kindergarten for all children, and preschool guidelines and kindergarten standards, curricula, and services should be aligned.

**Recommendation 4.1** – The State should provide for the phasing in of full-schoolday kindergarten, beginning immediately for communities served by schools that currently have API scores in the lower three deciles and expanding annually until all of California's children have a full-schoolday kindergarten experience.

#### **Recommendation 5**

Schools should establish and maintain explicit compacts for active and meaningful partnerships that make parents and parent groups full partners in the education of their children. Parents

should seek to assist school personnel by preparing their children for continued formal and informal learning, and by providing home support designed to overcome barriers to children's learning.

## **Recommendation 6**

The State should require that every teacher be adequately prepared prior to being assigned independent responsibility for a classroom of students.

**Recommendation 6.1** – The State should immediately replace emergency permit usage with universal participation in the pre-internship program, requiring that every uncredentialed teacher be hired as a pre-intern, utilize a state- or district- developed instructional system, and be supported to complete teacher preparation as soon as is feasible.

**Recommendation 6.2** – The State should set a specific timeline (approximately five years) to phase out the use of the pre-internship program and require that all teachers be qualified before being assigned independent responsibility for a classroom.

**Recommendation 6.3** – On a more aggressive schedule, the State should eliminate the use of the pre-internship program in California's lowest performing schools and require that all teachers be qualified before being assigned independent responsibility for their classrooms in those schools. In addition, the State should seek to eliminate altogether the assignment of credentialed teachers to subjects not included in their credentials. Further, the State should require that all teachers serving in low-performing schools possess valid teaching credentials.

**Recommendation 6.4** – The State should increase the capacity of California's postsecondary education systems to prepare larger and sufficient numbers of qualified educators, especially from among racial, ethnic, and linguistic groups, and the gender group underrepresented in today's teaching workforce, for our public schools and preschools, particularly in regions where there are large numbers of teachers serving on emergency permits or where projected shortages of teachers are greatest.

**Recommendation 6.5** – The State should adopt more rigorous education requirements and certification standards for all individuals who teach young children in center-based settings or who supervise others who care for young children, and should immediately require a minimum program of state-approved professional development for all publicly funded providers of care to young children.

**Recommendation 6.6** – The State should provide additional resources to attract and retain the finest educators for schools serving high concentrations of students living in poverty.

**Recommendation 6.7** – The State should require teacher preparation, teacher-induction and ongoing professional development programs, validated or proven instructional systems, and institutional activities to feature a focus on teaching children with diverse

needs, ethnicities, nationalities, and languages; on teaching children who bring particular challenges to the learning process; and on teaching in urban settings.

**Recommendation 6.8** – The State should provide short-term grant funding to create additional professional development schools that operate as partnerships between institutions of postsecondary education and low-performing schools. These professional development schools should focus on increasing the production of teachers motivated and appropriately prepared to effectively promote achievement of students enrolled in these schools.

**Recommendation 6.9** – The State should eventually provide ongoing resources for ten days of professional staff development annually at all public schools. These resources should be provided initially for school districts throughout the State with the lowest performing schools, consistent with school improvement plans approved by those districts and with state standards.

**Recommendation 6.10** – The State should provide funding to selected districts to permit linkage of an increase in staff development days with a corresponding increase in instructional days, especially in low-performing schools.

**Recommendation 6.11** – The State should provide grant funding to develop models for embedded professional development at the school-site and district levels.

## **Recommendation 7**

The State should establish a career ladder for teachers that rewards exceptional teachers for staying in the classroom.

**Recommendation 7.1** – The State should provide incentive funding to school districts to create career ladders that reward teachers for demonstrated knowledge, expertise, and effective practice.

**Recommendation 7.2** – The State should promote recognition that becoming and remaining a qualified and effective teacher is, as with mastery of any profession, a long-term, developmental process.

**Recommendation 7.3** – To achieve equity as well as reduced provider charges through the use of collective purchasing power, the State itself should negotiate with statewide employee organizations, and fund the employer share of, uniform non-salary employment benefits for all local school employees.

## **Recommendation 8**

The State should take action to increase the capability of California colleges and universities to attract and hire academically qualified teachers and faculty members who also have knowledge and understanding of teaching and learning, and to develop teachers with appropriate expertise to staff a comprehensive school curriculum.

**Recommendation 8.1** – The State should expand programs to attract talented individuals, especially from underrepresented groups, into PreK-12 teaching and postsecondary faculty careers, through forgivable loans and teaching fellowships.

**Recommendation 8.2** – California colleges and universities should strive to ensure that their schools of education have the resources needed to produce a substantial proportion of the teachers and faculty needed to staff our preschools, K-12 and adult schools, colleges, and universities, over the next decade and beyond.

**Recommendation 8.3** – The State should increase doctoral and master’s degree production in areas of high need, drawing upon the combined resources of the California State University and University of California systems, as well as the independent sector of postsecondary education.

**Recommendation 8.4** – California colleges and universities should develop an infrastructure to support the ongoing professional development of faculty, in order to improve the quality of teaching and promote student learning. The components of this infrastructure should include:

- integration of teaching and learning curricula into master’s and doctoral degree programs;
- inclusion of teaching expertise and experience criteria, when hiring decisions are made;
- continuous development support throughout faculty careers, including focused support for each newly appointed faculty member during his or her first year;
- development of an organizational structure that supports and rewards teaching excellence and the scholarship of teaching throughout a faculty member’s career;
- sustained efforts to make teaching and the scholarship of teaching more highly valued aspects of faculty culture;
- expansion and dissemination of the knowledge base about college teaching and learning, including establishment of a statewide center on postsecondary teaching and learning; and
- preparation of experts in the field of teaching and learning.

## **Recommendation 9**

The Legislature should direct the California Community Colleges, California State University, and the University of California to adopt policies, within one year of being directed to do so, regarding the appropriate balance of temporary and permanent/tenure-track faculty for their respective systems, and to provide the rationale for the policies adopted.

**Recommendation 9.1** – The California Community Colleges, California State University, and University of California systems should report to the Legislature each year the ratios of permanent/tenure-track to temporary faculty employed by their respective systems and how those ratios compare to their respective system-wide policies.

**Recommendation 9.2** – The California Community Colleges, California State University, and University of California systems should report to the Legislature the sets of activities reserved for permanent/tenure-track faculty, in their respective system, and their rationales for why temporary faculty cannot be enlisted to assist in carrying out such activities.

**Recommendation 9.3** – The California Community Colleges, California State University, and University of California systems should provide adequate pro rata compensation to temporary faculty who agree to perform functions usually restricted to permanent and tenure-track faculty.

## **Recommendation 10**

The State should strive to maintain compensation schedules that make California competitive in attracting and retaining excellent teachers, faculty, counselors, administrators, classified staff, and other education professionals for its early childhood education settings, public schools, colleges, and universities.

**Recommendation 10.1** – The governing boards of all three public sectors of postsecondary education should direct an examination of faculty promotion, tenure, and review policies and practices, and revise them, as needed, to ensure that teaching excellence is given significant weight in decisions that affect the compensation awarded to faculty.

**Recommendation 10.2** – The boards of trustees of local school districts should review their compensation policies, and revise them as needed, to ensure that continuing professional education for which they grant salary credit is targeted to courses likely to yield clear benefit in terms of either employees' pedagogical, instructional leadership, or management skills, or the depth of their academic subject matter knowledge.

**Recommendation 10.3** – Supervision and mentoring of students and student groups should be given ample consideration in employee performance reviews and be a factor in decisions that affect compensation of teachers, faculty, and other education professionals.

## **Recommendation 11**

The State should set ambitious learning goals and provide all students a challenging and comprehensive PreK-12 curriculum, including preparation for postsecondary education and careers.

**Recommendation 11.1** – The State should ensure that early learning gains are continued, by aligning developmentally appropriate guidelines, standards, and curricula for preschool, early childhood education, kindergarten, and the primary grades.

**Recommendation 11.2** – The State should establish a standard, academically rigorous curriculum for every high school student. This curriculum should make available career and technical courses, so that every student can be aware of, and prepared for, a full array of post-high school options. The State should provide the learning support necessary,

including resources for career guidance and assistance, to enable students to successfully complete this postsecondary readiness curriculum.

**Recommendation 11.3** – The State should ensure that all schools provide all students with a curriculum and coursework that include the knowledge, skills, and experiences to enable them to attain mastery of oral and written expression in English and that establish a foundation for future mastery of a second language, by the end of elementary school, and attainment of oral proficiency and full literacy in both English and at least one other language, by the end of secondary school.

**Recommendation 11.4** – The California Adult School program and the California Community Colleges should collaborate to strengthen articulation of adult education courses with community college coursework, to enable successful transition of adults from adult school to postsecondary education. Similarly, career technical courses offered by K-12 schools and community colleges should be articulated with postsecondary coursework.

**Recommendation 11.5** – The California Community Colleges, California State University, and University of California systems should collaborate to strengthen the programs in community colleges that prepare students to transfer successfully to the California State University or the University of California and to ensure that those courses are acceptable for transfer credit at all campuses of the California State University or the University of California.

**Recommendation 11.6** – The California Community Colleges should enhance their career and technical programs that lead to occupational certificates and occupational associate degrees; all high schools, regional occupation centers and programs, adult schools, and postsecondary education institutions should offer industry skill certifications that prepare students to enter the job market with a set of competencies they will need to succeed; and the California State University and University of California systems should enhance the quality of their programs that prepare students to enter professional careers with the competencies they will need to succeed.

**Recommendation 11.7** – The K-12, regional occupation centers and programs, adult schools, and community college workforce preparation systems should be linked to state job training agencies and employers through one-stop career centers and other venues and through their inclusion in an expanded workforce report card.

## **Recommendation 12**

The California State University and University of California systems should continue to adhere to the policy of guaranteeing that all students who apply for freshman admission and who are eligible to attend (students within the top one-third, in the case of California State University applicants, and the top one-eighth, in the case of University of California applicants) are offered admission to the system(s) for which they are eligible and have applied. Community colleges should continue to be open to all high school graduates and adults who can benefit from postsecondary instruction.



**Recommendation 12.1** – The California State University and University of California systems should continue collaborating with K-12 schools to increase the rigor of all academic courses, to achieve the goals of reducing demand for remedial instruction among freshman students and eliminating the current practice of providing additional weight to honors and AP courses in GPA calculations during the admissions process.

**Recommendation 12.2** – The governing boards of the California State University and the University of California should authorize each of their campuses to consider both objective and qualitative personal characteristics equally, when assembling each year's freshman classes annually from among the pool of eligible candidates.

**Recommendation 12.3** - The California State University and University of California systems should continue to be authorized to admit up to eight percent and six percent, respectively, of their new undergraduates annually through the use of non-traditional criteria.

### **Recommendation 13**

State and local policy-makers should ensure that every school is provided with sufficient quantities of learning materials, equipment, and other resources that are current, in good condition, and appropriate to the learning needs of students, including:

- Individual textbooks, workbooks, and other required instructional media for use in and out of school;
- Resources necessary to enable teachers to tailor and creatively adapt curriculum to the interests and needs of individual students;
- Supplies, equipment, and other instructional materials necessary to support the instructional program at each level, as recommended in the state content standards, including teacher guides to textbooks;
- Computers with Internet access that each student and teacher may use on a basis determined by school personnel to be appropriate for her/his level of study or teaching;
- Suitable chairs, desks, and other classroom or laboratory equipment;
- Books, technical manuals, and other materials or equipment that can be borrowed from the school library and elsewhere, that students may use individually;
- Curriculum and materials for English language learners; and
- Curriculum, materials, and support for learners with identified disabilities.

### **Recommendation 14**

**The State should require and fund the provision of flexible time and instruction, to support learning and ensure successful transitions between education levels.**

**Recommendation 14.1** – State and local policy-makers should define adequate learning support in K-12 education as those resources and interventions necessary to meet the academic and career preparation needs of all students, which help ensure that all students



attain the state academic standards, and which help all students who desire to do so meet college preparatory requirements and requirements for career success in the workplace.

**Recommendation 14.2** – The State should move aggressively to eliminate the use of multi-track year-round school schedules that result in fewer calendar days of instruction.

**Recommendation 14.3** – The State should assign responsibility and provide targeted resources at the postsecondary level to enable increased numbers of postsecondary education students to succeed in their academic coursework and attain certificates, industry certifications, and degrees, and to ensure that no category of student fails to achieve their educational goals in disproportionate numbers.

### **Recommendation 15**

School districts and public postsecondary education institutions, respectively, should provide additional learning support services at kindergarten, grades three and eight, in the last two years of high school, and during the first year of college to assist students who take longer to meet standards or who may be ready to accelerate.

### **Recommendation 16**

Local school districts and postsecondary education institutions should develop partnerships to recruit, prepare, and educate quality educational leaders.

**Recommendation 16.1** – The State should encourage and support school district efforts to provide school principals with greater authority to use human and fiscal resources in different ways to achieve greater success in promoting student achievement.

**Recommendation 16.2** – School districts should provide more resources, such as additional staff and professional development, to principals in low-performing schools.

**Recommendation 16.3** – School districts should increase salaries for administrators serving in low-performing schools.

### **Recommendation 17**

The State should take steps to ensure qualified leadership for the California Community Colleges.

**Recommendation 17.1** – The California State University and University of California systems should develop and offer preparation and professional development programs for community college leadership, the content of which should include development of the capacity to lead by inspiration and a sensitivity to and comfort with diversity and multiculturalism. These professional development programs should include the establishment of a state-level or campus-based center devoted to community college leadership development and leadership issues.

**Recommendation 17.2** – The California Community College system should improve the terms and conditions of administrative employment in community colleges, including offering qualified administrators return rights to permanent faculty positions as an incentive to attract outstanding professionals to community college leadership positions.

## **Recommendation 18**

The State should expand recruitment for counselors trained in career guidance, as well as in academic and psychological fields, in order to ensure that students have the assistance they need to make informed choices about preparation for their post-high school activities.

## **Recommendation 19**

The State should guarantee suitable learning environments for all students, including buildings, classrooms, and other facilities.

**Recommendation 19.1** – The State should establish clear, concise, and workable standards for facilities, to ensure a high-quality/high performance teaching and learning environment.

**Recommendation 19.2** – The State should require each school district to prepare and adopt, with appropriate public review and consultation, a five-year facilities plan to meet or exceed state facilities standards.

**Recommendation 19.3** – The State should establish design standards for subsidized early childhood education facilities, appropriate to young children’s development.

**Recommendation 19.4** – The State should establish an Innovation Fund to support innovative projects and intersegmental collaboration in education, particularly when they seek to improve learning opportunities for students enrolled in low-performing schools or to increase the use of public facilities located in the service communities of schools.

## **Recommendation 20**

To target learning support adequately and complement state testing, the State should establish as standard practice the use of classroom-based diagnostic assessments that specifically link to interventions aimed at enabling students to meet California’s academic standards and postsecondary education entrance and placement requirements.

**Recommendation 20.1** – The State should continue the process of requiring state-supported preschool providers and kindergartens to develop an individualized learning plan for each child, for assessment of the child’s developmental growth.

**Recommendation 20.2** - The State should charge local districts with developing their own assessment systems/policies for providing information about and guiding instruction of individual students.

**Recommendation 20.3** – The State should encourage schools and postsecondary institutions to develop end-of-course assessments that can serve the dual purposes of measuring what a student has mastered at each grade/course level and the student’s readiness to successfully undertake learning at the next grade/course level. A key focus should be the readiness of high school seniors to undertake postsecondary education coursework without need for remediation. In particular, assessments of 11<sup>th</sup> grade performance should be aligned, if not integrated, with entrance or placement examinations of the State’s college and university systems.

**Recommendation 20.4** – Schools, colleges, and universities should use authentic assessments that measure students’ school/campus accomplishments, including work samples and portfolio entries, in relevant academic subjects, and that would allow students to progress through a variety of coordinated delivery systems.

#### **Recommendation 21**

California’s colleges and universities should work collaboratively to develop a means of assessing the learning of students enrolled in public postsecondary education.

#### **Recommendation 22**

Membership of the Intersegmental Committee of the Academic Senates (ICAS) should be augmented with faculty from California’s PreK-12 schools. The resulting new PreK-postsecondary intersegmental faculty body should be charged with reviewing and recommending changes, if needed, in the alignment and coordination of curricula, assessment, admissions, and placement.

#### **Recommendation 23**

The Legislature should mandate the development of transparent and sustainable articulation and transfer processes to provide students with clear curricular guidance on the transition between grade levels, between high school and college, and between and among two- and four-year colleges and universities while avoiding the complexity of campus-by-campus differentiation.

**Recommendation 23.1** – The California Department of Education should encourage and provide support for continuity of guidelines, standards, and curricula of kindergartens and state-supported preschools; it should strive for similar continuity with non-state-supported preschools.

**Recommendation 23.2** – The governing boards of the University of California, California State University, and California Community Colleges systems, themselves or through the efforts of their faculty, should provide for the devising of system-wide articulation policies to enable students to transfer units freely between and among public colleges and universities in California. The attainment of this objective should be enforced by the proper application of accountability measures, as discussed on page 110-111 of this report.

**Recommendation 23.3** – The University of California, California State University, and California Community College systems should establish an intersegmental group that includes faculty and students, to consider what steps need to be taken to establish a transfer Associate’s degree, within the existing Associate degree unit requirements, the attainment of which would guarantee admission, and course transferability, to any California State University or University of California campus (though not necessarily the major of choice) for students successfully completing the transfer degree program.

#### **Recommendation 24**

The State should encourage explicit infusion of age appropriate school-to-career experiences in public schools, colleges, and universities to provide students with clear curricular and career guidance about the range of post-high school options to which they can aspire and to cultivate greater civic engagement among Californians.

#### **Recommendation 25**

The State should support preparation of new teachers and ongoing professional development for all existing staff in technology applications, to ensure they have the skills to help students develop the technology skills and knowledge needed for lifelong achievement and success.

#### **Recommendation 26**

Authority over the operations of California’s PreK-12 public education system at large, and ultimate responsibility for the delivery of education to California’s PreK-12 public education students in particular, should both reside within the Office of the Governor. The Office of the Governor should have authority to implement the following functions, as assigned to its various sub-entities by the Legislature:

- Apportion resources to schools to support teaching and learning, pursuant to statutory and budgetary direction;
- Manage the state financial accountability program and school district fiscal audit reviews;
- Establish education standards and other learning expectations for students and a process for periodic review and modification of those standards and expectations;
- Adopt K-8 textbooks (a function constitutionally assigned to the State Board of Education);

- Establish developmentally appropriate program and operating standards for early childhood education and require continuity between the academic guidelines, standards and curricula for preschool and kindergarten;
- Administer school improvement programs; and
- Promote an understanding of effective uses of data to improve student learning.

**Recommendation 26.1** – The Governor should appoint a cabinet-level Chief Education Officer, to carry out, on behalf of the Governor, all state-level operations, management, and programmatic functions, and to serve as the Director of the Department of Education.

**Recommendation 26.2** – The Governor should continue to appoint, with the consent of the State Senate, the State Board of Education. The Board’s members should be drawn from and represent distinct geographical regions, and should reflect the ethnic and gender diversity of the state’s populace. The functions of the State Board of Education should be limited to state policy matters specified by the Legislature.

**Recommendation 26.3** – Once management of the California Department of Education has been transferred to the Governor’s office, the separate executive director and staff of the State Board within the Department of Education should be eliminated.

## **Recommendation 27**

The Superintendent of Public Instruction should remain an elected position and be responsible for all aspects of accountability for public education other than fiscal accountability. The Superintendent should exercise the following functions related to accountability in California’s K-12 education system:

- Provide for and manage a comprehensive accountability system of student and institutional measurement, to include indicators of the opportunities for teaching and learning, outputs, quality of information, and governance/policy instruments that aim to ensure adequate and equitable provision of education;
- Ensure compliance with special education and civil rights law by all relevant participants in the education system;
- Monitor the impact of state policy on the success of local K-12 programs in fostering student achievement;
- Monitor the implementation of state and federal programs to ensure that they meet the needs of all targeted students;
- Provide public identification of schools that have failed to meet student achievement targets;
- Define and implement the processes for intervention in schools that fail to meet student achievement targets pursuant to state and federal laws;
- Serve as an advisor to the Legislature and the Governor and as an advocate to promote the State’s Master Plan for Education and system accountability; and
- Act as the independent spokesperson of California’s populace, and of students in particular, in public discourse on educational issues.

## **Recommendation 28**

Local school district governing boards should be assigned the policy and administrative authority and a set of management responsibilities to enable them to effectively operate schools that are responsive both to state-level standards and policy priorities and to local community needs. These responsibilities should include, but not be limited to, the following:

- Establish a vision for the goals and objectives the district;
- Develop and adopt district policy on how best to implement local, state, and federal goals and requirements for the PreK-12 system as a whole, within the local context;
- Recruit/select highly qualified individuals for senior leadership positions;
- Ensure that the district superintendent is meeting the vision, goals and performance objectives of the district, and ensure that the superintendent holds district personnel accountable;
- Adopt a fiscally responsible budget based on the district's vision and goals, and regularly monitor the fiscal health of the district;
- Allocate available resources within the district so as to balance baseline equity—appropriately staffed, safe, clean, and decent schools for all students—with targeted additional resources pursuant to special funding categories described in the Quality Education Model;
- Establish a framework for the district's collective bargaining process, in the instances in which bargaining is used, and adopt responsible agreements that reflect the interests of the public;
- Adopt district curriculum and monitor student progress;
- Provide support, as necessary, to ensure the success of schools within the district;
- Collaborate and seek sustained positive partnerships with other non-education elements of local government, local employers, postsecondary education institutions, and community organizations; and
- With particular regard to middle and secondary grades, maintain constant institutional emphasis on locally tailored efforts to achieve and maintain high rates of pupil attendance.

## **Recommendation 29**

The State should take steps to bring all school districts into unified PreK-12 structures.

**Recommendation 29.1** – The Legislature should develop fiscal and governance incentives to promote local communities organizing their local schools into unified districts, and should eliminate all fiscal and other disincentives to unification.

### **Recommendation 30**

Local districts should, where appropriate, consolidate, disaggregate, or form networks to share operational aspects, to ensure that the educational needs of their students are effectively met and that their operational efficiency is maximized.

**Recommendation 30.1** – The Legislature should undertake a comprehensive study to determine the optimal size ranges for school districts with respect to both educational delivery and the conduct of business operations. The study should additionally identify a range of funding considerations that are based on size and structural options and that could be appropriately leveraged to attain optimal conditions.

**Recommendation 30.2** – Each county committee on school organization should review the findings of the study and should have a period of three years to develop and recommend local plans and conduct local elections that would implement the findings of the study for all school districts within its jurisdiction.

### **Recommendation 31**

Local districts should be provided the opportunity to exercise a degree of firmly established local control, protected from encroachment by state laws, through an amendment to the state constitution permitting those districts to adopt limited ‘home rule’ authority by votes of their electorates in a manner similar to that long authorized in the constitution for cities and counties.

### **Recommendation 32**

The Legislature should initiate a state-level inquiry to examine the optimal size of county offices of education, the potential transition of county offices of education into regional entities, and the efficiencies that might be realized from the consolidation of various operational aspects of county offices to organize their services to meet current and emerging district and regional needs, including fiscal oversight and management and administrative assistance. Based on the findings of this inquiry, the Master Plan should be amended, as appropriate, to incorporate action based on the findings of this inquiry.

### **Recommendation 33**

County/Regional offices of education should be assigned a set of functions, resources, and authority both to serve local districts in their efforts to provide comprehensive curricula to students and professional development opportunities for professional staff, and to act as monitoring agents on behalf of the State to ensure that every public school meets minimal

standards of educational quality. These functions and responsibilities should include the following:

- Directly provide educational services to students served by small districts that might not otherwise be able to provide a comprehensive array of curricular offerings or learning support and to students attending court and county community schools;
- Provide professional development, or facilitate the provision of professional development to education personnel in school districts requesting such services;
- Serve as the appellate body for parents who disagree with specified decisions of local school boards;
- Monitor fiscal decisions of local school boards and, when appropriate, intervene to forestall imminent bankruptcy if local budget decisions were to be implemented;
- Serve as the primary catalyst and facilitating agency to ensure that all schools have access to a technology infrastructure that enables electronic exchange of information and educational materials; and
- Monitor the facility decisions of local boards and, when appropriate, intervene to ensure that every school maintains facilities that comply with state quality assurance standards.

#### **Recommendation 34**

The California Community Colleges should be reconstituted as a public trust with its board of governors responsible for overall governance, setting system policy priorities, budget advocacy, and accountability for a multi-campus system. The primary functions of the California Community Colleges should continue to include instruction in the general or liberal arts and sciences up through, but not exceeding, the second year of postsecondary education leading to associate's degrees or transfer to other institutions; education, training, and services that advance California's economic growth; and vocational and technical instruction leading to employment, and community services. Community colleges should also be authorized to:

- Provide instruction at the upper division level jointly with the California State University, University of California, or a WASC-accredited independent or private postsecondary education institution.

**Recommendation 34.1** – The membership of the California Community College Board of Governors should be modified to include as ex-officio members the Governor, the Superintendent of Public Instruction, the Lieutenant Governor, and the Speaker of the Assembly.

**Recommendation 34.2** – The responsibilities of the California Community College Board of Governors should be defined as the following:

- Exercise general supervision over, and coordination of, the local community college districts;
- Provide leadership and direction through research and planning;
- Establish minimum conditions and standards for all districts to receive state support and to function within the system;



- Establish specific accountability measures and assure evaluation of district performance based on those measures;
- Approve courses of instruction and educational programs that meet local, regional, and state needs;
- Administer state operational and capital outlay support programs;
- Adopt a proposed system budget and allocation process;
- Ensure system-wide articulation with other segments of education; and
- Represent the districts before state and national legislative and executive agencies.

**Recommendation 34.3** – The responsibilities of the California Community College local boards of trustees should be defined as the following:

- Establish, maintain, and oversee the colleges within each district;
- Assure each district meets the minimum conditions and standards established by the Board of Governors;
- Establish policies for local academic, operations, and facilities planning to assure accomplishment of the statutory mission within conditions and standards established by the Board of Governors;
- Adopt local district budgets;
- Oversee the procurement and management of property;
- Establish policies governing student conduct; and
- Establish policies to guide new course development, course revision/deletion, and curricular quality.

**Recommendation 34.4** – The California Community College Board of Governors should have the same degree of flexibility and authority as that of the California State University, including the authority to appoint and approve senior staff of the Board of Governors.

**Recommendation 34.5** – A state assessment should be conducted on the value of and need for restructuring of local districts, with attention to the size and number of colleges in a district, as well as the scope of authority that should be assigned to each district. Should this assessment find restructuring valuable and desirable, incentives should be provided to encourage restructuring.

## **Recommendation 35**

The status of the California State University as a public trust; and the size, composition, term of office, and responsibilities of its Board of Trustees should remain unchanged. The primary functions of the California State University should continue to include instruction in the liberal arts and sciences through the master's degree, in the professions and applied fields that require more than two years of postsecondary education, and in teacher education. It should continue to be authorized to:

- Award the doctoral degree jointly with the University of California or with a WASC-accredited independent or private postsecondary institution;

- Engage in faculty research, using state-supported facilities provided for and consistent with the primary function of the California State University.

### **Recommendation 36**

The University of California should continue to be constituted as provided in Section 9, Article IX of California's constitution. The size, composition, term of office, and responsibilities of its Board of Regents should remain unchanged. The primary functions of the University of California should continue to include instruction in the liberal arts and sciences and in the professions, including teacher education. It should continue to have exclusive jurisdiction among public postsecondary education for instruction in the professions of law, medicine, dentistry, and veterinary medicine. The University of California should continue to have sole authority to award doctoral degrees in all fields, except that it may agree to jointly award doctoral degrees with the California State University in selected fields. The University of California should continue to be the primary, although not exclusive, academic agency for research.

### **Recommendation 37**

The Legislature should convene a task force to develop a strategic plan for the delivery of adult education, including a list of indicators that should be used to assess the effectiveness of California's Adult Education system. The task force assembled for this purpose should submit its plan to the Legislature for adoption.

**Recommendation 37.1** – To ensure that comparable quality of instruction is available to all Californians enrolling in adult continuing education, the State should quickly move toward reciprocity of instructional credentials, based on appropriate minimum qualifications, between the K-12-operated adult and community college-operated noncredit education systems, to allow instructors to teach in either or both systems.

**Recommendation 37.2** – State priorities for adult and noncredit education should include English as a Second Language, Elementary and Secondary Basic Skills, and Vocational Education. The State should strive to provide adequate resources to ensure that these priorities are addressed by all adult education providers.

### **Recommendation 38**

The Legislature should review the founding statutes of the California Postsecondary Education Commission (CPEC) and should confirm or amend them, as appropriate, to ensure that the commission has the capacity and authority to carry out its mission as the coordinating entity for postsecondary education and chief objective adviser to the Governor and Legislature regarding the continuing improvement of California postsecondary education.

**Recommendation 38.1** - The Commission's primary functions should include:

- Providing long-range planning for meeting the postsecondary education needs of Californians, including the adequate provision of facilities, programs, and campuses,

- and assessing and advising state policymakers regarding priorities dictated by current and evolving public needs;
- Providing policy and fiscal analyses regarding the most critical issues affecting the success of Californians in attending and graduating from postsecondary education institutions;
  - Coordinating the analyses, policy recommendations, and long-range planning proposals of various public and private entities, as needed, to secure the long-term fiscal stability and public financing of public postsecondary education, including the development of student fee and financial aid policies and the efficient use of state resources across segmental boundaries;
  - Advising the Legislature on appropriate accountability indicators for postsecondary education, to be adopted in statute, and subsequently reporting annually to the Legislature and the Governor on the performance of public postsecondary institutions in meeting the adopted indicators.
  - Evaluating and reporting to the Legislature and the Governor the extent to which public postsecondary education institutions are operating consistent with state policy priorities and discharging the responsibilities assigned to them in statute;
  - Reviewing and approving new public campuses for postsecondary education; and
  - Reviewing academic programs for public, postsecondary education institutions.

**Recommendation 38.2** – CPEC should be given the authority to require information to be submitted by the various segments of postsecondary education. Each year, immediately prior to the Legislature’s postsecondary education budget deliberations, CPEC should provide a report to the budget committee chairs of both houses, and to the Legislative Analyst, regarding the record of the various segments in responding to the Commission’s requests for information.

**Recommendation 38.3** – CPEC should continue to be advised by the existing statutory advisory committee. The segmental representatives to the CPEC statutory advisory committee should consist of the Chancellor of the California Community Colleges, the Chancellor of the California State University, the President of the University of California, the President of the Association of Independent California Colleges and Universities, and the Superintendent of Public Instruction, or an executive-level designee of each.

## **Recommendation 39**

The Legislature and Governor should immediately create a new California Education Commission (CEC). The CEC should have initial responsibility for planning, coordination, and analysis that encompasses preschool and K-12 education, as well as the interface between K-12 and postsecondary education.

**Recommendation 39.1** – The commission’s primary functions should be:

- Providing long-range analysis and planning for meeting the educational needs of all Californians;

- Providing policy and fiscal advice, based on data analysis, that represents the public interest in California's education system;
- Serving as California's statewide education data repository;
- Evaluating the extent to which all public education institutions are operating consistent with state policy priorities;
- Advising the Legislature and the Governor on the potential and actual impacts of major education policy proposals or initiatives;
- Coordinating statewide articulation of curriculum and assessment between the PreK-12 and postsecondary education sectors;
- Providing long-term planning for the development of joint and other shared use of facilities and programs between PreK-12 and postsecondary education entities;
- Sponsoring and directing inter-segmental programs that benefit students making the transition from secondary school to college and university; and
- Coordinating outreach activities among PreK-12 schools and postsecondary education and work-sector entities.

**Recommendation 39.2** – The Legislature should identify and implement effective mechanisms to compel all relevant agencies with responsibility for gathering and maintaining comprehensive data on one or more aspects of California's education system, preschool through university, to submit specified data to the commission.

**Recommendation 39.3** – The Joint Committee should consider structuring the California Education Commission with eight lay representatives; four appointed by the Governor, two appointed by the Senate Rules Committee, and two appointed by the Assembly Speaker. In addition, the Superintendent of Public Instruction should serve as the chair of this commission. This structural option should be evaluated against other options and the preferred model submitted to the Legislature and Governor for adoption.

## **Recommendation 40**

All oversight of state-approved private colleges and universities offering academic degrees at the associate of arts level or higher should be transferred from the Department of Consumer Affairs to the California Postsecondary Education Commission, to ensure the quality and integrity of degrees awarded under the auspices of the State of California.

**Recommendation 40.1** – The California Postsecondary Education Commission should develop standards to promote articulation, when appropriate, and to foster collaborative shared use of facilities and instructional equipment between state-approved private colleges and universities awarding academic degrees and regionally accredited public and independent colleges and universities.

**Recommendation 40.2** – The California Postsecondary Education Commission should be designated as the state approval agency for veterans' institutions and veterans' courses, and should have the same powers as are currently conferred on the Director of Education by Section 12090 et seq. of the Education Code, to enter into agreements and cooperate with the United States Department of Veterans Affairs, or any other federal agency,

regarding approval of courses, and to approve and supervise institutions that offer courses to veterans.

## **Recommendation 41**

The State should establish a system of regularly reported indicators for PreK-12 accountability and improvement and develop a system of appropriate rewards and interventions, based on those indicators, that will promote continuous improvement of student achievement.

**Recommendation 41.1** – The K-12 Academic Performance Index (API) should be expanded in statute so that it includes grade promotion and other indicators of academic outcomes, in addition to multiple measures of student achievement, and indicators of opportunities for teaching and learning.

**Recommendation 41.2** – The Superintendent of Public Instruction should identify appropriate school-level indicators of schools' status regarding the availability and use of high-quality learning resources, conditions, and opportunities, based on standards that specify what government agencies – the State and school districts – must provide all schools. This information should be collected by the California Education Commission and reported by the Superintendent of Public Instruction in a format that permits comparison against standards arising from the state's Quality Education Model and made publicly available through revision of the School Accountability Report Card.

**Recommendation 41.3** – The California Education Commission should collect appropriate and relevant data to allow the Superintendent of Public Instruction to assess and report on the effectiveness of California's programs for young children, and integrate these data collection and analysis efforts with the K-12 API effort.

**Recommendation 41.4** – The State should create benchmarks and criteria, based on prototype schools, that will serve as desirable models of high quality schools. They would also serve as the basis for determining adequacy of funding and provide potential expenditure streams to guide local education decision makers. The State should also collect and disseminate information about actual schools with effective programs and practices that promote student achievement.

**Recommendation 41.5** – The State should develop a long-term strategic plan for the meaningful use of accountability data and indicators that are linked to state educational goals by state and local policymakers, educators, and all Californians to determine the impact of programs and interventions designed to improve learning conditions and outcomes. The plan should also contain strategies for remedying identified inadequacies.

**Recommendation 41.6** – The State should develop a series of progressive interventions in K-12 education that support low performing schools' efforts to build their organizational capacity, develop high quality programs, and support student learning, particularly in schools of the greatest need. The State should also develop a series of progressive rewards that recognize schools for significant improvement and high achievement. The

criteria for implementing interventions and rewards should be clearly defined and linked to the evaluation of annual performance data.

**Recommendation 41.7** – The State should develop a series of definitive actions to apply as consequences to any entity within the public education system that fails to meet its responsibilities. These actions should range from loss of flexibility in defined expenditure decisions to the loss of control of its responsibilities.

**Recommendation 41.8** – The accountability system should enable policymakers and the public to detect performance barriers beyond the level of the school, and distinguish carefully among actors or agencies primarily causing them. At a minimum, the Superintendent of Public Instruction should measure, report, and use all performance indicators at the state and district levels, as well as at the school level, and develop mechanisms to hold state agencies and districts directly accountable for their schools' performance, consistent with the discussion of accountability on pages 108-109 of this report.

**Recommendation 41.9** – The State should establish a consistent and straightforward way for local schools to describe their expenditure and programmatic decisions, to compare them with the State's prototype expenditure guidelines, minimum standards, and outcome goals, and to clarify the trade-offs implicit in budget decisions.

## **Recommendation 42**

The California Department of Education should expand adult education course standards to include student performance measures such as those developed by the National Skill Standards Board, the Secretary's Commission on Achieving Necessary Skills (SCANS), and Equipped for the Future.

**Recommendation 42.1** – The State should support and expand existing accountability mechanisms for adult education providers that emphasize student performance and reward institutions for improving student achievement. The State should also encourage incorporation of the foregoing standards for workplace skills and adoption of state standards for student achievement.

## **Recommendation 43**

The State should bring postsecondary education into an integrated accountability system by developing a set of accountability indicators that are consistent with state policy objectives and institutional missions and that would monitor quality and equity in access and achievement of all students in common academic content areas. All public, independent, and private institutions should be required to participate in the reporting of these accountability indicators as a condition of receiving state moneys either through direct appropriation or student financial aid.

**Recommendation 43.1** – The State’s accountability framework for postsecondary education should be improved by modification and expansion of the ‘partnership’ budget approach, currently applied to the University of California and the California State University systems, to include all postsecondary education, clarify the link between performance and funding, and adopt realistic alternatives for times of revenue downturns.

**Recommendation 43.2** – The State should specify the set of indicators of student and institutional performance on which every public college and university must provide data annually, along with an implementation timeline.

#### **Recommendation 44**

The Legislature should direct a 13-member Quality Education Commission, consisting of business, parent, and education community leaders from throughout the state, to develop a California Quality Education Model (CQEM), to be consistent with the parameters set forth in this Plan, and use that model to determine an adequate level of funding necessary to support a high-quality education for every student enrolled in public schools, PreK-12.

**Recommendation 44.1** – Within 12 months of its formation, the commission should submit its final report, encompassing the prototype model and the commission’s findings and recommendations, to the Legislature and Governor. The Legislature should adopt the model as the basis for determining PreK-12 education funding for California.

**Recommendation 44.2** – The Quality Education Commission should continuously monitor, evaluate, and refine the California Quality Education Model, as appropriate, to ensure that its implementation provides adequate funding for high quality education for all students at all schools.

#### **Recommendation 45**

The Legislature should limit adjustments to the adequate base of funding to three types of categorical funding to reflect differences from the prototypes used in the California Quality Education Model.

**Recommendation 45.1** – The State should develop a K-12 school finance system that recognizes a limited set of differential costs, primarily geographic in nature, that are not under the control or influence of school districts, by establishing a *District Characteristics* adjustment. The additional revenue provided to school districts in recognition of these uncontrollable cost factors would result in similar overall levels of ‘real’ resources.

**Recommendation 45.2** – The State should include in the K-12 school financing system block grants for allocation to school districts on the basis of *Student Characteristics* that mark a need for additional educational resources. Further, we strongly suggest that the adjustments in this category be limited to additional funding for special education, services for English language learners who have been enrolled in California schools for

less than five years, and resources provided in recognition of the correlation of family income level with student achievement. (New programs in these areas should be tested and implemented through an initiative process, described in the following recommendation).

**Recommendation 45.3** – The State should establish a category of grants that would be clearly identified as *Initiatives*. These initiatives should be limited in duration, and serve one of two purposes:

- Pilot and evaluate proposed new programs before they are implemented statewide. Once such a program were implemented statewide, the funding for it would be consolidated into the base funding for schools, or one of the two major categories of adjustments – student characteristics and district characteristics.
- Meet immediate, but temporary, needs for additional funding targeted to specific districts to mitigate the effects of transitory, and possibly unforeseen, shocks to the instructional program. For example, funding provided for programs specifically targeted to reduce the number of emergency permit teachers would be a high priority, but presumably time-limited, effort.

## **Recommendation 46**

The State should provide local school districts with options for generating revenue locally to supplement their adequate funding base (as outlined in recommendations 45 and 46), and should provide local community college districts the same options for generating revenue locally.

**Recommendation 46.1** – The State should authorize school districts in counties where a majority of school districts wish to join together to propose to the electorate a sales and use tax increase, within the local option sales and use tax levy limitation, to take effect with the approval of the voters in a countywide election. Revenue would be divided among the schools on a population (per-pupil) basis, or as delineated in the tax measure. The State should provide for an equalization mechanism to enable a state-guaranteed tax yield, to ensure that each county voting to do so could raise the statewide average per-pupil amount that would be realized through the imposition of a given tax rate.

**Recommendation 46.2** – The Legislature should approve a ballot initiative to amend the constitutional provisions governing the property tax, to authorize school districts that have voted for and been granted ‘home rule’ authority (see Recommendation 34), and all community college districts, to propose to the electorate a property tax override for the exclusive use of the public schools or community colleges. The State should assure a minimum, state-guaranteed yield per pupil through a statewide equalization mechanism to provide state financial assistance to communities where a self-imposed tax rate would not yield the minimum state-determined per-pupil amount for that rate.



## **Recommendation 47**

The Legislature should direct an analysis of the feasibility of replacing the current funding model for school facilities with annual state per-pupil allocations restricted to assisting school districts in meeting their capital and major maintenance needs according to a long-term Facilities Master Plan adopted by each school district. State and local funding for capital outlay and major maintenance should be protected to prevent redirection of capital resources when other cost pressures arise and to protect the public's investment in major capital projects.

**Recommendation 47.1** – The State should require that first priority for capital funding allocations be given to meeting projected needs, taking into consideration historical patterns of student migration/mobility. After all school districts have achieved state standards of adequacy for their facilities and the State has transitioned into a base per-pupil allocation mechanism, the commitment to equity should change focus from ‘leveling up’ to accommodation of special circumstances.

## **Recommendation 48**

The State should create a statewide school facilities inventory system to assist state and local decision makers in determining short- and long-term school facilities needs.

## **Recommendation 49**

The State should adopt policies to provide more stability for finance and to dampen the ‘boom and bust’ swings of state appropriations for postsecondary education.

**Recommendation 49.1** - The State should establish the California Community Colleges’ share of overall state revenues guaranteed by Proposition 98 to K-14 education at 10.93 percent.

**Recommendation 49.2** - The State should analyze the appropriateness of modifying the current ‘marginal cost’ approach for funding all additional enrollments in public colleges and universities, to account for contemporary costs of operations, differing missions and functions, and differential student characteristics that affect costs in each sector.

**Recommendation 49.3** – The State should make an annual investment for state-supported applied research by public postsecondary education institutions, to be held in reserve to allow the State to address issues of urgent public priority, as identified by the Legislature and the Governor. Such investment and allocation should be consistent with the missions of the postsecondary education sectors.

## **Recommendation 50**

The Legislature and Governor should, after formal study of all relevant factors, determine and define how the costs of postsecondary education should be distributed among the State, the federal government, and students and their families, and thereupon design a new, fiscally

responsible, and appropriately balanced student fee policy that would preserve access to higher education opportunity for all of California's students, particularly those from low-income and underrepresented groups.

**Recommendation 50.1** – The State should adopt a student fee policy aimed at stabilizing student fees, such that, to the extent feasible, fees would increase in a moderate and predictable fashion when needed, and should resist pressure to buy out student fee increases or reduce student fees at the California Community Colleges California State University, and University of California systems during strong economic times. The State should adopt distinct student fee policies designed to address the unique needs and considerations of California's 2-year and 4-year public institutions.

**Recommendation 50.2** – State policy should allow additional fee revenue collected by community colleges to remain with each college, without a General Fund offset, whenever fiscal conditions compel fees to be increased.

## **Recommendation 51**

The State should maintain a need-based financial aid and scholarship program to assist students from low-income backgrounds to pursue their educational objectives in a California college or university.

**Recommendation 51.1** – The State should continue to emphasize financial need in the award of state-supported student grants and should continue to fund the Cal Grant 'entitlement' as defined in SB 1644 (Statutes of 2000). The State should assure outreach and distribution of information regarding financial aid to students from low-income families and under-represented groups.

**Recommendation 51.2** – The maximum Cal Grant amount awarded to students choosing to attend independent postsecondary education institutions should be reviewed periodically, but at least once every five years and, as needed, adjusted to maintain the estimated average General Fund cost of educating a student at the public four-year institutions of postsecondary education, including the average authorized student fees charged by the California State University and University of California systems.

**Recommendation 51.3** – The State's financial aid policy should consider the role of institutional aid, maintaining flexibility in its use by higher education institutions, while holding the institutions accountable for its use in meeting the State's commitment to providing need-based financial aid.

**Recommendation 51.4** – The Legislature should regularly review, and where appropriate update, state financial aid programs in order to ensure that eligibility requirements are consistent with contemporary needs of students.

## **Recommendation 52**

The State should review its methodology for determining and funding facilities in California postsecondary education, and, as appropriate for each segment, make changes to emphasize multiple-use facilities, comprehensive space planning, sharing of space among institutions, and incentives to maximize other sources of capital outlay.

## **Recommendation 53**

The State should develop and fund a per-child allocation model for financing early child care and education, sufficient to meet the new system's quality standards and organizational infrastructure requirements.

**Recommendation 53.1** – The State should consolidate, under the California Department of Education, all child development funding sources, including those from the departments of Education and Social Services, and create new sources of revenue to augment existing funds.

**Recommendation 53.2** – The State should create a Financing Task Force to calculate the per-child allocation needed to fund high-quality early education services and organizational infrastructure for low-income newborns to three-year olds, and for school readiness services for families with children, from birth to kindergarten.

## **Recommendation 54**

The State should improve the availability, quality, and maintenance of early education facilities.

**Recommendation 54.1** – The State should increase the number of school facilities serving young children.

**Recommendation 54.2** – The State should provide incentives to stimulate facility construction and development.

**Recommendation 54.3** – The State should provide incentives for employers to implement family-friendly policies geared to helping parents carry out their responsibilities for nurturing and facilitating the readiness of their children for success in formal schooling.

## **Recommendation 55**

The State should take the lead in developing educational technology partnerships that include the public, private, non-profit, and for-profit sectors.

**Recommendation 55.1** – The State should encourage local education agencies to establish partnerships with utilities, telecommunication companies, software and hardware providers, and others, to facilitate functional universal access to technology in all public schools, colleges, and universities.

**Recommendation 55.2** – The State and local communities should establish incentives for joint development and use of school facilities, with cities and counties, including libraries, classrooms, other learning sites, and recreational and community space.

- New construction should be linked to the community, and better links should be established with the community in existing schools.
- The facilities should be constructed in compliance with the uniform building codes applicable to other public buildings, such as libraries and government offices.
- Technology should be integrated and support distributed learning in these and other settings.

**Recommendation 55.3** – The State should provide incentives to encourage businesses to contribute to meeting the technology infrastructure and upgrade needs of public education institutions and the communities they serve.

## **Recommendation 56**

The Legislature should create a joint committee to perform a comprehensive review of this California Master Plan for Education at least every ten years from the date of submission of this report.

**Recommendation 56.1** – In light of the rapidly changing times and emerging conditions we are experiencing, the Legislature should create a joint committee no more than five years from the date of submission of this report, for the purpose of reviewing especially important, emerging issues, including:

- The potential impact of electronically-mediated and distance learning on the effectiveness of teaching and learning, as well as on the variety of learning options from among which Californians might choose to pursue their interests in acquiring new knowledge and new skills;
- The variety of formats in which textbooks and other instructional materials could be available and the possibilities that these formats could offer for assuring that every learner enrolled in a public education institution has access to current information and learning support;
- The findings of research on effective ways to create and sustain small learning communities and diverse learning environments, that may suggest new ways to structure and finance public schools; and
- Future governance styles that might cultivate educational leadership, and collaborative governance arrangements that could improve the effectiveness and seamlessness of California's education system, including an examination of current management practices and collective bargaining in the context of teaching and learning.

**Recommendation 56.2** – The legislative joint committee to be empanelled five years from the adoption of this report pursuant to the preceding recommendation, should

further examine, and where appropriate take action on, the implementation of key recommendations of this Plan to ensure that sufficient progress is being made toward the goals of this Plan. These recommendations include at least the following:

- Elimination of the use of teachers with emergency credentials, particularly in low-performing schools;
- Progress in elimination of the use of multi-track year-round school schedules that have fewer calendar days of instruction;
- Development of ‘opportunities for teaching and learning’ indicators for inclusion in the Student Accountability Report Card and use by the Superintendent of Public Instruction;
- Review of the findings of various studies called for in this Plan, including those of optimal organization for county offices of education and school districts, and the cost of funding essential components of a quality education system; and
- Progress in implementing a comprehensive educational data system.

**Recommendation 56.3** – The Legislative Analyst should, on an annual basis, review the operations of the California Postsecondary Education Commission and the California Education Commission to determine the extent to which, and the effectiveness with which, they are meeting the functions assigned to them, and should report the findings of that review to the Legislature during the annual state budget process. Within these reviews, the Legislative Analyst should assess the feasibility of merging the California Education Commission and the California Postsecondary Education Commission into one entity with two divisions to better serve the well-being of all California education.

**Recommendation 56.4** - The Legislative Analyst should, at least every five years, review the foregoing, as well as other, emerging issues to determine their potential impact on successful implementation of this Master Plan and report to the Legislature any issues which appear to warrant further analysis and/or policy action.

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# Appendix C

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# Appendix D

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