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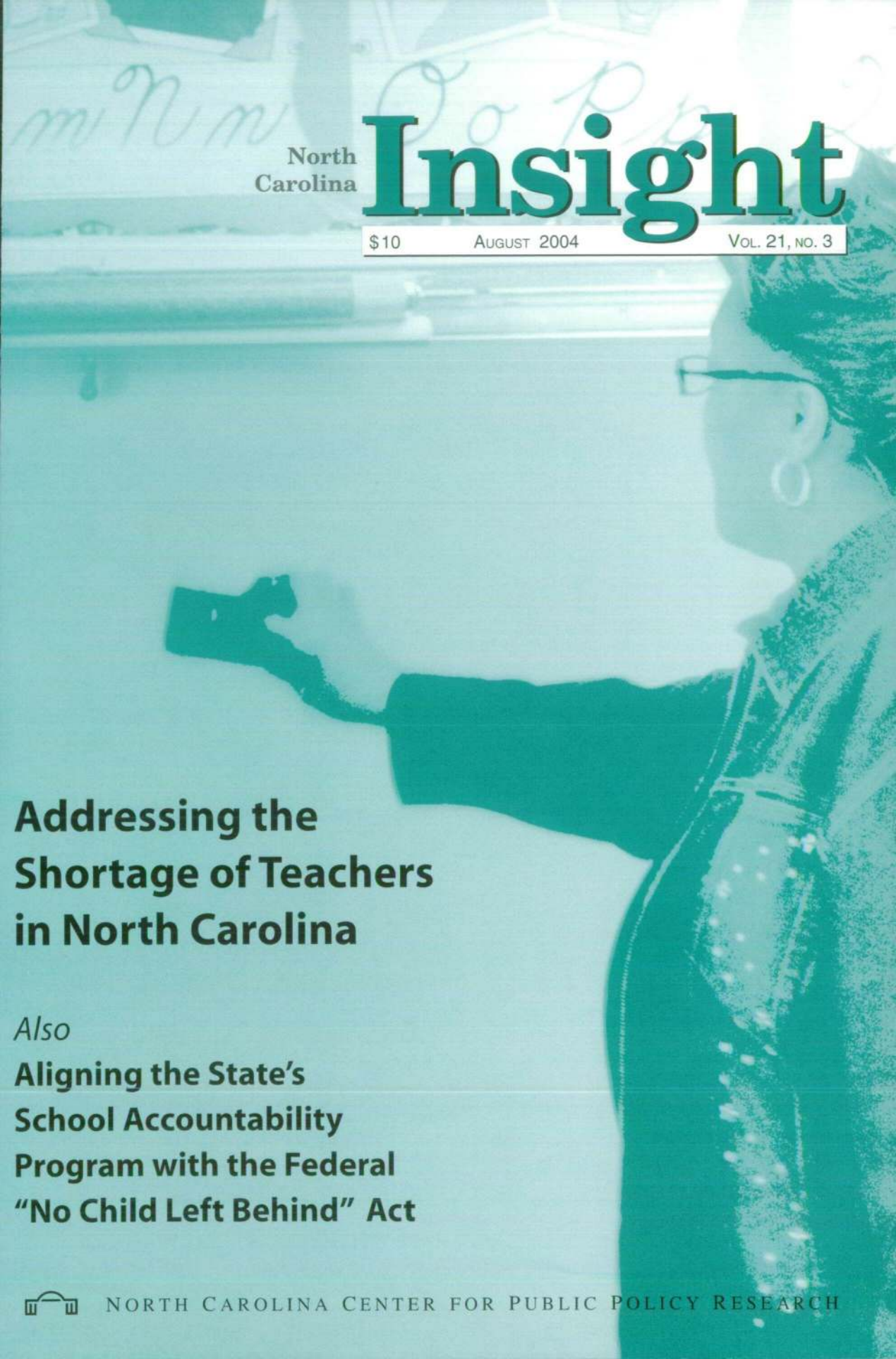

Addressing the Shortage of Teachers in North Carolina

Also

Aligning the State's School Accountability Program with the Federal "No Child Left Behind" Act

North Carolina Center for Public Policy Research

N.C. Center for Public Policy Research

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The Center was formed in 1977 by a diverse group of private citizens for the purpose of gathering, analyzing, and disseminating information concerning North Carolina's institutions of government. It is a nonpartisan organization guided by a self-elected Board of Directors and has individual and corporate members across the state.

Center projects include the issuance of special reports on major policy questions; the publication of a magazine called *North Carolina Insight;* a newsletter called "From the Center Out;" joint productions of public affairs programs with WPTF-AM, the N.C. Radio News Network, Time Warner Cable, and WUNC-TV; and the regular participation of members of the staff and the Board in public affairs programs around the state. An attempt is made in the various projects undertaken by the Center to synthesize the thoroughness of scholarly research with the readability of good journalism. Each Center publication represents an effort to amplify conflicting ideas on the subject under study and to reach conclusions based on sound rationalization of these competing ideas.

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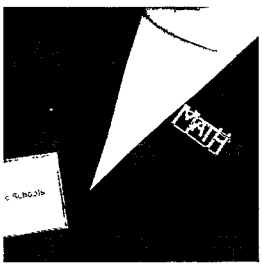

The State of Public Education in North Carolina

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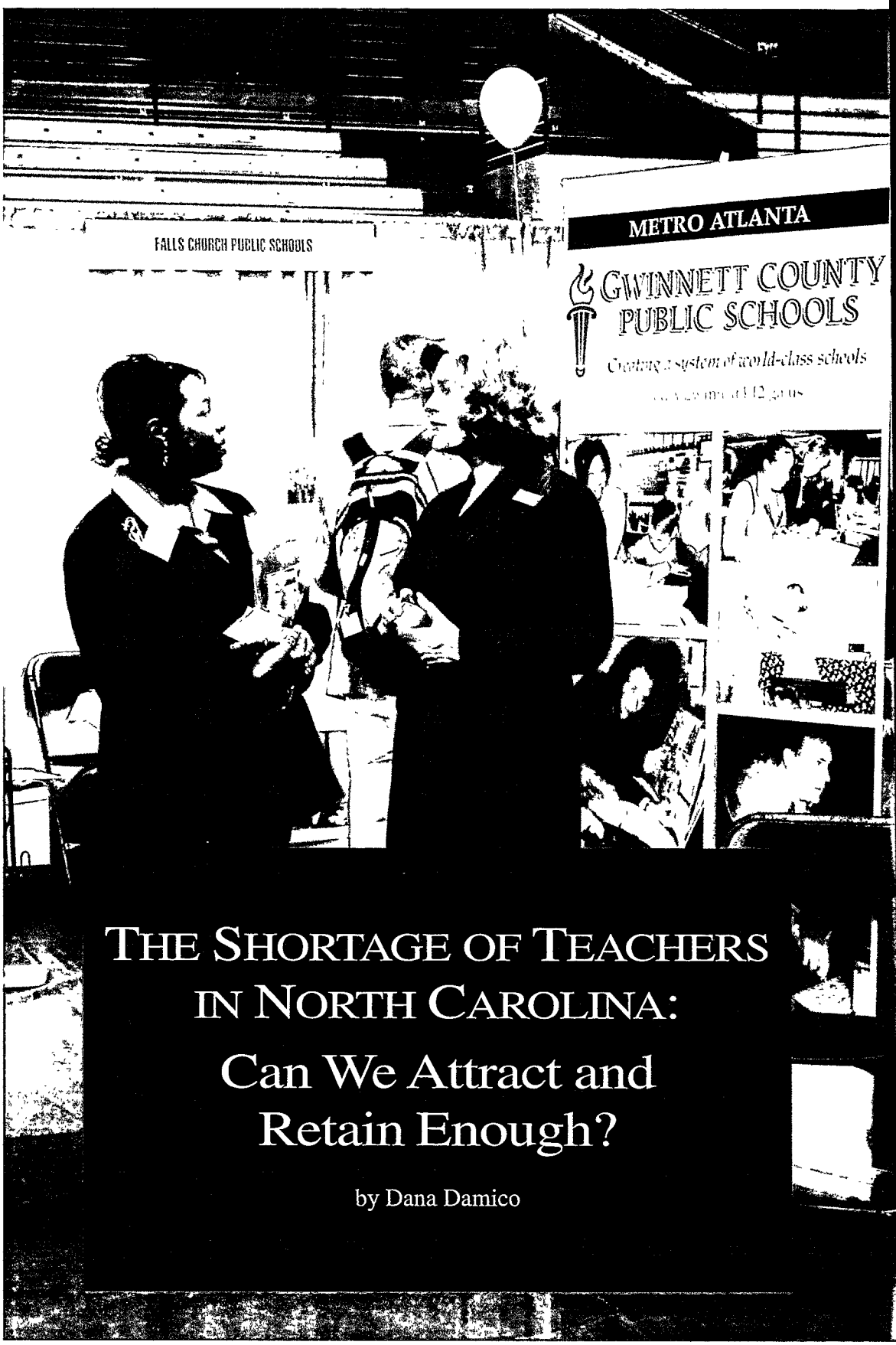


THE SHORTAGE OF TEACHERS IN NORTH CAROLINA: Can We Attract and Retain Enough?

by Dana Damico

Karen Tam

By most accounts, North Carolina faces a pressing teacher supply and demand challenge—exacerbated by requirements in the federal No Child Left Behind Act that call for a fully qualified teacher in every classroom by the end of the 2005–06 school year. Given retirements, resignations, and growth in the school-age population, the state must hire about 10,000 teachers each year to staff its public school classrooms, or about 11 percent of its total teaching pool. Yet the state's public and private universities combined produced about 3,100 prospective teachers in 2003, and only 2,200 of these graduates were hired by local school districts.

That means the state also must rely on out-of-state hires and teachers entering the profession through lateral entry to bridge the shortfall. Slightly fewer than one in three new hires complete a traditional teacher education program in the state. A similar percentage of new hires enter through lateral entry, which requires less up-front teacher training, and slightly more than one-third of these come from out-of-state.

North Carolina schools started the 2003–04 school year with 742.5 vacancies out of some 86,000 positions. The turnover rate for 2002–03 was 12.44 percent—an improvement from recent years, and ranged from a staggering 27.6 percent in Hoke County to only 3.2 percent in Clay County.

Though the problem is not unique to North Carolina, the state does seem to suffer more than the nation as a whole. Since 2002, a faltering national economy and weak labor market made teaching a more attractive option for many college graduates, according to the American Federation of Teachers. Even so, there is a great demand for newly minted teachers. The National Education Association reports that 2.4 million teachers will be needed over the next 11 years. Class size reduction efforts across the nation—also one of Gov. Mike Easley's highest priorities in North Carolina—push that projection to as many as 2.7 million.

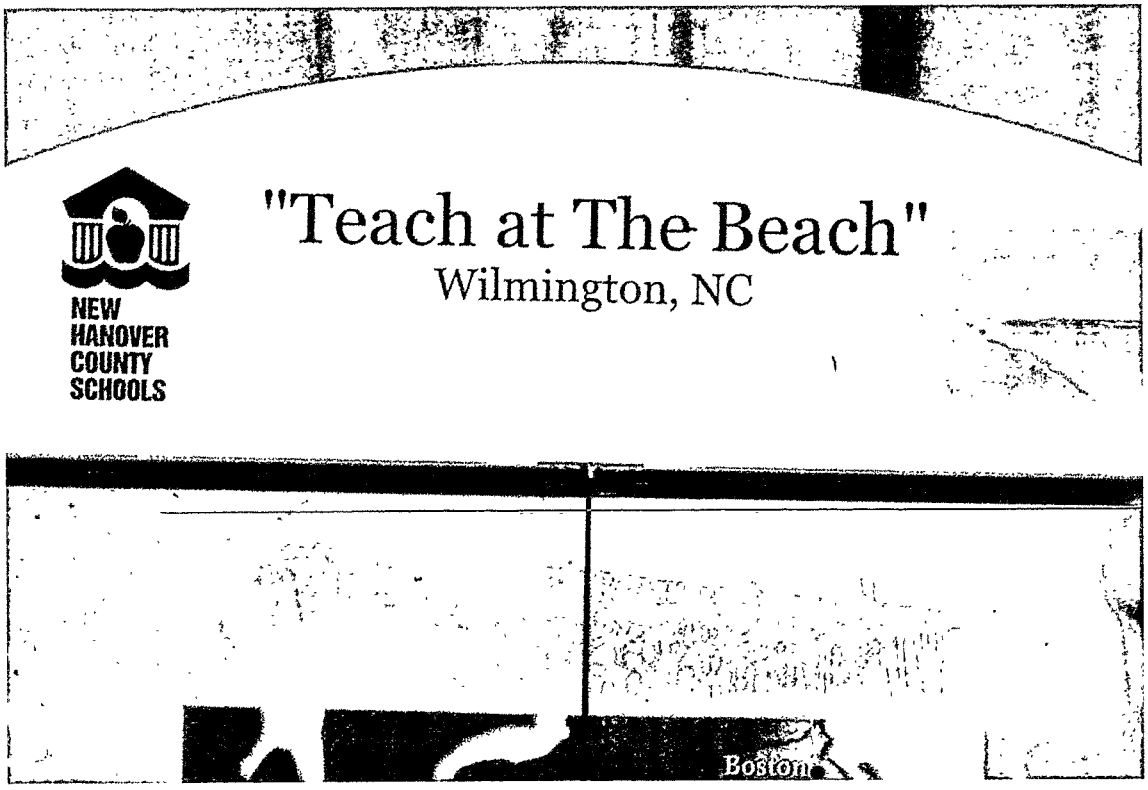
Teacher turnover is a great contributor to the supply and demand crunch. Nearly one in three new teachers leaves the profession after three years on the job, and about 40 percent leave after five years. One in two new teachers in urban districts leave in the first five years. And, only half of the estimated six million people in the United States with teaching credentials or background are teaching, the National Education Association reports.

Why does all this matter? Experts say beginning teachers are less effective than those with a few years teaching under their belts. And, difficult-to-staff schools must rely more on beginning teachers. That means students who are already behind the learning curve must rely on inexperienced teachers to help them catch up.

Further, the shortage is so severe in some parts of North Carolina that finding a qualified teacher at all becomes a challenge. No one believes that starting the school year with a non-certified, long-term substitute is the best way to help students learn. Nor is a classroom staffed by a teacher working outside his or her field of certification a desirable option.

Proposed solutions to the teacher shortage problem vary widely. While some believe North Carolina universities and colleges should do more to attract potential teachers to pursue education degrees, others urge a more concentrated effort to retain teachers already in the pipeline. With the mean teacher salary at $43,076 for 2002–2003, North Carolina ranks 22nd in the nation in pay. The national average was $45,930. Local teacher pay supplements vary greatly across school districts—from zero in eight counties to an average of $5,755 annually in the Chapel Hill-Carrboro schools, so pay is not uniform based on education and experience. Some say raising teacher salaries would dramatically reduce the teacher churn. Others say North Carolina needs to invest more in mentoring programs that support new teachers and ensure they stick it out when their expectations clash with the realities of the classroom. A study released by the University of North Carolina Board of Governors in March 2004 recommends a little of each to address the need for competent, qualified teachers in the state's public school classrooms. The recommendations include ***supply solutions*** *such as increasing enrollment in teacher education programs, more scholarships, in-state tuition for lateral entry candidates, and making it more convenient to get a teaching degree through night and weekend classes, on-line lateral entry programs, and 2 + 2 degree completion community college programs. The recommendations also include* ***retention solutions*** *such as higher pay and steeper increases when teachers are early in their careers and more likely to quit.*

Meanwhile, the North Carolina Center for Public Policy Research offers three recommendations. (1) The Governor should ask the Education Cabinet—comprised of the state's highest ranking officers in public education and public and private higher education—to make addressing the teacher shortage its number one priority, with a goal of incrementally increasing teacher production to at least 11,000 per year by 2010; (2) the State Board of Education should require teacher retention improvement plans for school systems with high teacher turnover; and (3) the State Board of Education should seek funds to help low-wealth counties with high teacher turnover and no or low local teacher salary supplements. All of these recommendations deserve serious consideration by the General Assembly as it contemplates how best to address a brewing crisis that could threaten the state's recent gains in improving public school performance.



Karen Tam

Two weeks before the start of the 2002–2003 school started last year, retired teacher and administrator Irish Pickett, 63, ran into a principal at her local post office who faced a crisis. School was set to start in a handful of days, and the principal of West Hoke Elementary School still had to fill eight of 30 teaching spots.

The principal pleaded with Pickett, a 36-year education veteran, to return to the classroom. Pickett hated to think what would happen if she said no. "These children will not be able to achieve if they were exposed to subs coming in and out all year," she says. "They need certified teachers to succeed."

Pickett agreed to return as a fourth-grade teacher and she convinced one of her friends to take a spot in first grade. It marked the second time an anxious principal lured Pickett back to the classroom. She returned first in 2000, just one year after retirement, to work at Scurlock Elementary School in Hoke County. The principal called her two months into the school year and said there were four permanent spots open. Pickett stayed for two years.

Hoke County Schools—like others throughout North Carolina and the United States—struggles every year to fill a recurring gap fueled by teacher turnover, retirements, relocations, and burnout. Filling teaching positions is particularly difficult in Hoke County, plagued by the highest teacher turnover in the state and one of five low-wealth counties party to a lawsuit charging that the state fails to provide equal educational opportunities for its poor counties.[1] But with its rapidly growing population, North Carolina routinely is named among the top states with the most pressing teacher supply and demand challenges.[2] Educators say the challenge is exacerbated by requirements in the federal No Child Left Behind Act that call for a highly qualified teacher in every classroom by the end of the 2005–06 school year.[3]

North Carolina must hire about 10,000 teachers, or about 11 percent of its total teaching pool, each year.[4] Yet, the state's public and private universities combined produced about 3,100 prospective teachers via the traditional teacher preparation route in 2003.[5] Thus, the state relies on out-of-state hires and teachers from lateral entry programs to bridge the shortfall.

Dana Damico is a former capital correspondent for the Media General newspaper chain. Photos are by Karen Tam and were taken at a teacher recruitment fair in Chapel Hill, N.C.

The N.C. Department of Public Instruction says that slightly fewer than one in three new hires completed an approved teacher education program in the state. About the same percentage entered the profession through lateral entry, which requires less upfront teacher training, and slightly more than one-third of all new hires came from out-of-state.[6]

North Carolina schools started the 2003–04 school year with 742.5 vacancies out of some 86,000 positions.[7] When the school year closes, history shows that many teachers won't return to the same position. The turnover rate for 2002–03 was 12.44 percent and ranged from 27.6 percent in Hoke County, where Pickett teaches, to 3.2 percent in Clay County.[8] (See Table 1, pp. 7–10.)

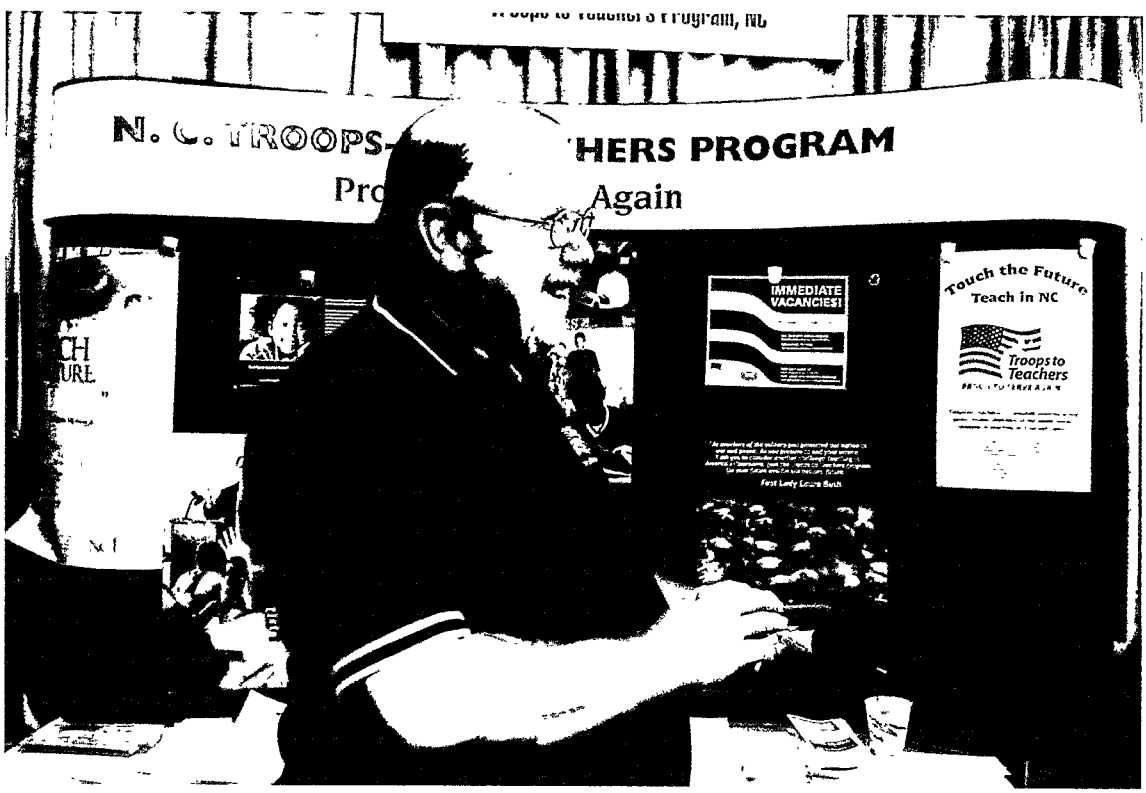
The N.C. Education Research Council—a consortium of education researchers housed at the University of North Carolina's Center for School Leadership Development—reports that the annual turnover rate among North Carolina state employees during the same period was 15 percent. Among businesses nationwide, the turnover rate was 11 percent.[9]

A National Problem

Nationally, the help-wanted sign hangs outside most schools every year, creating a frustrating, costly cycle of recruiting, training, and mentoring new teachers. National studies show that the strain has eased somewhat since the late-1990s when the market for college graduates was robust, student enrollments were increasing faster than current rates, and a large number of teachers reached retirement.

Since 2002, a faltering economy and weak labor market made teaching a more attractive option for many college graduates, according to the American Federation of Teachers. Still, the National Education Association reports that 2.4 million teachers will be needed over the next 11 years.[10] Class size reduction efforts push that projection to as many as 2.7 million.[11] Governor Mike Easley has led the push for class size reduction in North Carolina, securing funding for class-size reduction to an 18:1 student-teacher ratio in kindergarten, 1st, and 2nd grades and adding 600 teachers to the state payroll despite a significant multi-year budget shortfall. The General Assembly's 2004–2005 budget includes $51 million for class-size reduction to 18:1 in the third grade, creating demand for still more additional teachers.

Other factors contributing to the North Carolina teacher shortage problem are: (1) growth in the state's school-age population, which the State Data Center projects to increase from the 1.4 million counted in the 2000 U.S. Census (some 1.2 million



Karen Tam

Table 1. Teacher Turnover by N.C. School System, 1998–2003

	System Name	Percent Turnover 1998–99	Percent Turnover 1999–00	Percent Turnover 2000–01	Percent Turnover 2001–02	Percent Turnover 2002–03	5-Year Average and Rank ( )*	
1.	Alamance County/ Burlington City	14.57	18.13	16.43	16.19	15.11	16.09	(26)
2.	Alexander County	8.31	12.58	13.48	17.65	10.93	12.59	(65)
3.	Alleghany County	7.26	8.73	5.60	2.99	9.09	6.73	(112)
4.	Anson County	13.69	23.10	13.68	13.27	10.14	14.78	(38)
5.	Ashe County	6.87	6.28	9.13	3.54	9.62	7.09	(111)
6.	Avery County	9.79	10.09	5.03	7.55	6.22	7.74	(106)
7.	Beaufort County	12.21	11.11	13.57	12.95	10.83	12.13	(74)
8.	Bertie County	18.06	12.72	14.98	20.34	7.69	14.76	(39)
9.	Bladen County	10.07	8.96	11.04	19.8	13.26	12.63	(63)
10.	Brunswick County	12.54	12.55	12.25	13.18	14.45	12.99	(60)
11.	Buncombe County	7.38	8.62	9.95	8.57	9.32	8.77	(103)
12.	Asheville City	12.49	15.38	16.58	13.54	13.38	14.27	(46)
13.	Burke County	16.07	14.81	14.33	13.63	14.73	14.71	(40)
14.	Cabarrus County	13.45	11.42	13.52	12.04	12.14	12.51	(66)
15.	Kannapolis City	19.50	18.49	18.30	14.20	12.57	16.61	(22)
16.	Caldwell County	11.26	12.80	14.89	7.56	12.66	11.83	(78)
17.	Camden County	5.62	14.77	15.22	6.25	7.00	9.77	(96)
18.	Carteret County	9.17	5.72	13.17	6.97	7.50	8.51	(104)
19.	Caswell County	14.29	11.90	16.30	13.89	14.34	14.14	(49)
20.	Catawba County	11.23	15.34	18.17	12.52	13.58	14.17	(48)
21.	Hickory City	21.14	19.12	19.00	16.62	14.24	18.02	(12)
22.	Newton-Conover City	18.63	18.57	17.27	17.59	16.81	17.77	(15)
23.	Chatham County	16.35	18.88	17.48	16.09	15.71	16.9	(19)
24.	Cherokee County**	2.02	7.94	4.59	9.67	5.35	5.91	(114)
25.	Chowan County/ Edenton City	13.33	16.40	13.89	13.89	13.89	14.28	(45)
26.	Clay County**	10.00	7.00	5.00	3.16	3.16	5.66	(115)
27.	Cleveland County	11.43	10.37	12.92	14.07	12.59	12.28	(70 tie)
28.	Kings Mountain City	11.43	9.46	10.44	11.41	5.84	9.72	(97)
29.	Shelby City	16.80	17.55	16.41	17.57	20.48	17.76	(16)
30.	Columbus County	13.50	9.98	8.58	6.49	8.13	9.34	(101)
31.	Whiteville City	8.78	11.06	9.09	11.27	10.47	10.13	(92)

—continued

Table 1, *continued*

	System Name	Percent Turnover 1998–99	Percent Turnover 1999–00	Percent Turnover 2000–01	Percent Turnover 2001–02	Percent Turnover 2002–03	5-Year Average and Rank ( )*	
32.	Craven County	10.51	10.50	11.46	7.89	6.74	9.42	(100)
33.	Cumberland County	4.89	8.33	11.36	9.71	9.81	8.82	(102)
34.	Currituck County	7.27	9.71	15.07	14.29	5.08	10.28	(90)
35.	Dare County	12.64	8.24	11.11	9.09	8.79	9.97	(94)
36.	Davidson County	10.45	11.36	11.03	9.22	9.11	10.23	(91)
37.	Lexington City	21.40	20.44	18.72	16.25	13.25	18.01	(13)
38.	Thomasville City	12.90	16.67	18.52	18.18	21.14	17.48	(17)
39.	Davie County	11.95	13.22	12.98	13.53	16.10	13.56	(54)
40.	Duplin County	15.07	22.24	15.47	13.22	20.38	17.28	(18)
41.	Durham County	16.26	16.93	18.12	14.21	18.76	16.86	(20)
42.	Edgecombe County	17.12	24.22	23.36	20.04	18.33	20.61	(5)
43.	Forsyth County/ Winston-Salem City	12.26	14.17	13.47	10.19	9.73	11.96	(77)
44.	Franklin County	27.57	15.98	21.23	17.61	21.53	20.78	(4)
45.	Gaston County	11.78	13.81	10.53	9.04	10.03	11.04	(84)
46.	Gates County	6.80	7.36	10.26	5.99	7.10	7.50	(108)
47.	Graham County**	2.13	3.00	1.60	3.92	5.32	3.19	(117)
48.	Granville County	19.04	16.16	17.45	12.17	12.05	15.37	(30)
49.	Greene County	21.39	16.16	18.45	12.90	13.30	16.44	(24)
50.	Guilford County	11.81	12.29	9.77	10.06	9.95	10.78	(87)
51.	Halifax County	14.17	18.67	19.78	13.93	12.81	15.87	(27)
52.	Roanoke Rapids City	16.22	17.19	12.62	11.42	8.87	13.26	(57)
53.	Weldon City	25.00	21.18	20.45	22.34	18.28	21.45	(3)
54.	Harnett County	12.72	12.80	14.08	16.37	18.34	14.86	(36 tie)
55.	Haywood County	7.23	4.01	6.16	9.78	11.00	7.64	(107)
56.	Henderson County	9.74	11.07	11.27	8.76	6.32	9.43	(99)
57.	Hertford County	17.73	11.75	15.64	30.57	18.75	18.89	(9)
58.	Hoke County	24.52	28.21	23.55	23.43	27.59	25.46	(1)
59.	Hyde County	22.08	13.70	12.00	12.16	14.47	14.88	(35)
60.	Iredell County/ Statesville City	10.91	10.78	13.91	10.71	11.50	11.56	(80)
61.	Mooresville City	14.11	11.45	15.81	11.50	9.38	12.45	(68)
62.	Jackson County**	9.80	8.47	9.09	14.40	15.69	11.49	(81)

Table 1, *continued*

	System Name	Percent Turnover 1998–99	Percent Turnover 1999–00	Percent Turnover 2000–01	Percent Turnover 2001–02	Percent Turnover 2002–03	5-Year Average and Rank ( )*	
63.	Johnston County	14.82	11.66	17.41	11.90	15.81	14.32	(44)
64.	Jones County	19.20	21.49	22.05	18.11	10.00	18.17	(11)
65.	Lee County	14.96	9.52	14.89	15.36	17.12	14.37	(43)
66.	Lenoir County	10.00	12.63	15.14	17.89	20.13	15.16	(32)
67.	Lincoln County	11.77	15.99	14.36	10.10	11.01	12.65	(62)
68.	Macon County**	5.71	8.02	4.73	9.43	8.31	7.24	(110)
69.	Madison County**	9.90	7.73	9.22	9.36	12.96	9.83	(95)
70.	Martin County	9.41	19.86	12.89	13.61	13.03	13.76	(52)
71.	McDowell County	6.90	12.00	13.57	13.46	8.39	10.86	(86)
72.	Mecklenburg County/ Charlotte City	19.18	19.44	21.77	19.31	16.73	19.29	(7)
73.	Mitchell County	4.71	5.75	6.92	5.63	9.20	6.44	(113)
74.	Montgomery County	10.75	17.83	19.44	16.67	18.05	16.55	(?3)
75.	Moore County	16.24	17.84	13.74	14.39	10.53	14.55	(41)
76.	Nash County/ Rocky Mount City	13.97	15.07	18.24	13.76	20.34	16.28	(25)
77.	New Hanover County	15.39	16.48	11.68	13.50	11.50	13.71	(53)
78.	Northampton County	17.19	13.81	17.33	24.71	16.78	17.96	(14)
79.	Onslow County	16.60	18.36	15.60	14.62	13.29	15.69	(29)
80.	Orange County	15.47	13.58	15.32	12.31	13.55	14.05	(50)
81.	Chapel Hill- Carrboro City	17.14	14.58	12.38	14.51	16.43	15.01	(34)
82.	Pamlico County	8.11	12.03	11.80	11.46	11.46	10.97	(85)
83.	Pasquotank County/ Elizabeth City	15.89	13.53	19.03	9.39	18.57	15.28	(31)
84.	Pender County	12.84	15.11	11.84	9.63	10.65	12.01	(75)
85.	Perquimans County	14.49	12.06	10.34	8.28	8.28	10.69	(88)
86.	Person County	19.00	19.45	21.26	20.96	12.97	18.73	(10)
87.	Pitt County	13.10	11.05	9.24	8.58	8.54	10.10	(93)
88.	Polk County	16.57	20.37	16.98	13.77	11.35	15.81	(28)
89.	Randolph County	15.42	13.13	15.12	12.92	13.58	14.03	(51)
90.	Asheboro City	19.81	16.25	15.61	9.84	12.78	14.86	(36 tie)
91.	Richmond County	16.92	10.64	13.52	16.12	10.44	13.53	(55)

—continued

Table 1, *continued*

	System Name	Percent Turnover 1998–99	Percent Turnover 1999–00	Percent Turnover 2000–01	Percent Turnover 2001–02	Percent Turnover 2002–03	5-Year Average and Rank ( )*	
92.	Robeson County	14.38	14.15	16.18	13.41	13.97	14.42	(42)
93.	Rockingham County	15.71	14.89	10.09	14.16	11.57	13.28	(56)
94.	Rowan County/ Salisbury City	11.89	12.94	14.41	14.04	12.81	13.22	(58)
95.	Rutherford County	5.02	8.35	8.61	6.46	8.56	7.40	(109)
96.	Sampson County	9.16	11.31	14.77	15.21	13.04	12.70	(61)
97.	Clinton City	11.11	18.72	12.50	11.73	10.95	13.00	(59)
98.	Scotland County	18.46	16.04	9.90	7.75	10.13	12.46	(67)
99.	Stanly County	14.29	11.42	13.46	12.38	9.86	12.28	(70 tie)
100.	Stokes County	14.29	13.64	13.30	10.28	9.69	12.24	(72 tie)
101.	Surry County	8.87	14.21	13.04	10.24	14.83	12.24	(72 tie)
102.	Elkin City	9.89	14.74	13.48	14.77	10.23	12.62	(64)
103.	Mount Airy City	6.85	11.52	19.08	13.01	11.02	12.30	(69)
104.	Swain County**	7.63	9.02	9.56	5.96	8.12	8.06	(105)
105.	Transylvania County	11.81	12.11	14.12	8.27	12.64	11.79	(79)
106.	Tyrrell County	10.81	27.87	20.34	12.07	24.56	19.13	(8)
107.	Union County	16.44	15.91	17.62	11.12	10.08	14.23	(47)
108.	Vance County	19.82	25.38	20.00	13.60	21.04	19.97	(6)
109.	Wake County	13.07	10.78	9.20	9.48	10.22	10.55	(89)
110.	Warren County	31.82	19.80	30.46	13.27	17.21	22.51	(2)
111.	Washington County**	18.32	19.00	11.27	15.34	11.64	15.11	(33)
112.	Watauga County	9.72	12.96	11.5	12.73	9.15	11.21	(83)
113.	Wayne County	14.66	9.70	12.89	7.46	3.57	9.66	(98)
114.	Wilkes County	14.91	6.98	9.63	15.43	12.95	11.98	(76)
115.	Wilson County	17.83	12.34	22.79	16.56	13.57	16.62	(21)
116.	Yadkin County	13.96	10.86	10.44	9.62	11.73	11.32	(82)
117.	Yancey County	4.00	1.65	2.22	2.63	6.12	3.32	(116)
	Statewide Average	**13.41%**	**13.59%**	**13.96%**	**12.49%**	**12.44%**	**13.18%**	

* Ranking of 1 equals school system with highest teacher turnover.

** Denotes counties that do not offer a local teacher salary supplement.

Source: N.C. Department of Public Instruction, "System Level Turnover Report 2002–03."

were enrolled in the state's public schools) to 1.6 million by 2010—adding demand for some 1,000 additional teachers annually; and (2) and the need for a highly qualified teacher in every classroom as required by the federal No Child Left Behind school accountability act.[12] (For more on the law and its requirements, see "Pass/Fail: Meeting the Challenges of the State ABC and Federal 'No Child Left Behind' Accountability Programs," pp. 32–57.) All of these factors are expected to increase demand for classroom teachers by some 2,000 positions annually in North Carolina.

But despite these new demands, many educators say improved teacher retention would go a long way toward solving the teacher supply crisis. Nearly one in three new teachers leaves the profession after three years on the job and about 40 percent leave after five years.[13] One in two new teachers in urban districts leave in the first five years.[14] And, only half of the estimated six million people in the United States with teaching credentials or background are teaching, the National Education Association reports.[15]

While the American Association for Employment in Education reports an overall balance between teacher supply and demand nationwide, it notes that shortages persist in 26 of the 64 fields it surveyed. A 2003 review revealed a "considerable shortage" in just one field—"multicategorical special education." That is down from seven fields in 2002. The report also shows "some shortage" in 25 fields, including math, science, Spanish, and technology. Surpluses were reported only in the fields of dance, health, and physical education.[16]

Supply and demand issues are more acute in the Southeast, however, where 10 fields report considerable shortages and 19 fields report some shortage, according to the association's report.[17] (See Table 2, p. 12.) Only Hawaii reported more shortages among the 11 regions surveyed.

In North Carolina, the shortage areas are, in order of magnitude, high school math, high school science, middle school math, middle school science, special education, middle school language arts, and in some areas foreign languages—particularly Spanish. (See Table 3, p. 13.) "There's a shortage, just do the math," says Barbara Armstrong, the personnel director for the Thomasville City Schools. "There's no one set reason. The state gives 15 reasons: some people are moving with their families, some retire. Over the next few years, we're going to have a heavy retirement. That's the thing that hit us big last year."

Thirty-seven of 175 teachers employed by the Thomasville City Schools left in 2002–2003; 13 of them had earned tenure.[18] The 21.1 percent turnover rate for the small city school system in Davidson County was surpassed by just three other systems: Hoke, Tyrrell, and Franklin counties.

Experts agree with Armstrong that the cause of the supply and demand dilemma is multi-faceted. While student enrollment continues to grow and demand for smaller classes increases, teachers continue to march toward retirement. Nationally, more than 25 percent of teachers are at least 50 years old, and the median age nationally is 44.[19] In North Carolina, the median age is 42.[20] Likewise, a large number of new teachers leave their jobs to start families, change schools, and take higher-paying positions in other professions. Teachers also say they leave their jobs because they lack professional support, are frustrated by student apathy, or are exasperated by poor behavior. The Public School Forum of North Carolina pointed to these problems

The mediocre teacher tells. The good teacher explains. The superior teacher demonstrates. The great teacher inspires.

—WILLIAM ARTHUR WARD

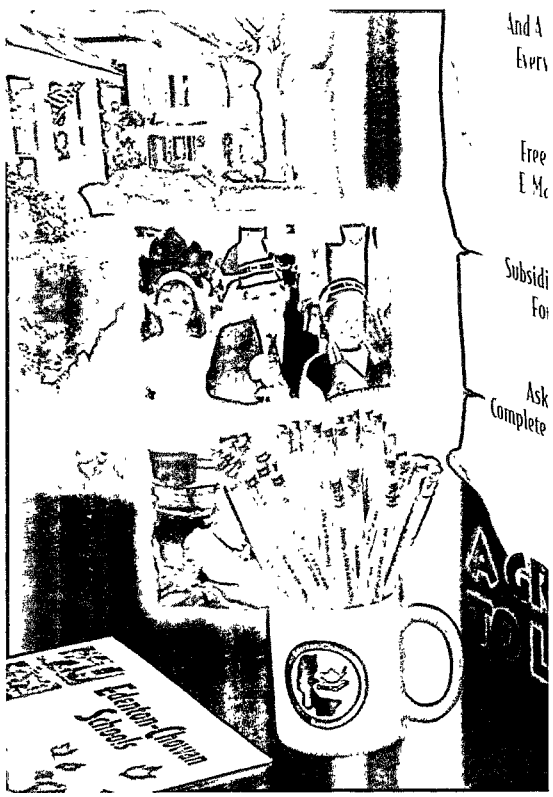


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Table 2. Teacher Supply and Demand by Field, Southeast Region

Considerable Shortage	Some Shortage	Balanced		Some Surplus
Math	Bilingual Education	Agriculture	Curriculum Director—Administration	Dance Education
Physics	Computer Science	Art/Visual Education	Human Resources Director—Administration	Driver Education
Multicategorical—Special Education	Middle School English as a Second Language	Business Education	Superintendent—Administration	Health Education
Emotional/Behavioral Disorders—Special Education	Classics—Languages	Pre-Kindergarten	Audiologist	Physical Education
Hearing Impaired—Special Education	German	Kindergarten	Counselor	
Learning Disability—Special Education	Japanese	Primary—Elementary Education	Gifted/Talented Education	
Mental Retardation—Special Education	Spanish	Intermediate—Elementary Education	Library Science/Media Technician	
Visually Impaired—Special Education	Reading	English/Language Arts	Occupational Therapist	
Mild/Moderate Disabilities—Special Education	Biology	Home Economics/Computer Science	Physical Therapist	
Severe/Profound Disabilities—Special Education	Chemistry	Journalism	School Psychologist	
	Earth/Physical Science Education	French	School Social Worker	
	General Science Education	Instrumental—Music Education		
	Early Childhood—Special Education	Vocal—Music Education		
	Dual Certificate—Special Education	General—Music Education		
	Technology Education	Social Studies		
	Middle School Principal—Administration	Speech Education		
	High School Principal—Administration	Theatre/Drama Education		
	School Nurse	Elementary School Principal—Administration		
	Speech Pathologist	Business Manager—Administration		

Source: "Educator Supply and Demand in the United States: 2003 Executive Summary," American Association for Employment in Education, Columbus, OH.

West Virginia, Virginia, Kentucky, Tennessee, North Carolina, South Carolina, Mississippi, Alabama, Georgia, and Florida make up the Southeast Region. The association bases its report on surveys sent to 1,265 teaching colleges. The survey also included a category for "considerable surplus," but no fields were reported to have a considerable surplus in the Southeast.

Table 3. Primary Teacher Shortage Areas in North Carolina, in Order of Magnitude — 2002–2003

	Number of LEA's Indicating Need
1) High School Math	99
2) High School Science	70
3) Middle School Math (grades 6–9)	69
4) Middle School Science (grades 6–9)	59
5) Special Education —Various Categories*	93*
6) Middle School Language Arts	23
7) Second Languages	19

* Combines Behavioral/Emotional, Cross Categorical, Exceptional Children, and Learning Disabilities specialities, in rank order of identified needs.

Source: N.C. Department of Public Instruction, "System Level Turnover Report," October 2003, p. 3. School systems are asked to provide in rank order the five areas for which it is most difficult to recruit teachers.

and more in its 1996 report, "A Profession in Jeopardy—Why Teachers Leave and What We Can Do About It."[21]

Because there is no one factor driving the teacher shortage, efforts to address it vary. Intense competition for teachers pits school systems—and states—against one another in a high-stakes recruiting war. Administrators use salary supplements, signing bonuses, educational scholarships, low-interest car and mortgage loans, free gym memberships, and dental coverage to woo would-be teachers. They routinely travel out of state to fill their spots.

Why Teachers Quit

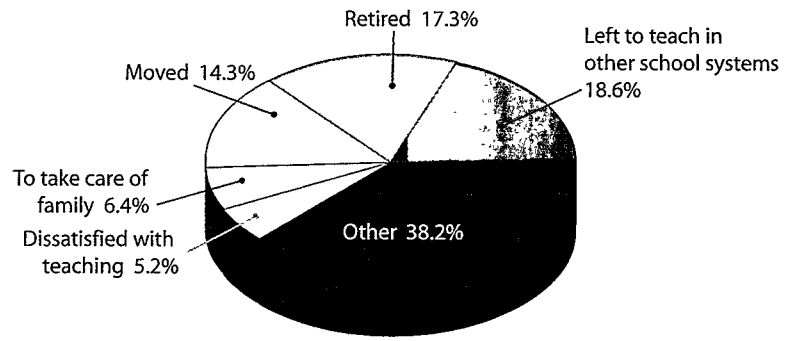
Many experts say that stemming the tide of teachers who flee the classroom, especially those within the first five years on the job, should take priority over boosting teacher supply in the immediate future. The argument is that producing more teachers is like pouring water into a leaky bucket if officials don't adopt effective reforms to retain the teachers we have.

A report by the National Commission on Teaching and America's Future released in 2003 vigorously disputes the notion that the country lacks enough quality teachers. "With the exception of the specific fields of mathematics, science, special education, and bilingual education, the teacher supply is adequate to meet the demand," it says. For instance, the commission reports that from 1984 to 1999, the number of new graduates earning education degrees increased more than 50 percent to 220,000 a year. In 1999, about 160,000 of those graduates were new teachers with initial licenses, but only half were hired that year, it says.[22]

But teacher attrition increased faster than the number of teachers entering the schools during the 1990s, the report concludes. "Our inability to support high quality teaching in many of our schools is driven not by too few teachers entering the profession but by too many leaving it for other jobs," it says. "The ability to create and maintain a quality teaching and learning environment in a school is limited not by teacher supply but by high turnover among the teachers who are already there—turnover that is only aggravated by hiring unqualified and underpaid replacements who leave teaching at very high rates."[23]

About 12.44 percent of North Carolina's 92,688 teachers employed in the 2002–03 school year left their school systems (number of teachers employed reflects teachers who leave their job during the course of the year *and* their replacements and thus is inflated over the daily teaching force). Thirty-three percent of the departing teachers were tenured.[24] The turnover rate fell from a five-year high of 14 percent in 2000–01. The bulk of those

Figure 1. Reasons for Teacher Resignation in North Carolina



* Of the 38.2 percent in the "other" category, 12.4 percent resigned for unknown reasons. Other categories in the survey included failure to obtain a license, disability, death, and resignation in lieu of dismissal. Each of these categories surveyed at less than five percent.

Source: North Carolina Department of Instruction, "System Level Teacher Turnover Report 2002–03."

departing teachers, 18.6 percent, left to teach in other school systems. Among the remainder:

- 17.3 percent retired;
- 14.3 percent resigned to move;
- 12.4 percent resigned for unknown reasons;
- 6.4 percent resigned to take care of family; and
- 5.2 percent changed careers because they were dissatisfied with teaching, according to a survey of the state's 117 school systems.[25] (See Figure 1.)

How Serious Is the Problem?

Because 18.6 percent of departing teachers resign to take jobs in other school systems, some argue that the debate about the teacher shortage is overblown. This position is supported by Jack Wenders, a University of Idaho economist, who says that 40 percent of teaching hires in a given year are actually returning to the profession after pursuing advanced degrees or raising families. He says turnover in teaching is similar to that in other fields and, while subject to spot shortages in some areas, is not a national problem. Wenders blames cries of a crisis on politics and teachers' unions hoping to increase pay and benefits.

Nonetheless, there is good reason for concern in North Carolina. Retention rates vary among new teachers in North Carolina, but *first-year teachers with no experience* generally report the highest retention rates. However, the N.C. Department of Public Instruction has tracked each class of new teacher hires since 1995–1996, noting whether teachers leave the classroom or continue teaching. The department reports that even among first-year teachers with no prior experience, retention rates have declined by several percentage points since 1995. These rates have dropped from 83.7 percent retention after one year on the job in 1995 to 80.6 percent retention after one year on the job in 2001–2002—the latest year available; from 75 percent retention in 1995–1996 to 72.1 percent in 2001–2002 after two years of teaching; from 65.9 percent retention in 1995–1996 to 61.7 percent in 2001–2002 after three years in the classroom; from 60.6 percent in 1995–1996 to 56.1 percent in 2001–2002 after four years; and from 56.2 percent in 1995–1996 to 52.5 percent in 2001–2002 after five years.[26] That means only about half of beginning teachers are still teaching after five years on the job.

Retention of newly hired *teachers with experience* in another school system or state also has dropped since 1995 from 78.4 percent to 69.6 percent after one year; from 65.4 percent to 55.7 percent after two years; from 58.9 percent to 46.3 percent after three years; from 53.5 percent to 41.5 percent after four years; and from 50.4 percent to 38.2 percent after five years.[27]

By contrast, retention of *lateral entry teachers* has improved since 1995, though about half still leave after their second year of teaching. Retention after one year jumped from 62.5 percent in 1995–1996 to 76.1 percent in 2001–2002; from 47.5 percent in 1995–1996 to 53.5 percent in 2001–2002 after two years; from 40 percent in 1995–1996 to 46.4 percent in 2001–2002 after three years in the classroom; from 36 percent in 1995–1996 to 40.6 percent in 2001–2002 after four years in the classroom; and from 31.7 percent in 1995–1996 to 39.7 percent in 2001–2002 after five years.[28]

Teaching is not a lost art, but the regard for it is a lost tradition.

—JACQUES BARZUN

"The problems with retention are partly salary, but even more so is the environment of the school and the class more so," said former Gov. Jim Hunt, the chairman of the National Commission on Teaching and America's Future. "It's a matter of teachers feeling like they have a voice in their school. They do need to have help. They do need materials and supplies. . . . They're burning out, but we're mainly losing them because they don't feel fulfilled in their jobs," Hunt says.

A recent survey of teachers and principals in North Carolina bolsters Hunt's view. Only 38 percent say their schools are "a good place to work and learn," 54 percent say they are "recognized for a job well done," and 80 percent believe they have to "follow rules that conflict with their best professional judgment."[29]

Barnett Berry, the executive director of the Southeast Center for Teaching Quality in Chapel Hill, says poor and minority students suffer the brunt of excessive teacher turnover. ". . . [A]lthough teacher labor markets are beginning to change, most are decisively local, with most teachers choosing to teach in schools near where they were raised or attended college," he writes in a paper on recruiting and retaining teachers for hard-to-staff schools. "Most notably, there is compelling evidence revealing a sufficient supply of available teachers, but poor children and those of color are far more likely to be taught by inexperienced, underprepared, and ineffective teachers."[30] Berry adds, "High turnover among new teachers leaves students in hard-to-staff schools facing a revolving door of untried novices who do not have the skills to help them reach higher academic standards," he says.

Nationally, the teacher turnover rate among public school teachers was 12.4 percent and 15.2 percent for teachers in schools with large populations of poor students, according to Richard M. Ingersoll, an associate professor of education and

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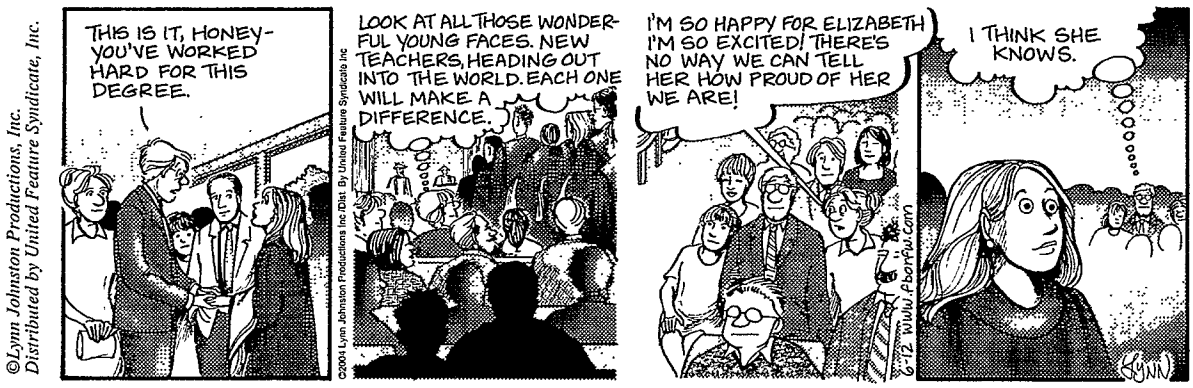

sociology at the University of Pennsylvania. That compares to an overall turnover rate for North Carolina's public schools of 12.44 percent for 2002–2003 (see Table 1, pp. 7–10), and a five-year average of 13.18 percent. However, in relatively poor North Carolina counties such as Edgecombe, Franklin, Hoke, and Warren, turnover routinely exceeds 20 percent. Nationally, Ingersoll pegged the turnover rate at private schools higher than that of public schools at 18.9 percent overall and 22.8 percent for small private schools.[31]

Additionally, Ingersoll found that 40 percent of public school teachers and nearly half of private school teachers who resigned said they left their jobs for such personal reasons as moving or raising families. Twenty-three percent of public school teachers and 34 percent of small private school teachers cited job dissatisfaction, including low salaries and poor administrative support.[32] Ingersoll based his report on data from the federal Schools and Staffing Survey of more than 50,000 teachers conducted in 1994 and 1995.

The Easley administration conducted the first statewide teacher working conditions survey in May 2002 and found only moderate satisfaction among teachers, according to Ann McArthur, Easley's education advisor. Teachers had the most complaints about extraneous duties and the need for more time to work on curriculum and with mentors and colleagues. School leadership got high marks overall, but there were disparities in perception of working conditions between teachers and principals at a given school. The intent of the survey—which drew responses from more than 42,000 teachers and principals statewide—is to pinpoint improvements in working conditions that might help teacher retention. A second survey released in July 2004 drew 34,000 responses and produced similar results. McArthur says the administration will use the data to pinpoint improvements that can be made at individual schools, including professional development programs and other reforms in working conditions.

Sylvia Houser, a retired elementary school teacher in Catawba County, voices a frustration shared by many teachers with increased paperwork and a myopic focus on tests that brings added pressure. "You're expected to give and give and give and do and do and do," said Houser who retired in 2001. "After a while, you just get so stressed. It's like they just keep adding on more and more programs and things to do, but they never take away. There's more and more expected with less and less time."

Houser actually returned from retirement briefly last year when a principal phoned to say she needed a third-grade teacher—and fast. The previous teacher quit just days before school started. "Even though it was my birthday, I went," she said. "I did start the year, and I stayed till after Labor Day."

But, at her family's urging, she left when the principal found a permanent replacement. Her family didn't want to see her stressed and overwhelmed by the daily grind again.

Houser says she regrets the decision and wishes she stuck out the year. But she works part time in the schools now helping students in danger of failing their end-of-grade tests. She likes the hours and small-group setting: 10 hours, three days a week with just four or five students.

Some See Solution in Higher Pay, Others in Better Working Conditions

While some believe North Carolina's 16 public universities and 37 private colleges and universities should do more to attract potential teachers to pursue education degrees, others urge a more concentrated effort to retain teachers already in the pipeline. Some say raising teacher salaries would

dramatically reduce the teacher churn. Others say North Carolina needs to invest more in mentoring programs that support new teachers and ensure they stick it out when their expectations clash with the realities of the classroom.

The UNC Board of Governors recently endorsed a proposal to address teacher supply and demand in the state that includes elements of each. Hannah Gage, a vice chair of the committee that studied supply issues, says it is critical that the study not become one in a series of reports relegated to a dusty shelf. "There are a million of them," she says. "The only thing that will make this different is if we stay on it, we scream when we have to scream. . . . What I hope is that our recommendations don't get lost in a lot of other wonderful things in front of the General Assembly," Gage says. "Ours will get lost if we're not vigilant. That probably translates into driving the legislature and the decisionmakers nuts and staying with it."

John Davis, the managing director of Deutsche Bank Alex.Brown in Winston-Salem and a member of the UNC Board of Governors, says the problem could be solved easily if teacher salaries were increased dramatically, even doubled. "If we would do that, when students go to school they would start seeing it as a real career . . . instead of a sacrifice," he says.

"The U.S. doesn't put enough emphasis on teaching," Davis says. "In this country, money speaks. If we put the money there, we can quit worrying about these problems."

Doubling teacher salaries would add some $4 billion in salary costs alone to the state's $15.9 billion budget—well beyond the reach of state policymakers and the taxpayers who put them in office. But Davis says there still is room for improvement. North Carolina ranked 22nd among states in 2002–03 in terms of its average teacher salary of $43,076. The national average was $45,930. Teachers in California, Connecticut, New Jersey, Michigan, and New York earned the most.[33]

In North Carolina, an entry-level teacher with a bachelor's degree and no experience would make $25,250 a year, according to the state salary schedule. The salary could vary depending on the salary supplement offered by the school system in which the teacher worked.

For instance, in Madison County, one of eight school systems that does not offer supplements (the others are Cherokee, Clay, Graham, Jackson, Macon, Swain, and Washington), the salary would remain the same. In Nash County, the teacher could make $26,386 a year with a local supplement of $1,136, and in the Chapel Hill/Carrboro City Schools, the salary could be $28,280 with a local

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supplement of $3,030. Both estimates are based on the minimum supplement offered by each school system.

By comparison, a teacher with a master's degree and 30 years experience would make $49,920 a year. The salary would remain the same in Madison County, but could jump to $52,416 in Nash County with a supplement of $2,496, and $67,452 in the Chapel Hill/Carrboro City Schools with a supplement of $17,532.[34] The latter estimates are based on the maximum supplement each system offers. Teachers certified by the National Board for Professional Teacher Standards qualify for higher pay.

Barnett Berry of the Southeast Center for Teaching Quality, in his report, compared the national teacher salary average of $43,250 in 2001 to average salaries for mid-level accountants ($52,664), computer analysts ($71,155) and engineers ($74,290).[35] "For the most part, it is fairly well accepted that teachers' salaries remain too low to attract and retain enough of the talented and well-prepared people needed to teach," he says.

While many agree with Barnett Berry and John Davis, most say increasing pay in isolation won't solve the problem. For instance, South Carolina used an $18,000 signing bonus to lure "teacher specialists" to the state's neediest schools several years ago. Despite the incentive, officials attracted one-fifth of the 500 teachers it needed in the program's first year and just 40 percent after three years.[36]

The Southeast Center for Teaching Quality and others say that administrators should improve mentoring and support services to ensure that teachers tough it out through their first years. Ingersoll, the Pennsylvania researcher, recently reviewed data from the National Center for Education Statistics and found that about 40 percent of new teachers with no support leave after a year compared to 17 percent of teachers with a mentor and other community support who quit.[37] "It's the investment you need up front to see the results on the back end," says Tomás Hanna, the director of teacher recruitment and retention for Philadelphia schools. Retention rates in Philadelphia increased from 80 percent to 93 percent in 2003–2004 after the school system hired 65 teacher coaches, instituted a new standard curriculum, and held twice-monthly professional development sessions for young teachers.[38]

"We're training them and then we're nurturing them," says Philadelphia schools chief Paul Vallas. "From all anecdotes I've gotten, it's been very positive."

A group of four prospective teachers who attended a job fair at Chapel Hill in March all say that they won't be swayed by financial incentives. "I

don't think I'll be looking at salaries or supplements," says Tina Davis, 21, of the University of Tennessee at Martin. "I'm more interested in securing that position, getting that job." Davis and her three friends took a road trip to attend the fair that drew 108 school systems from North Carolina, South Carolina, Georgia, Virginia, Maryland, and Washington D.C. Elizabeth McClain, 21, says she's looking for "friendly faces." Sarah Stolzer, 22, says she wants a school in a welcoming area that feels like home.

The friends nodded in unison when asked whether a strong mentoring program could influence their school choice. "It will be a big help in our starting year having help," McClain says.

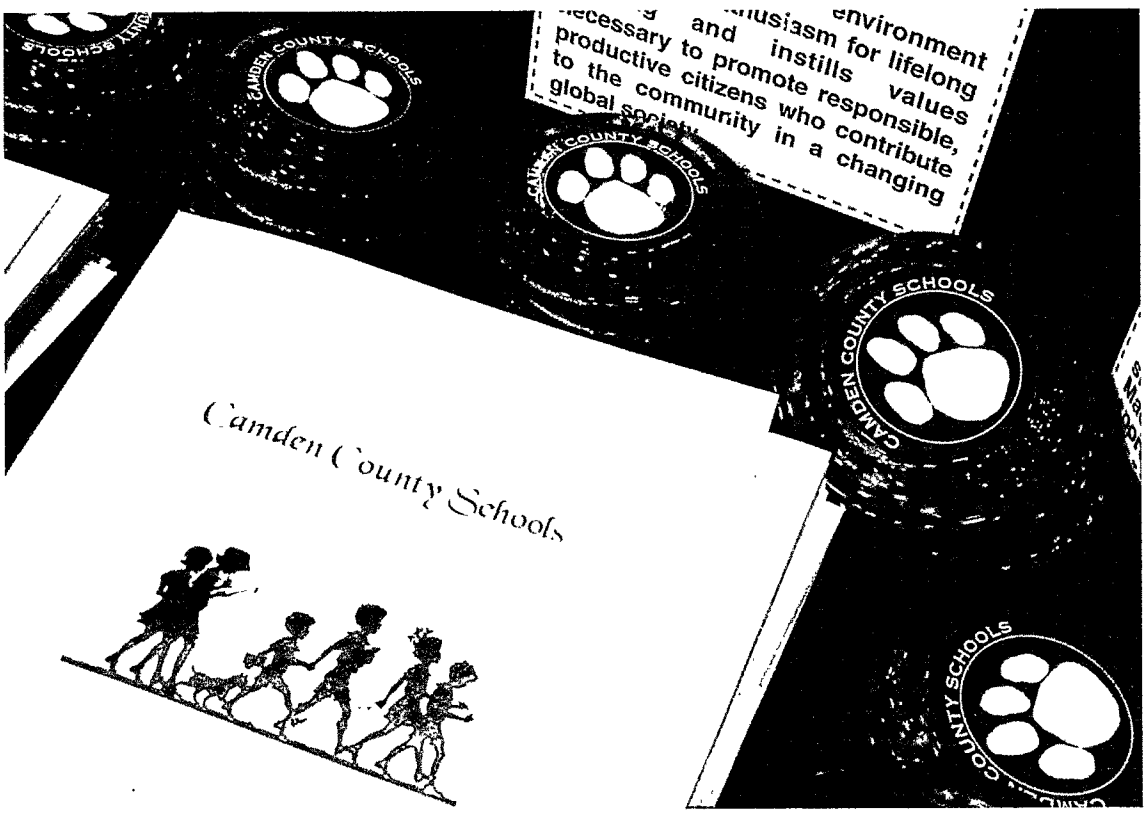
While Pennsylvania generally enjoys a healthy teacher surplus, it reports shortages in some rural and urban districts including the Philadelphia schools. Likewise, the state reflects national trends with declining numbers of new teacher certifications in science, math, special education, and foreign languages, says Ron Cowell of the Education Policy and Leadership Center in Harrisburg, Pa. "We need to be wary of these trends that are a bit disturbing, and as a result, we say to policymakers that this apparent surplus won't last forever," he says.

North Carolina Relies on Lateral Entry and Out-of-State Recruitment To Fill Slots

Sharmaine Butler, human resources director for the Hoke County Schools, says administrators and teachers from her school system will travel to 15 in-state recruiting fairs like the one in Chapel Hill and six out-of-state fairs. The poor, rural school system, which posted the highest turnover rate among the state's 117 school systems in 2002–2003, cannot attract enough applicants otherwise. "We are at a point where we must go out of state," Butler says. "The universities in North Carolina are simply not producing enough applicants or teachers to fill the teacher shortage."

Universities in the UNC system awarded 2,310 undergraduate baccalaureate education degrees in 2002–03, 90 Masters of Arts of Teaching degrees, and 1,218 degrees to graduates who completed their teacher certification while studying another subject, says Alisa Chapman, the assistant vice president for university-school programs and information technology for the UNC system.

North Carolina's 37 independent colleges and universities awarded another 817 graduates with education degrees in 2002–2003, down from 860 in



Karen Tam

2001–2002. The N.C. Education Research Council estimates that the state needs about 10,900 teachers a year—9,801 to make up for teacher turnover (of the 11,531 teachers who resigned in 2002–03, 1,701 teachers quit to teach in another district, and 29 went to a North Carolina charter school) and 1,100 due to increased student enrollment.[39] The number of graduates from the UNC system does not reflect the total students served on the campuses that are taking courses to satisfy lateral entry or licensure-only requirements, however, Chapman says.

A snapshot survey of students enrolled in traditional and non-traditional teacher preparation programs in the UNC system as of Oct. 1, 2003, shows that more than half sought certification through an alternative path: the universities enrolled 4,909 traditional pathway students and 5,325 students in alternative programs.[40]

The N.C. Education Research Council reports that of the 3,700 graduates with teacher education degrees produced last year in the state, 95 percent sought a state teaching license and 69 percent actually took a teaching position in North Carolina.[41]

The group further notes that of the estimated 2,500 who take teaching positions in North Carolina, only 2,000, or 80 percent, are expected to remain after their first year; 1,700, or 68 percent, are likely to remain after two years; and 1,580 new teachers, or 62 percent, would remain after three years.[42] The projections are based on data taken from actions taken by teachers hired in 1999–2000 who have been employed three years.

DPI reports that local school systems in North Carolina hired 8,780 new teachers in 2002–03 (see Table 4 below) as follows:

- 3,507 beginning teachers with no experience;
- 2,112 lateral entry teachers—those with experience in another field who move into teaching;
- 527 emergency permit teachers who receive special permission to teach on the condition that they will complete their certification requirements within a given period, and;
- 2,634 experienced teachers teaching for the first time in North Carolina.[43]

DPI's figures tracking education program graduates from private colleges and the UNC system's record of degrees conferred differ from the N.C. Education Council's projections. DPI reports 2,310 traditional public education program graduates and 817 private program graduates in 2002–2003 for a total of 3,127. (See Table 5, pp. 23–24.)

North Carolina has increasingly relied on lateral entry teachers to fill spots in the classroom. In 2002–03, the schools hired 2,112 lateral entry teachers, up from 833 in 1995–96.[44]

Deboy Beaman, a North Carolina native who left the state after college to work in the steel industry in Ohio, is one of those. Beaman spent 25 years

Table 4. Number of Teachers Employed for the First Time in N.C., 1995–2003

Type of Teacher	1995–96 School Year	1996–97 School Year	1997–98 School Year	1998–99 School Year	1999–00 School Year	2000–01 School Year	2001–02 School Year	2002–03 School Year
Beginning Teacher/ No Experience	4,201	4,815	5,097	4,915	4,177	3,007	3,628	3,507
Lateral Entry Teacher	833	1,079	1,372	1,186	1,800	1,799	2,023	2,112
Emergency Permit Teacher	NA	NA	13	500	578	805	943	527
First Year in N.C./ With Experience	1,909	2,180	3,053	3,456	4,051	4,804	3,411	2,634
Total Employed as First-Time N.C. Teachers	6,943	8,074	9,535	10,057	10,606	10,415	10,005	8,780

Source: N.C. Department of Public Instruction, "Report on the Review of the Certification Process," January 2004.

in the industry and worked his way to a managerial position before deciding to opt out. He was working 60 hours a week, including weekends, and was on call around the clock. "I reached that point in my life where I wanted to do something different," he says. "It was rewarding financially, but I wanted to do something that was rewarding spiritually."

Beaman resigned, returned to North Carolina with his family, and started working toward an education degree at N.C. A&T State University in June 2002. He finished 35 of the required 49 credit hours that he needed before going to work at Thomasville Middle School as a lateral entry teacher teaching computer skills. Beaman plans to finish his coursework by the summer.

Lateral entry teachers typically do not have as much up-front teacher training as Beaman. Qualified applicants first obtain a teaching position, start work right away, and take classes toward acquiring their license as they teach. They must take at least six credit hours during the school year and complete their testing within two years. Beaman says he could have taken jobs in Forsyth and Guilford counties, which have larger school systems and offer a higher local teacher supplement. But he chose Thomasville. "Because it's a small system," he says. "The superintendent can walk into your room. He knows your name. I like that. It's a family atmosphere. Everybody knows everybody."

Beaman says he has not been discouraged by his first year, though he admits to being frustrated by the attitudes and misbehavior of some students. "I got a lot of good kids, but there's always that handful who you just wish you could show them where they'll be 10 years from now unless they change," he says.

He credits a safety net of experienced, dedicated teachers for buoying him through the tough times. "I've got a lot of support," he says. "Thomasville went a long way to let us know you're not alone. You're going to have those days when you wonder, 'I could be making a lot more money, have less stress.' Then I have those days where the light comes on, the kids pick it up, and it's like magic."

Pennsylvania a Fertile Recruiting Ground

In addition to relying on lateral entry teachers to help meet the demand, North Carolina schools routinely hire from out of state. Sharmaine Butler, human resources director for the Hoke County Schools, said her schools would be taking trips in 2004 to find teachers from Florida, West Virginia, Ohio, and Pennsylvania—a top-recruiting destination.

Administrators in other school systems joke of filling their vacancies with a pipeline to Pennsylvania, a state with 93 teaching colleges that routinely produces more teachers than it can hire. "We have very, very good luck in Pennsylvania," says Jane-Waring Wheeler, a spokeswoman for the Franklin County Schools. The Franklin school system ranks fourth in turnover among school systems over 5 years, averaging 20.78 percent. "We laugh about starting a Pennsylvania club for our teachers."

The average teacher salary in Pennsylvania in 2001–02 was $50,599.[45] "Pennsylvania has a relatively high average teacher salary—one, because there is collective bargaining, and two, because it's a fairly senior staff, so it reflects folks who have already reached the top of the [pay] scale," says Ron Cowell of the Education Policy and Leadership Center in Harrisburg, Pa. Cowell says the state does not track the statewide teacher turnover rate.

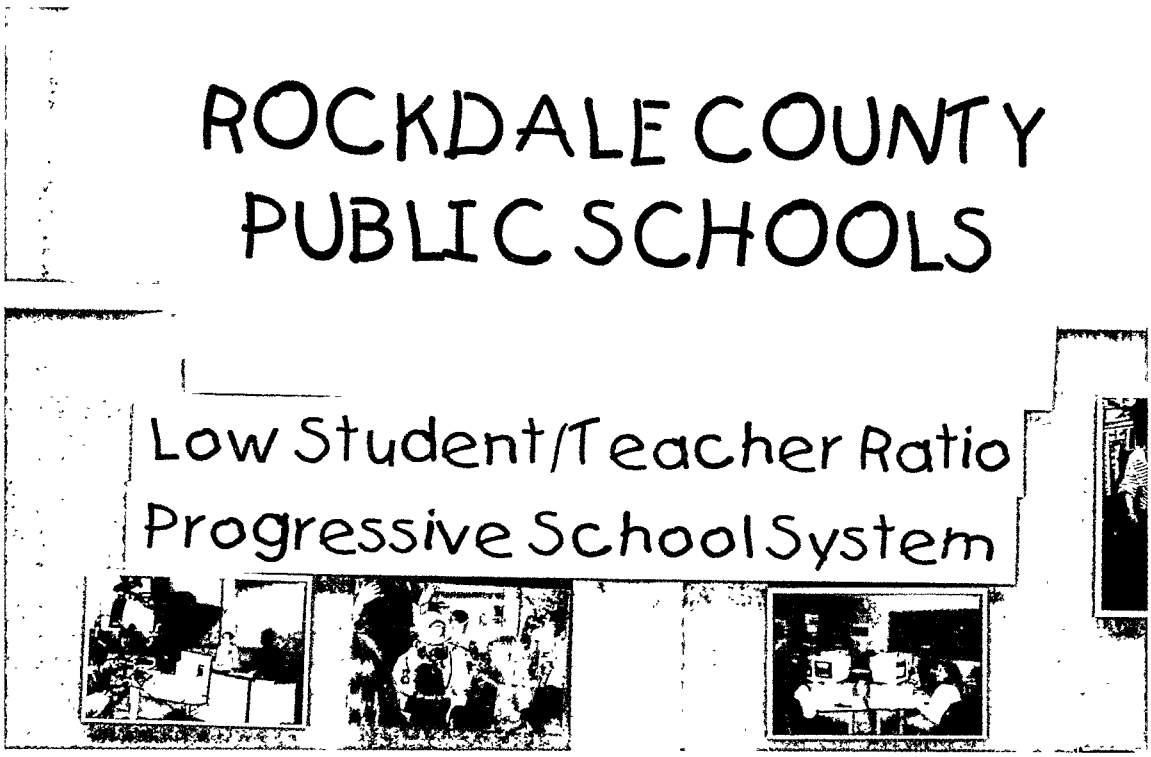
While many administrators report success with hiring out-of-state teachers, others say it can be a costly and risky investment. Barbara Armstrong, the personnel director for the Thomasville City Schools, says many of the teachers return home in the first three years after honing their skills and building experience.

Fred Williams, the human resources coordinator for the Durham Public Schools, says his system decided not to travel out of state this year to hire teachers but invested instead in improving technology used to recruit them. Statistics show 90 percent of the Durham system's teachers graduated from North Carolina schools. The University of Virginia was the top ranked out-of-state school, and only about 15 of the system's 3,000 teachers graduated from there. "The district had spent a fair amount of money [on out-of-state recruiting efforts]," he says. "In truth, the return on that had been fairly minimal."

Strengthening Teacher Recruitment and Retention in North Carolina

A wide variety of state and local initiatives have been created to address teacher recruitment and retention issues in North Carolina. They include:

Programs within North Carolina's Community College System: A number of strategic alliances are operating within the state's community college system to encourage more people to pursue teacher certification while remaining in their home communities. These typically pair local community



Karen Tam

An out-of-state school system recruiting from North Carolina's small pool of teacher education program graduates.

colleges with a university or private college that offers a teacher education program so that would-be teachers get their first two years of education through the community college and the remaining two without leaving their community—through Internet-based classes, seminars, extension courses through the four-year institution, or even university courses taught on the community college campus. N.C. Community Colleges President Martin Lancaster, who calls the program the "home-grown teacher initiative," says, "Studies show teachers teach where they are taught." That makes the program particularly useful in rural areas where teacher retention may be a problem.

Aside from benefitting the schools, the program also provides an avenue to the classroom for older, more mature workers already attached to a community, such as displaced workers, parents who wish to teach while their children are in school, and even small business persons displaced by the latest chain superstore. "It is definitely a major source of new teachers," says Lancaster.

Appalachian State University in Boone operates the largest program. The Appalachian Alliance, in cooperation with 10 regional community colleges, is expected to have produced some 300 teachers by spring of 2005. UNC-Wilmington and Coastal Carolina Community College in Jacksonville pioneered the concept in the late 1990s and that program has produced 127 teachers—80 percent of them working in Onslow County, Lancaster says. UNC-Wilmington also has partnerships with Brunswick Community College in Supply, Cape Fear Community College in Wilmington, James Sprunt Community College in Kenansville, and Southeastern Community College in Whiteville. Other collaborative efforts include a partnership between Surry County Community College in Dobson and Lees-McRae College in the west, another between Western Carolina University in Cullowhee and Tri-County Community College in Murphy, two programs in the Piedmont linking Stanly County Community College in Albemarle and UNC-Charlotte and Pfeiffer University in Misenheimer and Montgomery Community College in Troy, and the Wachovia Partnership creating three consortia that link 11 eastern North Carolina campuses with East Carolina University. Together, these programs have created a pathway to the classroom for some 1,100 educators, according to the N.C. Department of Community Colleges.

N.C. Teaching Fellows Program: Created in 1986, this state program administered by the Public School Forum of North Carolina awards 400 top-

Table 5. North Carolina Public and Private Teacher Education Program Graduates, 2000–2001 through 2002–2003

School	Public or Private?	2000–2001	2001–2002	2002–2003
1) Appalachian State University	**Public**	**368**	**337**	**372**
2) Barton College	Private	36	29	32
3) Belmont Abbey College	Private	19	13	11
4) Bennett College	Private	7	17	5
5) Campbell University	Private	49	58	66
6) Catawba College	Private	17	12	23
7) Chowan College	Private	18	18	13
8) Davidson College	Private	2	N/A *	N/A *
9) Duke University	Private	29	29	16
10) East Carolina University	**Public**	**326**	**388**	**330**
11) Elizabeth City State University	**Public**	**35**	**22**	**26**
12) Elon University	Private	91	89	99
13) Fayetteville State University	**Public**	**59**	**67**	**65**
14) Gardner-Webb University	Private	41	24	30
15) Greensboro College	Private	16	24	25
16) Guilford College	Private	13	7	15
17) High Point University	Private	42	56	47
18) Johnson C. Smith University	Private	4	8	6
19) Lees-McRae College	Private	33	59	57
20) Lenoir-Rhyne College	Private	38	39	26
21) Livingstone College	Private	8	9	6
22) Mars Hill College	Private	37	53	51
23) Meredith College	Private	97	87	82
24) Methodist College	Private	39	22	24
25) Montreat College	Private	3	12	10
26) N.C. A&T University	**Public**	**97**	**54**	**60**
27) N.C. Central University	**Public**	**69**	**64**	**74**
28) N.C. State University	**Public**	**124**	**125**	**133**
29) N.C. Wesleyan College	Private	9	17	11
30) Pfeiffer University	Private	21	27	21
31) Queens University	Private	27	17	13
32) Salem College	Private	50	52	45
33) Shaw University	Private		5	1

—continued

ranked high school seniors a scholarship worth $6,500 a year for four years to attend a North Carolina college or university. Students agree to teach in the state's public schools for four years in a low-performing school. Fellows have an average SAT score of 1150, a 3.6 grade point average, and rank in the top 10 percent of their high school class.[46]

As of February 2001, 1,988 of the 3,644 program graduates were teaching in North Carolina. About 82 percent of the teachers were still employed after they met their teaching requirement, and 73 percent were still employed between their fifth and tenth years of teaching.[47]

Prospective Teacher Student Loan Program: This is a state program that loans prospective teachers $2,500 per year for teacher education expenses. Teachers are forgiven $2,500 of the total loan amount for each year they teach in the N.C. public schools. A similar program is available for teacher assistants who wish to pursue a teaching license, beginning at the community college level. The program currently enrolls 739 students actively pursuing teaching degrees and 370 active teacher assistants enrolled in community colleges.

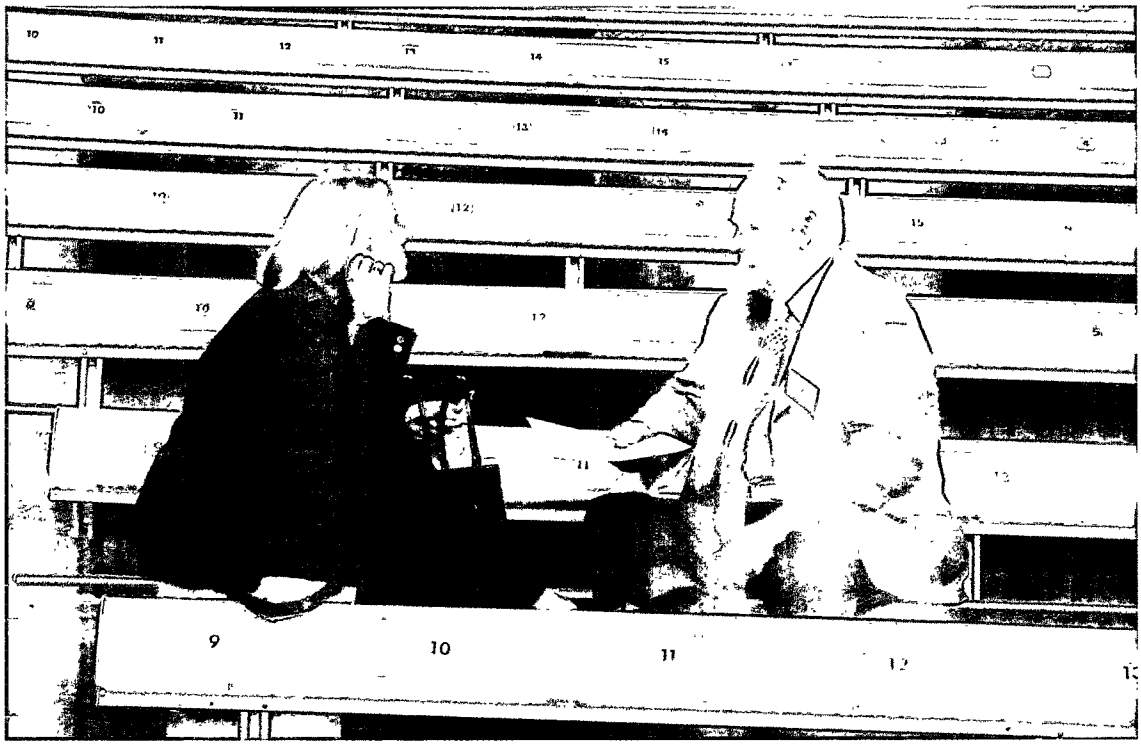
Troops to Teachers: This is a federally funded program created in 1994 to help former military per-

Table 5, *continued*

School	Public or Private?	2000–2001	2001–2002	2002–2003
34) Southeastern College at Wake Forest, N.C.	Private	N/A *	N/A *	2
35) St. Andrews Presbyterian College	Private	14	8	9
36) St. Augustine's College	Private	9	19	4
37) UNC-Asheville	**Public**	**20**	**27**	**24**
38) UNC-Chapel Hill	**Public**	**158**	**200**	**194**
39) UNC-Charlotte	**Public**	**247**	**221**	**236**
40) UNC-Greensboro	**Public**	**183**	**181**	**199**
41) UNC-Pembroke	**Public**	**67**	**91**	**84**
42) UNC-Wilmington	**Public**	**257**	**246**	**314**
43) Wake Forest University	Private	30	30	42
44) Warren Wilson College	Private	6	6	10
45) Western Carolina University	**Public**	**176**	**237**	**179**
46) Wingate University	Private	20	12	15
47) Winston-Salem State University	**Public**	**27**	**22**	**20**
Total Public		2,223	2,282	2,310
Total Private		825	860	817
GRAND TOTAL		**3,048**	**3,142**	**3,127**

* Not applicable. Davidson College no longer has an education program. The first education majors graduated from a new program at Southeastern College in 2002–2003.

Source: N.C. Department of Public Instruction and University of North Carolina Office of the President. The numbers represent both self-reported data from education programs at the 32 public and private colleges and universities offering teacher education programs in North Carolina and degrees conferred via traditional teacher education programs within the UNC system.



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sonnel start teaching careers. Participants receive $5,000 to cover the cost of getting a teaching certificate. Those who teach in schools with a high percentage of low-income families (50 percent or more of students receive free or reduced-price lunch) can qualify for an extra $5,000 bonus for a total of $10,000.

Those who accept the stipend or bonus must agree to teach for three years in either a high-needs school or a high-needs school district where 20 percent or more of the students receive a free or reduced-price lunch. *The News & Observer* of Raleigh, N.C., reports that more than 6,000 Troops-to-Teachers participants have been hired throughout the country, and 328 teach in North Carolina schools. Graduates of the program have an 80 percent retention rate over five years.[48] "Look at the nature of the military career," says Paul Gregg, the coordinator for the N.C. Troops to Teachers. "You're moving every three years. They don't want to go anywhere [once they become teachers]. They find a place they want to stay, and they don't want to leave." They earn a better salary teaching, take more vacation, and work better hours, Gregg says. Gregg adds that the majority of Troops to Teachers participants teach in high-needs areas such as math, science, and special education, and demand for the program is increasing.

N.C. Teach: This program operated by the University of North Carolina in conjunction with the N.C. Department of Public Instruction grooms mid-career recruits who hold a bachelor's degree. Participants attend a six-week intensive summer course at one of 13 regional sites intended to prepare them for teaching. These are operated by East Carolina University in Johnston, Onslow, and Pitt counties; by Fayetteville State University in Cumberland County; by Lenoir-Rhyne College in Catawba County; by N.C. Central University in Durham County; by N.C. State University in Wake County; by UNC-Chapel Hill in Orange County; by UNC Charlotte in Mecklenburg County; by UNC Greensboro in Guilford County; by UNC-Wilmington in New Hanover County; and by Western Carolina University, which operates its program on the UNC-Asheville campus in Buncombe County. Participants attend seminars during their first year of teaching and work with a mentor. At the end of one year, they are eligible to take the state licensure exam. Some 1,000 educators have become licensed through N.C. Teach since it was established in 2000. Thus far, teacher retention is at 80 percent.

The Model Teacher Education Consortium: A "grow-your-own" strategy aimed at "hard-to-staff" schools, the Model Teacher program helps current teachers gain certification and teacher assis-

tants and other paraprofessionals earn teaching degrees.

Since 1970, the program has helped educate nearly 7,000 teachers and aspiring teachers. The program grew out of efforts to address a critical teacher shortage in seven rural northeastern counties. Today, 39 school systems and 37 two- and four-year colleges and universities participate.

Equity Plus: The Winston-Salem/Forsyth County Schools program offers incentive pay to teachers who teach in the system's most challenged schools. Teachers receive a bonus equal to 20 percent of their local salary supplement if they remain at a school for a year.[49]

Grow Your Own: Franklin County Schools launched a program three years ago to hook local students on teaching. Administrators hope the students who pursue teaching degrees return home to launch their careers.

Spokeswoman Jane Waring Wheeler says three high schools offer teaching courses to interested students. Those students then put their skills to work in the classroom helping second-graders in the county. Wheeler says the school system does not know how many high school students eventually pursue education degrees—a weakness in evaluating the program's success.

Local Salary Supplements: All but seven of the state's 117 school systems offer teachers a local salary supplement. Some calculate supplements based on experience; others offer a flat amount to all. Some pay the supplement all at once; others pay it piecemeal throughout the year. Cherokee, Clay, Graham, Jackson, Macon, Madison, Swain, and Washington counties do not offer supplements.[50]

The Charlotte-Mecklenburg Schools offer the highest minimum supplement of $3,283. The highest maximum supplement is $17,532 for teachers in the Chapel Hill-Carrboro City Schools. In that system, supplements start at 12 percent of the salary and go up every five years for a teacher's first 14 years. Teachers with at least 25 years of service earn a supplement worth 25 percent of their salary.[51]

Five school systems pay all teachers the same supplement: Alleghany County—$125; Ashe County—$150; Mitchell County—$100; Weldon City—$200; and Yancey County—$250. The UNC Board of Governors Task Force on Meeting Teacher Supply and Demand compared teacher turnover rates with local salary supplements and found only a low correlation.[52]

Signing Bonuses: Many school systems, including the Hoke County Schools, treat new teachers like professional athletes and offer signing bonuses—a practice increasingly common in fields with scarcities of qualified personnel, such as nursing. Butler, the school system's human resources director, says her county used federal money to offer a $1,500 signing bonus for the first time in 2001–02. That perk helped attract certified teachers, but the incentive worked even better, she says, when officials increased it to $2,000 in 2003–04. "We saw that there was a large increase in fully certified teachers who had experience," Butler said. "Previously, we had attracted a large number of zero experience teachers. We knew that they [the signing bonuses] made a big difference."

Hiring Retirees: The state continues to reemploy retirees, bringing back 442 former teachers in 2002–2003 alone.

A Smattering of Other Incentives: School systems offer reduced price gym memberships, discounts with local businesses, free dental insurance, tuition reimbursements, low-interest car and mortgage loans, and relocation expenses, among other things.

Elimination of the Praxis Exam for Out-of-State Teachers: The State Board of Education voted in January to drop testing requirements for out-of-state teachers who are deemed "highly qualified" in other states.[53] The move was designed to make it easier for experienced teachers to work in North Carolina. Critics warned that the change, which will require legislative action, could signal a move toward lower standards. "Over a 20-year period of time, [North Carolina] . . . has continued to move toward a true professionalization of teaching," Barnett Berry of the Southeast Center for Teaching Quality told the publication *Education Week*. "I'm seeing backsliding."[54]

The provision that was removed required all teachers who hold an out-of-state license to take the Praxis II subject-matter exam to get a license in North Carolina. Now, teachers who are fully licensed and highly qualified under the federal No Child Left Behind Act in other states may be exempt from the requirement.

However, Jo Ann Norris, associate executive director of the Public School Forum of North Carolina, says eliminating the Praxis exam for out-of-state teachers was part of broader effort to bring consistency to the state's licensure requirements. "Praxis is not about qualifying the veteran teacher," says Norris. "It is an indicator of the knowledge base of the beginning teacher."

Additional Legislative Proposals: A number of other measures have been introduced in the North Carolina General Assembly, including a proposal to

ensure that teacher compensation remains at or above the national average;[55] a bill to allow local schools systems to use local funds sufficient to "attract and retain" teachers in critical shortage areas such as foreign language, mathematics, science, and special education;[56] a bill that would provide teachers tax credits of up to $500 based on length of service;[57] and a mortgage assistance program to help new teachers purchase a home.[58] Additionally, the Joint Legislative Education Oversight Committee, in its 2004 report to the General Assembly, recommends that a temporary provision be made permanent that allows retired teachers to return to the classroom without a reduction in benefits.

Is North Carolina Doing Enough?

Eric Hirsch, the director of policy and programming at the Southeast Center for Teaching Quality, says North Carolina is doing more than other states to address teacher retention and recruitment. But, he says, "The question is, is that enough to make sure every student has a qualified teacher?"

Like Berry, Hirsch cautions about the long-term effects of relying increasingly on lateral entry teachers with less training and eliminating the Praxis exam. "I worry that not having a test that ensures teachers meet our standards in North Carolina . . . while again making it easier to find teachers for schools, may have an impact on quality that we later on regret," he says. "What we expect of teachers now is more so, and it should be," he said. "As we've held teachers to higher standards, the question is, looking nationally, have we held to those high standards, or have we in times of shortages lowered standards?"

Hirsch wants state officials to increase funding for mentoring programs to boost retention, use data from the statewide teacher attitude survey to improve working conditions, and pay more attention to the teacher pipeline. He suggests, for instance, offering incentives to schools that produce more special education teachers or simply more teachers overall.

"I think North Carolina has done some things that other states have not done, but we certainly can do more," he says. "Are those solutions going to be free? No."

Norris, of the Public School Forum of North Carolina, argues that retaining teachers is critical to relieving the shortage. North Carolina's classroom teachers are not getting enough support early in their careers, Norris says. "This state has an awful lot invested in hiring a new teacher and watching them walk two or three years later," she says. "It has to do with teaching assignments, it has to do with support, it has to do with the number of at-risk kids in their classrooms, it has to do with mentoring programs. Teachers have to feel valued."

UNC system President Molly Broad believes strongly in the potential for enhanced retention. "Even a 1 percent improvement would improve the supply by nearly 1,000 teachers each year, or roughly one-third of the number of prospective teachers from UNC's 15 teacher education programs," says Broad. "The evidence is clear that mentoring and professional development programs are part of the key to improving retention."

Besides enhanced retention, Broad believes the 15 education programs in the UNC system must dramatically increase their enrollment, using specific enrollment targets that are now being developed for each campus. At least for the coming

Dear Monsieur Germain,

I let the commotion around me these days subside a bit before speaking to you from the bottom of my heart. I have just been given far too great an honor, one I neither sought nor solicited. But when I heard the news, my first thought, after my mother, was of you. Without you, without the affectionate hand you extended to the small poor child that I was, without your teaching, and your example, none of all this would have happened. I don't make too much of this sort of honor. But at least it gives me an opportunity to tell you what you have been and still are for me, and to assure you that your efforts, your work, and the generous heart you put into it still live in one of your little schoolboys who, despite the years, has never stopped being your grateful pupil. I embrace you with all my heart.

—ALBERT CAMUS

LETTER TO A FORMER TEACHER UPON WINNING THE NOBEL PRIZE FOR LITERATURE

years, says Broad, a substantial part of that growth will come from lateral entry teachers.

"For some years now, we have been developing lateral entry programs that are rigorous, of high quality, and structured to accommodate the time requirements and other responsibilities of mid-career individuals," says Broad. Broad says the university has worked hard to enhance its lateral entry programs and was recently rewarded with a State Innovation Award from the Education Commission of the States. "These new programs are fundamental to closing the gap between the demand and the supply of teachers in North Carolina, because the history of earlier lateral entry programs in other parts of the country has shown that retention of lateral entry teachers is very poor and student achievement is very disappointing. The research literature refers to a 'revolving door.' Fortunately, our own efforts a few years ago to develop different programmatic approaches have proved far more successful."

Broad also recognizes the importance of community colleges in helping to develop teachers through 2 + 2 programs, and says the university Board of Governors would like to see these programs expanded. But more than just increasing the supply of qualified teachers, Broad says efforts must focus on issues such as subject area shortages—middle school math and science, for example—and geographic areas of North Carolina with the greatest needs.

Hannah Gage of the UNC Board of Governors says among the most important recommendations offered by the Board's Task Force on Meeting Teacher Supply and Demand are the ones that make it cheaper and more convenient to get a teaching degree. For instance, the Board recommends a "payment holiday" one month a year for full-time teachers with school loans, expansion of the number of scholarships for Teaching Fellows, and making it simpler for lateral entry teachers to qualify for in-state tuition.

"The most important thing is, first don't burden a potential teacher with debt," Gage says. "If there is a way we can expand some of the scholarships and make this a more appealing prospect, I think that's something we should do." Of equal importance from the university's perspective, says Gage, is establishment of enrollment targets for education programs. "We need to know how many teachers we can produce within our system, and the only way to accomplish this is by establishing goals for each campus," says Gage. "In establishing the structure to quantify the university's contribution to the shortage, we formally commit to the role the university system will play in solving this problem. The Chancellors of each institution will know how many teachers they're responsible for producing; and the Board of Governors will be able to measure each institution's performance. For any university campus that has not reached out to the community colleges, these new targets will no doubt encourage new university-community college partnerships. The teacher shortage problem is an enormous opportunity for the university system and the community college system to show how powerful we are when we work together." The Board of Governors also recommends making late afternoon, night, and weekend classes more convenient for lateral entry teachers, offering the N.C. Teach program for lateral entry teachers online, and expanding opportunities for prospective teachers to get training in non-traditional programs at community colleges.[59]

Other key stakeholders hold strong views on these and a range of issues. Martin Lancaster, President of the North Carolina Community College system, believes that college and university education programs ultimately will have to accept a stronger role for community colleges in preparing lateral entry teachers. But Hope Williams, President of North Carolina Independent Colleges and Universities, believes lateral entry has eroded support for traditional programs by providing an easier route to the classroom. "The state has high standards for teacher education programs and the students who enter them (from standardized test scores to a GPA minimum to student teaching), but lateral entry teachers can walk into a classroom by taking a 10 day orientatiuon program. [B]y far, most of the lateral entry teachers are 23-25 years of age and leave within three years, before they have to pass the Praxis. So while we have high standards for some teachers, we have almost no standards fo rothers." Tim McDowell, the association's vice president for government relations, adds, "I don't know of any [traditional] teacher education progam that is full and turning away students." McDowell believes generous scholarships for would-be teachers, coupled with supports to keep teachers on the job, would do much to alleviate the teacher shortage.

Additional Board of Governors recommendations include encouraging legislators to raise teacher salaries and giving teachers steeper salary increases early in their careers. "We think that will make a difference," Gage says. "I'm hopeful that the legislature will see that it will only cost more in every aspect if we wait [to confront the teacher supply and demand issue]. We get further and further behind the eight ball."

Recommendations To Address the Teacher Shortage in North Carolina

While the national debate rages over whether there is a teacher shortage in public education, the facts argue for a teacher supply problem in North Carolina. Class–size reduction, growth in the number of school-age children, and the federal law that every classroom be staffed by a highly qualified teacher will make the situation worse, creating demand some estimate to be as high as 10,900 teachers annually by 2010. This supply problem divides into three major challenges—production of newly qualified teachers, recruitment and placement of qualified teachers in hard-to-staff subject areas and geographic areas with high teacher turnover, and retention of teachers already in the classroom.

Production of New Teachers

The Center finds strong evidence of a teacher supply problem, as witnessed by growth in the number of lateral entry candidates who are moving into the classroom, increased reliance on recruiting teachers from out of state, efforts to lure retired teachers back into the classroom, and the number of teachers placed through emergency permits.

The North Carolina Department of Public Instruction hired 8,780 new teachers in 2002–2003. Of those, 2,112 were lateral entry teachers—those with professional experience in another field who move directly into teaching. That's up from 833 lateral entry teachers in 1995–96. Additionally, 2,634 were experienced teachers teaching for the first time in North Carolina, and 527 had emergency permits. A total of 3,507 were beginning teachers—40 percent of the total. But with North Carolina's public and private traditional teacher education programs producing about 3,100 prospective teachers annually, the available pool of newly minted teachers is being sucked dry in a state thirsty for new hires.

There is good reason to add more teachers to this pool. As the N.C. Department of Pubic Instruction indicates in its tracking of teacher retention data, newly licensed teachers taking their first classroom teaching position are the ones most likely to keep teaching after their first year, and the retention advantage lasts for years. With four years or more invested in preparing for the classroom, these teachers are more reluctant to leave it than a lateral entry or emergency certificate teacher rushed into the classroom to meet a spot shortage—perhaps with too little preparation and support. Local superintendents and human resource officers report that home–grown teachers also are more likely to stay on the job long–term than those recruited from out of state.

Currently, the 15 public universities in North Carolina that have teacher education programs (all but the N.C. School of the Arts) produce 2,310 teachers a year, while 32 of the 37 private colleges and universities produce 817 teachers each year for the public schools of North Carolina. This means that dealing with the problem of the shortage of teachers in North Carolina will require coordinated action by the 16-campus University of North Carolina, the 58-campus Community College System, the 37 private colleges and universities in North Carolina, the N.C. Department of Public Instruction, and the State Board of Education. Thus, the N.C. Center for Public Policy Research believes the ideal group to have overall responsibility to address this problem is the Education Cabinet. Created under N.C. General Statute 116C-1 in 1993, the Education Cabinet consists of the Governor, the President of the UNC System, the State Superintendent of Public Instruction, the Chairman of the State Board of Education, the President of the N.C. Community College System, and the President of the N.C. Independent Colleges and Universities. In his role as Chairman of the Education Cabinet, the Governor could ask the Cabinet to make North Carolina's teacher shortage the Cabinet's #1 priority.

The Cabinet should build on the exemplary work by the UNC Board of Governors' Task Force on Meeting Teacher Supply and Demand and this Task Force's March 2004 report. The UNC Board of Governors plans to adopt specific enrollment targets for each of the 15 campuses that have a teacher education program. UNC President Molly Broad also says it is important to focus on shortages in certain subject-matter fields such as math and science and on shortages in the geographic areas in North Carolina with the greatest need.

Thus, based on our research, **(1) the N.C. Center for Public Policy Research recommends that the Governor ask the Education Cabinet to make the teacher shortage in North Carolina the Cabinet's #1 priority for the next five years. The Center further recommends adoption of the following specific goals for producing more teachers for the state's public school classrooms:**

(a) That the Cabinet adopt a goal and a plan for producing at least 10,900 teachers a year (the current estimate of the number of teachers needed to hire each year for the next 10 years) by 2010, with interim targets of producing 3,500 new teachers by 2006; 7,000 new teachers by 2008; and 11,000 new teachers by 2010.

(b) That the Cabinet and N.C. General Assembly adopt a plan and specific targets for meeting the shortage of teachers in certain subject-matter fields, beginning with the current shortages in high school math, high school science, middle school math, middle school science, special education, middle school language arts, and foreign languages, especially Spanish.

(c) That the Cabinet adopt a plan and specific targets to give priority to meeting the teacher shortages in the counties with the greatest needs, perhaps experimenting with state bonuses to teach in the counties with greatest needs.

(d) That, after consultation and agreement on the plan and targets adopted by the Education Cabinet, the General Assembly should appropriate the funds necessary to carry out the Cabinet's plan, with additional incentive funds to be appropriated to the university system, community college system, private colleges and universities, or public schools *if* they meet the agreed-upon targets on the agreed-upon schedule.

(e) That the General Assembly's Joint Legislative Education Oversight Committee be assigned to oversee this process, with the Education Cabinet to provide annual reports by March 1 each year, beginning in 2005.

This recommendation would provide enough new teachers for class-size reduction efforts, projected enrollment growth, and the demand for highly qualified teachers in every classroom, as required by the federal No Child Left Behind Act. There are many avenues to reach the goal of 11,000 additional prospective teachers—targeted enrollment growth at the 15 University of North Carolina system campuses with teacher education programs, expansion of cooperative efforts with the N.C. Community Colleges, and distance learning initiatives that allow would-be teachers to learn closer to home.

Retention of Existing Teachers

Aside from *producing* more teachers, North Carolina must find a way to retain teachers. Teacher turnover for the state's 117 school districts averaged 12.44 percent in 2002–2003—at the national average of 12.4 percent, but that percentage masked a major problem in some school districts. A total of 32 school districts, or 27 percent, had average turnover above 15 percent annually over a five–year period. Of those, five school systems—Edgecombe, Franklin, Hoke, and Warren counties and the Weldon City Schools—had average turnover in excess of 20 percent. North Carolina must do more to address chronic turnover in these difficult-to-staff school systems.

(2) The State Board of Education should require Teacher Retention Improvement Plans for all local school systems where turnover exceeds 15 percent, to take effect for the 2005–2006 school year. These plans should include mentoring programs for new teachers, continuing education, and strengthened school–level leadership and support—frequently cited by teachers as a key reason for staying on the job. School systems with teacher improvement plans should be required to show incremental improvement toward the state average of 12.44 percent, which should decrease as North Carolina addresses retention issues statewide.

Local teacher salary supplements range from $0 to $5,755 in North Carolina's 117 school districts. Eight systems pay no supplement at all. **(3) The Center recommends that the State Board of Education seek funds for low–wealth counties with no or low local teacher salary supplements and teacher turnover in excess of 15 percent. School systems with Teacher Retention Improvement Plans would be the systems that qualify for these funds.** Finances must be part of the equation. Poor school districts have trouble retaining teachers because they can't afford significant local supplements to boost teacher pay like more affluent school districts. This recommendation also will help the state meet its obligation under the *Leandro* decision on school finance.

* * *

All of these recommendations are means to an end—a labor pool filled with well-qualified teachers thoroughly prepared for the demands of today's classroom, and retention and placement efforts strong enough that teachers stay on the job.

UNC President Molly Broad summarizes the importance of addressing the shortage of teachers by saying, "If you believe, as I do, that education is the defining domestic policy of our state and our nation, we simply cannot afford to fail in our efforts to ensure that every North Carolina child has access to an effective and caring school with highly qualified teachers. . . . In short, it is both a social and economic imperative." *—Mike McLaughlin*

FOOTNOTES

[1] *Leandro v. State of North Carolina*, 346 NC 336.

[2] *Report from the UNC Board of Governors' Task Force on Meeting Teacher Supply and Demand*, University of North Carolina Board of Governors, Chapel Hill, N.C., March 2004, p. 4.

[3] PL 107-110, *The No Child Left Behind Act of 2001.* The federal definition of a "highly qualified" teacher is one who is fully certified and/or licensed by the state; holds at least a bachelor's degree from a four-year institution, and demonstrates competence in each core area in which the teacher teaches, according to the N.C. Department of Public Instruction.

[4] "Report on Review of the Certification Process," N.C. Department of Public Instruction, Raleigh, N.C., January 2004, p. 1.

[5] "Teacher Demand, Supply and Quality: An Analytic Approach," N.C. Education Research Council, Chapel Hill, N.C., March 2004, p. 10.

[6] "Report on Review of the Certification Process," note 4 above, p. 1.

[7] "Teacher Vacancy Report," N.C. Department of Public Instruction, Raleigh, N.C., Fall 2003, p. 1.

[8] "System Level Teacher Turnover Report," N.C. Department of Public Instruction, Raleigh, N.C., October 2003, p. 1.

[9] "Teacher Demand, Supply and Quality: An Analytic Approach," note 5 above, p. 6.

[10] National Center for Education Statistics Predicting the Need for Newly Hired Teachers in the U.S. to 2008–09, as cited by the National Education Association "Teacher Shortage Fact Sheet" at *www.nea.org/teachershortage/03shortagefactsheet.htm/.*

[11] National Center for Education Statistics Projections of Education Statistics to 2008, as cited by National Education Association "Teacher Shortage Fact Sheet" at *www.nea.org/teachershortage/03shortagefactsheet.htm/.*

[12] PL 107-110, *The No Child Left Behind Act of 2001.*

[13] National Center for Education Statistics Schools and Staffing Survey, as cited by the National Education Association "Teacher Shortage Fact Sheet" at *www.nea.org/teachershortage/03shortagefactsheet.htm/.*

[14] National Education Association "Teacher Shortage Fact Sheet" note 11 above.

[15] *Ibid.*

[16] "Educator Supply and Demand in the United States: Executive Summary 2003," American Association for Employment in Education, Columbus, Ohio, p. 7.

[17] *Ibid.*, pp. 3–4.

[18] "System Level Teacher Turnover Report," note 8 above, p. 10.

[19] National Center for Education Statistics Schools and Staffing Survey, 1999–2000, as cited by Recruiting New Teachers at *www.rnt.org/channels/clearinghouse/becometeacher/121_teachershort.htm.*

[20] "Lateral Entry Teachers in North Carolina," N.C. Department of Public Instruction, Raleigh, N.C., 2003, p. 1.

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[22] "No Dream Denied: A Pledge to America's Children," National Commission on Teaching and America's Future, Summary Report, Washington, D.C., January 2003, p. 8.

[23] *Ibid.*, p. 6.

[24] "System Level Teacher Turnover Report," note 8 above, p. 1.

[25] *Ibid.*, p. 2.

[26] "Report on Review of the Certification Process," note 4 above, p. 2.

[27] *Ibid.*

[28] *Ibid.*

[29] "Recruitment and Retention Strategies in a Regional and National Context," The Southeast Center for Teaching Quality, Chapel Hill, N.C., March 2003, p. 13.

[30] Barnett Berry, "Recruiting and Retaining Highly Qualified Teachers for Hard-to-Staff Schools" at *www.nassp.org/publications/bulletin/bltn_0304_berry.cfm.*

[31] Debra Viadero, "Researcher Skewers Explanations Behind Teacher Shortage," *Education Week*, April 10, 2002 at *www.edweek.org/ew/ewstory.cfm?slug=30aera.h21&keywords=teacher%20shortage.*

[32] *Ibid.*

[33] *Report from the UNC Board of Governors' Task Force on Meeting Teacher Supply and Demand,* note 2 above, p. 26.

[34] Calculations by the author based on the salary schedule at *www.ncpublicschools.org* and the *Report from the UNC Board of Governors' Task Force on Meeting Teacher Supply and Demand,* note 2 above, pp. 46–47.

[35] Barnett Berry, note 30 above.

[36] *Ibid.*

[37] "School stepping up efforts to reduce teacher turnover," unsigned wire service report, March 25, 2004 at *www.cnn.com/2004/education/03/25/teacher.turnover.ap/index.html.*

[38] *Ibid.*

[39] "Teacher Demand, Supply and Quality: An Analytic Approach," note 5 above, p. 5.

[40] "Report to the President on UNC Teacher Education Programs' Service to Alternative Pathways Teachers," UNC Division of University-School Programs, October 2003, p. 6.

[41] "Teacher Demand, Supply and Quality: An Analytic Approach," note 5 above, p. 11.

[42] *Ibid.*

[43] "Report on Review of the Certification Process," note 4 above, p. 13.

[44] *Ibid.*

[45] "Pennsylvania Ranks Seventh in Average Teacher Salary," American Federation of Teachers, unsigned press release at *www.aft.org/press/salary/downloads/SalarySurvey-PA.pdf,* July 11, 2003.

[46] "Recruitment and Retention Strategies in a Regional and National Context," note 29 above, p. 17.

[47] *Ibid.*

[48] Kayce T. Ataiyero, "Battle for young minds," *The News & Observer*, Raleigh, N.C., Feb. 11, 2004, p. B1.

[49] "Recruitment and Retention Strategies in a Regional and National Context," note 29 above, p. 4.

[50] *Report from the UNC Board of Governors' Task Force on Meeting Teacher Supply and Demand,* note 2 above, p. 26.

[51] *Ibid.*, p. 27.

[52] *Ibid.*

[53] Julie Blair, "N.C. Drops Assessment For Out-of-State Teachers," *Education Week*, Jan. 21, 2004, at *www.edweek.com/ew/ewstory.cfm?slug=19N.Carolina.H23&keywords=julie%20blair.*

[54] *Ibid.*

[55] House Bill 805 of the 2003–2004 Session.

[56] Senate Bill 710 of the 2003–2004 Session.

[57] Senate Bill 266 of the 2003–2004 Session.

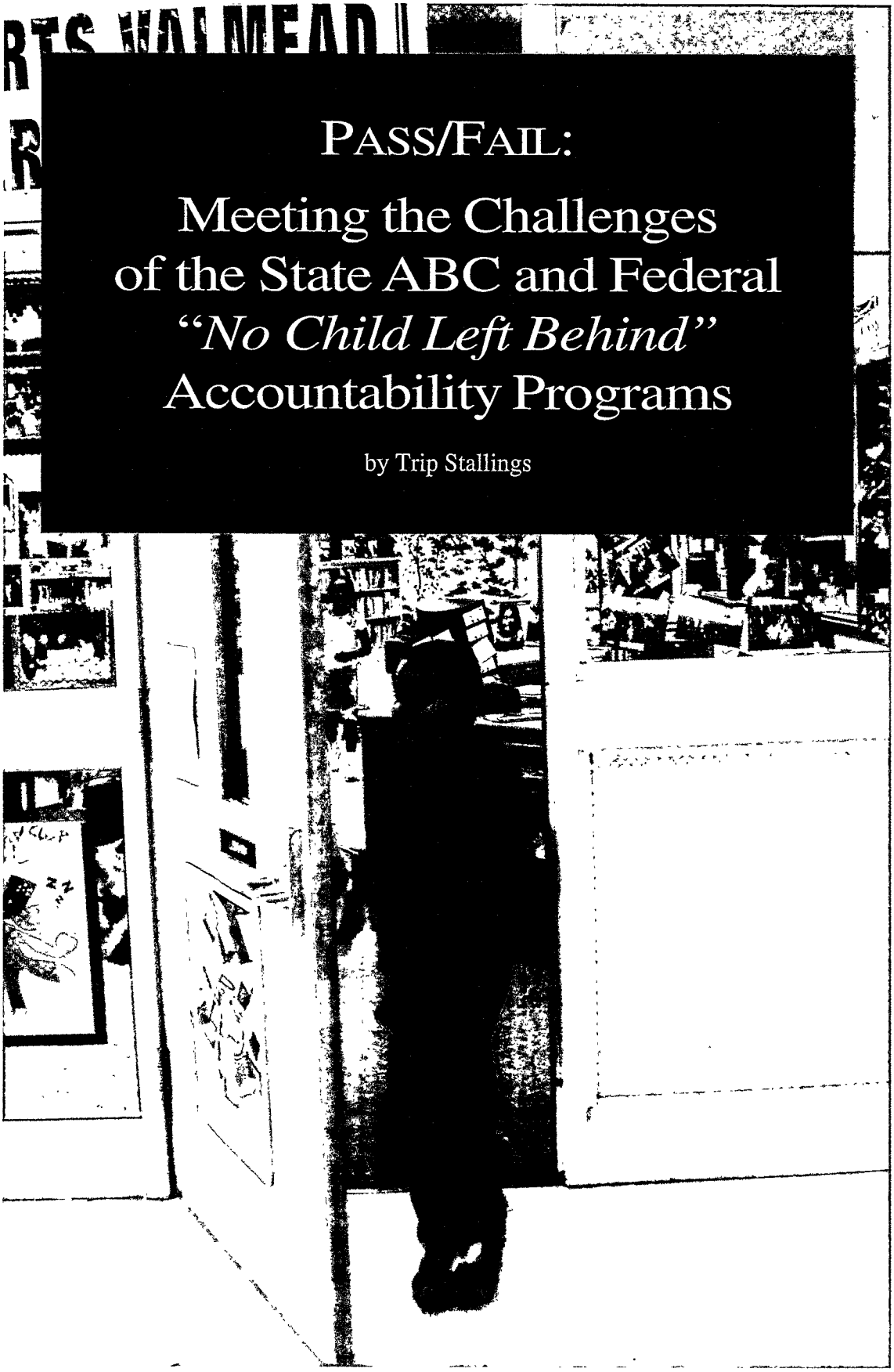
[58] Senate Bill 267 of the 2003–2004 Session.

[59] *Report from the UNC Board of Governors Task Force on Meeting Teacher Supply and Demand*, note 2 above, pp. 11–14.

PASS/FAIL:

Meeting the Challenges of the State ABC and Federal *"No Child Left Behind"* Accountability Programs

by Trip Stallings



Karen Tam

Summary

The 2002–2003 school year marked the first academic year during which all North Carolina public schools were measured under both the state ABCs of Public Education school accountability standards in place since 1996 and federal No Child Left Behind Act of 2001. The federal act was modeled at least in part on North Carolina's law, and the two have a common goal of boosting accountability for performance in the classroom. Yet implementation of No Child Left Behind (NCLB) produced a curious result: Almost half the schools that achieved what could be equated to a passing grade on state standards failed to meet federal standards.

One reason? The state law holds schools accountable in such a way that a low performance by a small group of students can be pulled up by the overall performance of the student body as a whole. The state also takes academic growth into account. Under federal law, testing results are disaggregated according to racial and ethnic subgroups within a school or school system. If students within that subgroup do not do well enough to meet proficiency standards, the school as a whole does not pass—an "all or nothing" standard. In Onslow and Washington Counties, for example, every school met or exceeded state ABCs expectations, but only 18 of 38 schools in the two districts met all target NCLB goals.

Though they may be confusing, such results were not unexpected. The state itself had projected an NCLB passing rate of 42 percent for Title I schools—those that have a significant population of poor students. These so-called Title I schools represent about half the schools in the state, and the state does not project their passing rate to climb above 90 percent before the 2012–2013 school year. There is work to be done not only in educating children to meet new federal standards but also in establishing the full complement of testing necessary to come into full compliance with the law. Where does North Carolina stand in meeting the requirements of this federal legislation? Is the state running ahead or behind relative to other states? What are the immediate and long–term sanctions North Carolina faces if the state fails to meet the federal requirements, and can the state meet the standards in the time allotted by the federal government?

In terms of meeting requirements for a statewide accountability system, North Carolina is ahead of the curve. The state already has the required statewide accountability testing program in reading and math and is developing a science test, as required by federal law for 2007–2008. The state has the ability to measure student progress in grades three through eight and in one high school year. The state reports its results annually, and administers the National Assessment of Educational Progress as required by the law.

As for how North Carolina stands relative to the nation, as late as 2002, only 15 states had met the reading and math testing requirements (the law requires that these tests be in place by 2005–2006), and only 13—including North Carolina—provided a school and school district (or Local Education Agency) report card as provided in the law.

But for North Carolina, the more difficult requirement is meeting the performance requirements contained in the law. Those requirements call for all students to demonstrate proficiency on the federal standards by the end of the 2013–2014 school year, with incremental progress toward this goal demonstrated each year. As of 2002–2003, only 1,047 of 2,200, or 47.6 percent, of the schools in North Carolina had met all targets in compliance with the federal regulations, while 94 percent had met state standards. The number of schools meeting federal standards rose to 1,600 of 2,270 in 2003–2004 (or 70.5 percent), while 75 percent met state standards. The main stumbling block for the state has been the requirement that not only the student body as a whole make adequate yearly progress (AYP), but also that every racial and ethnic subgroup within that school and school district—American Indians, African Americans, Asians, Hispanics/Latinos, and whites—achieve this goal. In addition, economically disadvantaged students and students with disabilities must make adequate yearly progress. This is true for the school as well as the school district.

What are the consequences of failing to meet the standards? There are no federal sanctions if the school is not one of North Carolina's Title I schools, which are schools that receive federal dollars earmarked for the improvement of education of disadvantaged students. However, about half of North Carolina's public schools are Title I schools, and every school district in the state has at least one. In 2002–2003, 116 out of 117 North Carolina school districts (legally known as LEAs) had at least one Title I school (only Polk County did not), and over half of all charter schools received Title I funds—1,132 schools in all. Schools not making adequate yearly progress for at least two years are deemed in "Title I School Improvement" meaning they must develop school improvement plans and use a percentage of Title I funds to implement them. Schools that fail to meet these standards for three years are labeled "schools not making adequate yearly progress" with sanctions added for each year a school fails to come into compliance, including: offering students the opportunity to transfer to non–sanctioned schools; providing out–of–school tutoring services at LEA expense, planning to restructure the school; and finally, restructuring the school. There will be significant cost associated with implementing these progressively rigorous sanctions.

Will North Carolina be able to meet the requirements of the law? The state faces numerous challenges. These include: closing the achievement gap between whites and Asian students and other racial and ethnic minority subgroups, which becomes increasingly difficult as the gap narrows; closing the achievement gap within subgroups themselves—such as the gap between children with disabilities and those without and between the economically disadvantaged and the affluent; gaining 100 percent proficiency for all sub–groups, which is viewed as politically appealing (and thus hard to change in the law) but very difficult; and meeting costs for school improvement, tutoring, and other measures if the schools and school districts get hit with heavy sanctions.

A key consideration as North Carolina approaches the future is that the state is far from alone in its difficulties with adjusting to the requirements of No Child Left Behind. Indeed, because of its experience with the state ABCs plan, North Carolina is probably ahead of most other states and has the opportunity to take the lead in helping to shape the new law to practical reality while at the same time advancing the noble goal of educating all students.

At the close of the 2002–2003 school year, Southwest Elementary School in Onslow County earned a dubious distinction that none of its students is ever likely to replicate. The school received both an overall passing and failing grade on its end-of-year evaluation. "We were surprised," recalls former Southwest principal Debbie Bryan. "They [the staff] were devastated." Puzzling results like this were not limited just to Onslow County or even to primary schools. For example, Plymouth High School in Washington County posted the same results. In fact, in 2003, almost half of *all* public schools in North Carolina (1,070 schools) shared this distinction, falling to 16.5 percent (375 schools) in 2004.

The reason for this perplexing state of affairs is something that is becoming all too familiar to educators in this state and across the nation. The 2002–2003 school year marked the first academic year during which all North Carolina public schools were measured and evaluated under both the state's homegrown ABCs of Public Education standards and accountability assessments system[1] and the new, parallel, but sometimes incongruent accountability required by the 2001 reauthorization of the federal Elementary and Secondary Education Act (the major source of federal funding for schools), *No Child Left Behind* (NCLB).[2]

To be fair, results like those for Southwest Elementary or Plymouth High were not unexpected. As Onslow County School Superintendent Ronald Singletary acknowledges, "We have known all along that the expectation that all [schools] were going to make it this first year was not realistic." In a May 2003 application for a federal education grant, the North Carolina Department of Public Instruction projected an NCLB pass rate for 2002–2003 for Title I schools (schools with a significant population of students from low-income families) of only about 42 percent. The department does not project the percent passing for these schools to climb above 90 percent until the end of the 2012–2013 school year.[3] At the same time, however, because of significant differences between the two accountability systems, the state has seen the overall percentage of schools meeting or exceeding the state ABCs standards climb well above 90 percent.

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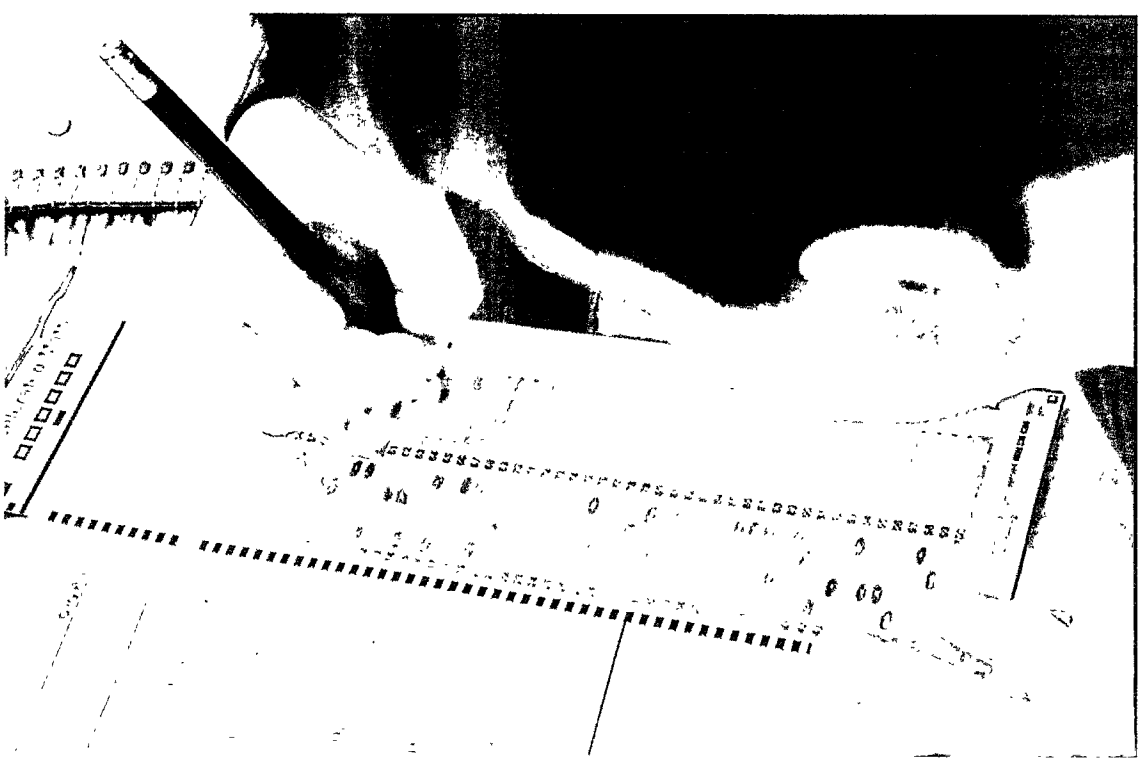
"We have known all along that the expectation that all [schools] were going to make it this first year was not realistic."

—RONALD SINGLETARY
ONSLOW COUNTY SCHOOL SUPERINTENDENT

In Onslow and Washington Counties, every school met or exceeded state ABCs expectations in 2002–2003, but only 18 of 38 schools in the two districts met all target NCLB goals. At Southwest, a school that receives Title I funding, the composite pass rate on North Carolina end-of-grade tests was almost 94 percent, and yet the school still failed to meet the standards set by NCLB.

One of the motivations behind the implementation of the new federal expectations is a growing political will to hold states more accountable for outcomes tied to federal dollars, and the sections of the law dealing with assessment and accountability requirements represent the most comprehensive federal attempt to date to tie federal education funding to outcomes. Though federal funding represents only around 8 percent of all money states spend on education (8.6 percent in North Carolina in 2002–2003), that 8 percent sometimes means the difference between life and death for a school's programs. Not all schools receive Title I funds—in North Carolina only about half do—so the size of a state's overall federal package can understate the significant help that federal money provides to certain schools and districts. For instance, in 2002–2003, only about 6 percent of all non-child-nutrition education dollars in North Carolina came from the federal government, but in Jones County, where every school in the district except the high school received school-wide Title I funds, the percentage was much greater—12 percent, or more than $1000 per child—and the actual federal contribution per pupil is probably twice that amount if only those students actually served using Title I funds are included in the calculation.[4]

What will the new federal accountability standards mean for North Carolina, both in the short term and in the long run? We can start to determine the impact on the state by answering four central questions: First, does North Carolina's assessment system meet the requirements of the new legislation, or is there more work to be done? Second, to what degree did the state's first-year results meet national expectations? Third, what are the immediate and long-term sanctions the state will face because of these results? And finally, can North Carolina meet all of the new standards in the time allotted by the federal government?



Karen Tam

Cracking the Education-ese Code: Acronyms and Their Definitions

Education policy discussions are often liberally sprinkled with shorthand terms and acronyms that, while they turn somewhat unwieldy phrases into more easily digestible units, may not be familiar to the general reader. Acronyms and terms that appear in this article are explained below:

AMO—*Annual Measurable Objective.* State-defined targets for the proportion of students performing at or above proficiency levels for each subject and grade level tested under No Child Left Behind. Annual measurable objectives must increase gradually over time until they reach the legislatively mandated rate of 100 percent proficiency for the 2013–2014 school year.

AYP—*Adequate Yearly Progress.* Minimum target performance goals that states, local education agencies, and schools must meet to earn rewards and/or avoid federal sanctions. Target performance goals include annual measurable objectives and other academic indicators.

EOC—*End-of-Course Test.* Tests developed by North Carolina to measure progress in core high school subjects like English and algebra. Test results are used to determine state, local education agency, and school adequate yearly progress status.

EOG—*End-of-Grade Tests.* Tests developed by North Carolina to measure progress in language arts, mathematics, and (starting in 2007–2008) science in grades 3 through 8. As with end-of-course tests, end-of-grade test results are used to determine state, local education agency, and school adequate yearly progress status.

ESEA—*Elementary and Secondary Education Act.* The formal name for the federal legislation currently identified as the *No Child Left Behind* Act. First authorized in 1965 and renewed periodically ever since.

LEA—*Local Education Agency.* Generic term for school districts that also includes non-traditional "districts" like charter schools (which are treated as self-contained local education agencies) and statewide school districts.

LEP—*Limited English Proficient.* Formal term for students whose native language is not English and whose proficiency in English does not yet meet measurable standards of proficiency.

NAEP—*National Assessment of Educational Progress.* Federally developed test administered to a random sample of 4th and 8th graders in every state on a biannual basis. States are required to administer this test under NCLB to help gauge the validity of the results of their state-level assessment systems.

NC DPI—*North Carolina Department of Public Instruction.* The state office that, among other things, develops and oversees the administration of the end-of-grade and end-of-course tests and ensures state compliance with Title I regulations.

NCLB—*No Child Left Behind.* The name given to the most recent reauthorization of the Elementary and Secondary Education Act.

OAI—*Other Academic Indicators.* Non-proficiency measures that are used to determine adequate yearly progress status, such as graduation and percent-of-students-tested rates.

Title I—The first section of the Elementary and Secondary Education Act, Title I authorizes funding for compensatory education programs and outlines the assessment requirements for states that are discussed in this article.

—Trip Stallings

Table 1. Federal Progress Toward Meeting No Child Left Behind Assessment System Requirements

Federal No Child Left Behind Assessment System Requirement	North Carolina Progress Toward Requirement
Single, statewide accountability system for use in all LEAs	Met
Standards in reading and math	Met
Standards in science by 2005–2006	Met (standards in place as of 2000–2001)
Assessments linked to those standards for all students in grades 3–8 by 2005–2006 (for science by 2007–2008)	Met (science field testing in 2005–2006 and 2006–2007; official testing in 2007–2008)
Progress assessed annually in grades 3–8	Met
Progress assessed at least once between grades 10 and 12 (including science by 2007–2008)	Met—NC administers a 10th grade comprehensive test
Reading assessed using tests written in English for all students who have lived in the U.S. for three or more consecutive years	Met
English proficiency assessed annually for all Limited English Proficient students	Met
Adequate yearly progress objectives by grade and by subject, with performance results disaggregated in ten prescribed sub-categories	Met
Biennial participation in National Assessment of Educational Progress (NAEP) math and reading testing in 4th and 8th grades	Met
State and Local Education Agency report cards available to the public	Met

1. Assessing the Assessment System

As was true in most states in 2002–2003, a significant number of North Carolina schools failed to meet the proficiency standards established under the new federal legislation and U.S. Department of Education regulations. But in at least one specific area of the legislation, the development of a statewide assessment system, North Carolina is ahead of the national curve. This is due in no small part to the fact that much of the federal assessment legislation was based partially on the system outlined in North Carolina's ABCs of Public Education, which has guided state assessment since the 1996–1997 school year. In fact, North Carolina's program of testing students in grades 3–8 in reading and math goes back to the 1992–1993 school year.

Thus, the most significant immediate federal requirement—implementation of statewide tests by the 2005–2006 school year—is not much more than an afterthought for North Carolina. In all, NCLB requires states to: 1) develop a single, statewide accountability system based on standards in reading and math (and science by 2007–2008) with assessments linked to those standards; 2) measure progress for all students in grades 3 through 8 and in one high school year; 3) report the results annually; and 4) ad-

minister National Assessment of Educational Progress (NAEP) tests to 4th and 8th graders every other year to assess the degree to which the state-created tests measure up on a national scale. North Carolina met all of the short-term assessment system goals by 2002–2003 (see Table 1, p. 38), with the only significant task remaining being the construction of science tests for administration starting in 2007–2008. According to Lou Fabrizio, director of Accountability Services at the N.C. Department of Public Instruction, the state is well on its way to meeting that goal as well: "Right now we are in the process of getting an RFP [request for proposals] out for 5th grade and 8th grade items to be written. The only issue we have at the high school level for science is whether we can get the U.S. Department of Education to allow us to use the Biology EOC [End-of-Course test] as the high school science test."

2. Understanding the First-Year Results: N.C. ABCs vs. the New Federal Standards

Meeting the assessment system requirements is no small accomplishment. While most states already had standards in place for reading, math, and science before the passage of NCLB, by 2002 only 15 states had met the 2005–2006 reading and math *testing* requirements (seven already meet science test requirements as well), and only 14 states provided school and LEA report cards with at least some of the detail required by NCLB.[5] But, as North Carolina and schools like Onslow's Southwest Elementary and Washington's Plymouth High are beginning to learn, putting the assessment system in place is only part of the battle. The more difficult step is meeting the expectations. In addition to the assessment standards described above, schools must meet progressive target proficiency goals for each academic year, with a required terminal goal of 100 percent proficiency for all students by the end of the 2013–2014 school year.

How well did the Local Education Agencies (LEAs) perform in 2002–2003, as measured by the new system? Of the 2,200 schools in North Carolina, more than 94 percent met state accountability goals, but just under half (1,047) met all targets established in compliance with the federal regulations. Of the 119 school jurisdictions assessed,[6] only two—Hyde County and Ashe County—met every district-wide target. (See Table 2.)

It seems counterintuitive for there to be such a significant discrepancy between the number of schools meeting state expectations and the much

Table 2. Local Education Agency[a] Progress Toward Making Adequate Yearly Progress Targets, 2002–2003

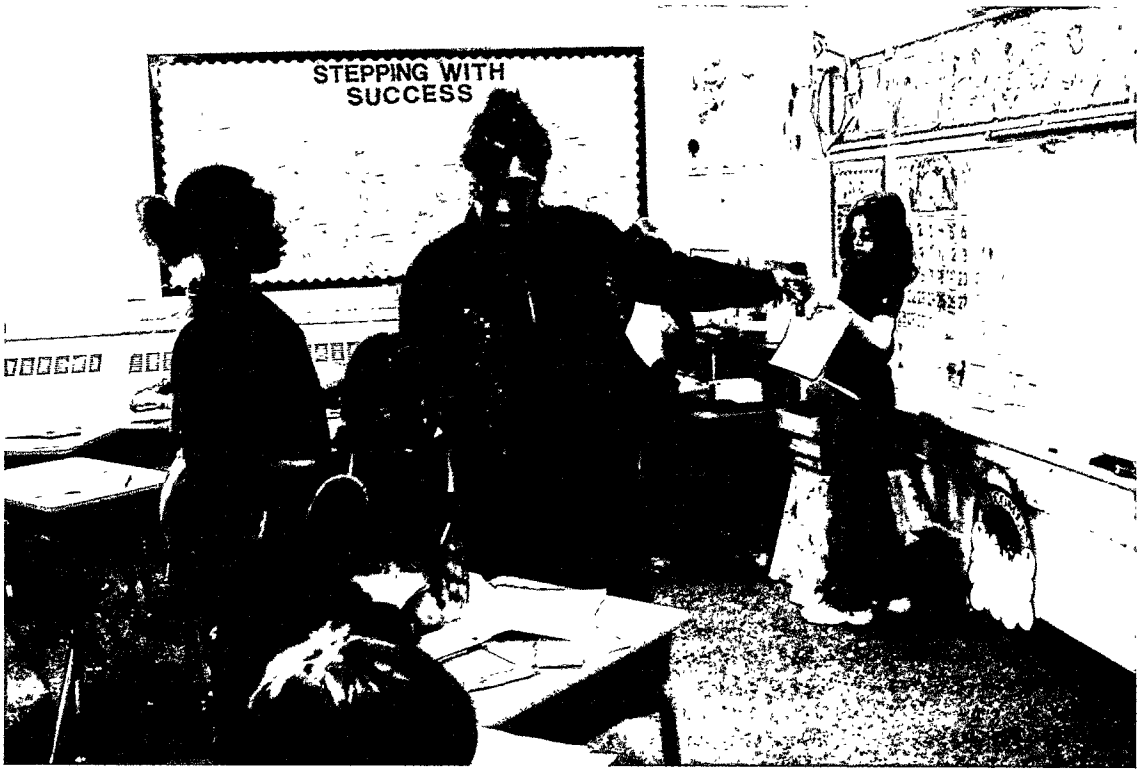
% Targets Met	Number of LEAS
<70%	6[b] (The six lowest LEAs are N.C. Department of Health and Human Services, Hertford, Hoke, Northampton, and Robeson County Schools, and Weldon City Schools.)
70–79%	20
80–89%	55
90–99%	32
100%	2[c] (The two highest LEAs are Ashe and Hyde County Schools.)

[a] Includes students educated in N.C. Department of Health and Human Services and N.C. Department of Juvenile Justice facilities.

[b] Low=N.C. Department of Health and Human Services Schools, 11 of 23 (47.8%) targets met.

[c] Ashe County Schools met 29 of 29 targets, Hyde County Schools met 25 of 25 targets.

Source: Table generated from data available at *The ABCs Accountability Model* website, North Carolina Department of Public Instruction, *http://abcs.ncpublicschools.org/abcs/.*



Karen Tam

lower number of schools and systems meeting federal expectations under NCLB. After all, the tests used to measure progress in both accountability systems are the same. The major difference between ABCs and NCLB results lies in the rules governing the accountability proposal that all states are required to submit to the U.S. Department of Education. The proposal, once approved by the federal Department of Education, becomes the blueprint for the key NCLB measure and the reason for all of the discrepancies: adequate yearly progress, or AYP.

All schools for miles and miles around
Must take a special test.
To see who's learning such and such—
To see which school's the best.
If our small school does not do well,
Then it will be torn down.
And you will have to go to school
In dreary Flobbertown.

—THEODOR GEISEL (DR. SEUSS)
HOORAY FOR DIFFENDOOFER DAY!

To meet adequate yearly progress goals, schools and school systems must meet a range of standards, most of which are related to testing. Under NCLB, states must assess adequate yearly progress annually in reading and math (science must be tested by 2007–2008, but federal law does no require it to be part of adequate yearly progress) for: (1) all students collectively, (2) state-defined sub-groups—in North Carolina, these groups are American Indian, Asian, Black, Hispanic, Multi-Ethnic, and White students, and (3) for students characterized as economically disadvantaged (eligible for free or reduced price lunches), limited English proficient (LEP), and students with disabilities. This tracking of sub-group performance must happen at the state level, the district level, and the school level. A school is held accountable for the adequate yearly progress of a sub-group only when that sub-group includes enough students "to yield statistically reliable information"[7] (North Carolina set its minimum number at 40 students). Thus, while there may not be enough reading scores for Asian students in a particular school to generate an adequate yearly progress measure for the sub-group at the school level, scores of individual students still count for the school as a whole. Adequate yearly progress for the Asian sub-population will be measured in the school's district if the overall number of Asian

Title I and No Child Left Behind

Sanctions under No Child Left Behind largely apply to schools designated as Title I schools. Title I schools are schools that receive federal funding earmarked by Title I of the Elementary and Secondary Education Act (ESEA—the formal name for the legislation; *No Child Left Behind* is the name given to the most recent renewal of the legislation) for the improvement of the education of disadvantaged students. There are several exceptions and special rules, but in general, a school is eligible to receive Title I funds if either:

- the percent of students in poverty of the total population served by the school is at least equal to the percent of students in poverty across the entire Local Education Agency (LEA), which in North Carolina is typically a city or county school district; or
- the percent of students in poverty is equal to or greater than 35 percent.[a]

There are two major types of Title I assistance:

1. *Schoolwide Program (SWP) Funding.* SWP designation allows a school to use federal Title I funding to enhance service delivery for the entire school, and not just for students who qualify for federal funding on the basis of family income or some other measure. In order to be eligible for SWP status, a school must serve a population in which at least 40 percent of the students are from low-income families. ***SWP Schools are subject to federal sanctions under No Child Left Behind.***[b]
2. *Targeted Assistance Schools (TAS) Funding.* TAS designation allows a school to use federal Title I funding to enhance service delivery *for eligible students only*; i.e., a TAS-funded program can only serve those children who can be classified as Title I students, a definition somewhat broader than socioeconomic status that also includes students identified as being at risk of school failure. ***Schools with TAS funding also are subject to federal sanctions under NCLB, but sanctions may only apply if the specific population served by the TAS funding does not meet minimum federal assessment standards.***[c]

Eligible schools that do not accept or receive Title I funds are not subject to most of the NCLB sanctions. In 2002–2003, 116 out of 117 North Carolina LEAs had at least one Title I school (only Polk county did not) and more than half of all charter schools received Title I funds—1,132 schools in all.[d]

—Trip Stallings

FOOTNOTES

[a] ESEA, Section 1113.
[b] ESEA, Sections 1114 & 1116.
[c] ESEA, Sections 1115 & 1116.
[d] *North Carolina 2002–2003 Title I Schoolwide Programs (SWP) and Targeted Assistance Schools (TAS), http://www.ncpublicschools.org/nclb/030114_leatotals.pdf).*

Table 3. North Carolina's Annual Measurable Objective Targets,[a] 2002–2014

2002–2004	Grades 3–8	Grade 10
Reading	68.9%	52.0%
Math	74.6%	54.9%

2004–2007	Grades 3–8	Grade 10
Reading	76.7%	64.0%
Math	81.0%	66.2%

2007–2010	Grades 3–8	Grade 10
Reading	84.4%	76.0%
Math	87.3%	77.4%

2010–2013	Grades 3–8	Grade 10
Reading	92.2%	88.0%
Math	93.7%	88.7%

All Annual Measurable Objectives for the 2013–2014 school year are set at 100%.

[a] Percentages represent the proportion of students who must pass end-of-grade and end-of-course tests in order for schools and local education agencies to meet their Annual Measurable Objectives (AMOs). Federal law requires that schools and local education agencies reach annual measurable objectives of 100 percent by the 2013–2014 school year.

Source: NC Consolidated State Application: May 1, 2003, Submission, pp. 15–16. Base (2002–2004) minimum proficiency rates for North Carolina were set by procedures prescribed by No Child Left Behind and are based on 1999–2000 through 2001–2002 North Carolina performance data; base rates are unique to each state. See *Determining Adequate Yearly Progress*, North Carolina Department of Public Instruction, at *http://abcs.ncpublicschools.org/abcsfiles/aypstatus.pdf.*

students in the district reaches the state's "statistically reliable" threshold. It is possible for a school to meet all of its progress targets but for its district to fail, or *vice versa*. For example, in 2002–2003, Hyde County met all adequate yearly progress targets as a system, but two of its four schools failed to meet some of the same adequate yearly progress targets. In Graham County, all three schools met adequate yearly progress, but the district as a whole failed.

While NCLB prescribes the subject areas for the assessments and the frequency with which states must administer them, the legislation does not mandate that all states meet the same target proficiency goals each year. Instead, each state controls its own destiny by establishing proficiency targets for each subject and grade level that grow in periodic increments called Annual Measurable Objectives (see Table 3), with the only stipulation being that all states must reach 100 percent proficiency in all tested areas by 2013–2014. North Carolina could have chosen to set lower goals for some of the years before 2014 (as long as they were not lower than the baseline goals for 2002–2003 established by federal statute), but schools would then have been faced with the task of improving achievement scores in much larger increments as the 2013–2014 school year approached. Adequate yearly progress must also include *other academic indicators* (OAI), which, in North Carolina, are either attendance rates or graduation rates (for schools that graduate seniors) and percent of students in each sub-group and at each grade taking the tests.[8] In all, North Carolina must meet 81 separate measures to satisfy adequate yearly progress requirements (in 2002–2003, the state met 65 of 81 of its goals, or 80 percent, improving to 69 of 81, or 85 percent in 2003–2004).

Knowing all of this still does not clarify completely why schools like Onslow's Southwest Elementary and Washington's Plymouth High end up with conflicting end-of-year results. The final piece of the puzzle is that the state and NCLB take markedly different approaches to defining success, distinct in two key ways.

a. Expected Growth vs. Annual Measurable Objectives

North Carolina's ABCs system rewards or sanctions individual schools based on their ability to meet annual *expected-growth measures* that are unique to each school for each grade and subject. A school's target expected-growth numbers are calculated annually using a formula that takes into con-

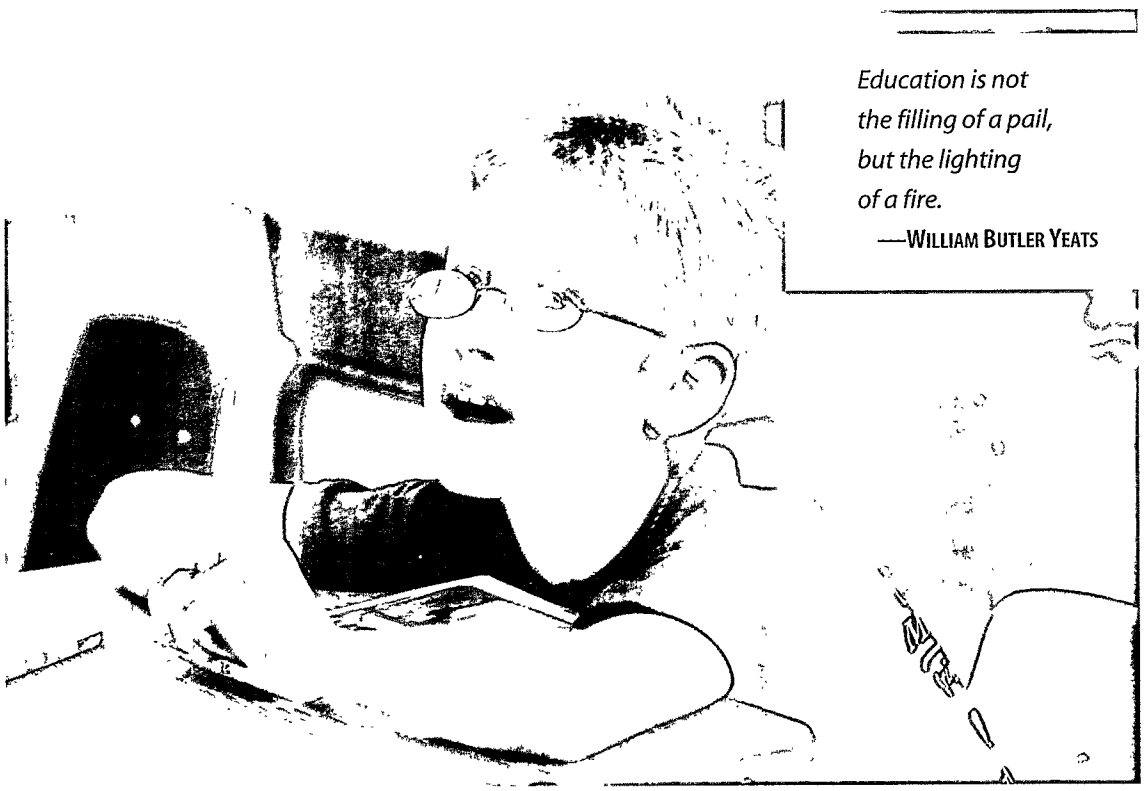
sideration several factors, including test results from the previous year. The program follows the same students from year to year so that both growth in scale scores and absolute performance can be taken into account. Whether a school is sanctioned or rewarded is based on its ability to meet or exceed a certain *rate of growth* in terms of the *change*.

The federal No Child Left Behind legislation, on the other hand, requires all N.C. schools to meet the same proficiency levels. For example, at Durham's Eastway Elementary, only 48 percent of 3rd graders met or exceeded proficiency targets in reading in 2002–2003. Yet the 2003–2004 reading goal is the same as it is for all student populations at high–performing Easley Elementary. There, almost 94 percent of all 3rd graders met their targets. The state's AYP goal for 4th grade reading for 2003–2004 is 68.9 percent proficiency, meaning Eastway had to improve student scores by a significant amount in order to meet its 4th grade reading goal, while Easley is already well above expectation.[9] Eastway did meet AYP in 2003–2004. Easley did too, but failed to meet all its state ABCs marks.

b. Aggregated vs. Disaggregated Results

Under the state ABCs system, a school must meet expected annual growth on an *average* per-grade basis. In other words, the underperformance of one sub-population (e.g., Hispanic students) may be mitigated by the performance of the other groups in that subject and at that grade level. The federal No Child Left Behind law requires *disaggregated* results, meaning that a school in which each grade as a whole performs at proficient levels is deemed to have met adequate yearly progress *only if* every sub-population also performs at or above the proficiency percentage standard. One group's strong performance cannot counter the poor performance of another. In North Carolina, these groups are American Indian, Asian, Black, Hispanic, Multi-Ethnic, and White students, as well as students characterized as economically disadvantaged (eligible for free or reduced price lunches), limited English proficient (LEP), and students with disabilities. In addition, NCLB requires that states gather and report extensive data regarding subgroup performance, including economically disadvantaged students, major racial or ethnic groups, students with disabilities, students with limited English capabilities, gender, and migrant status.[10]

Eastway Elementary in Durham—which, based on its population in 2002–2003, was measured on 25 goals—did not meet all AYP targets. Easley Elementary—which was measured on only 13—did.



Karen Tam

Upon the subject of education, not presuming to dictate any plan or system respecting it, I can only say that I view it as the most important subject which we as a people may be engaged in. That everyone may receive at least a moderate education appears to be an objective of vital importance.

—PRESIDENT ABRAHAM LINCOLN

The mysteries of Plymouth High in Washington County and Southwest Elementary in Onslow County (and, indeed, of more than 1,000 other schools statewide) can now be solved. Because of its overall *improvement* in average scale scores from 2001–2002 to 2002–2003, Plymouth High met state expected-growth goals, but because its proficiency rate *level* for several sub-groups was below the state's annual measurable objectives (AMOs) for 2002–2003, the school did not make adequate yearly progress. (The school fell short of both federal *and* state standards in 2003–2004.) Similarly, because of Southwest's high *overall* proficiency rates at all grades and in all subjects, it was designated a School of Excellence by the state, but because it failed to meet one of its 21 AYP *sub-population* targets it did not make adequate yearly progress.[11] Southwest made AYP in 2003–2004. But the differences between state ABCs and federal NCLB results are so extreme, says Bill McGrady, N.C. Department of Public Instruction Coordinator of Federal Programs (and formerly Section Chief for Compensatory Education, which that oversees Title I compliance), that the state now has separate designations for Schools of Excellence that make adequate yearly progress like Southwest (the designation is "Honor Schools of Excellence") and Schools of Excellence that don't.[12]

Few question the value and importance of supporting sub-group progress in North Carolina, as these subgroups are comprised of minorities and others who have had too little attention paid to their educational progress in the past. (See Kerra L. Bolton, "Educational Achievement: Bridging the Gap?", *North Carolina Insight*, Vol. 21, Nos. 1–2, June 2004, pp. 76–103 for more on this topic.) The North Carolina Department of Public Instruction (DPI) even maintains a "Closing the Gap" Section in the Division of School Improvement and has sponsored a statewide conference on closing the educational achievement gap for several years now. But some of the federal regulations have left school officials scratching their heads, most particularly in the areas of special needs and limited English proficiency.

Even after recent U.S. Department of Education concessions that grant states more flexibility when evaluating the proficiency of certain sub-populations,[13] there is still concern among educators about North Carolina's ability to meet testing and adequate yearly progress demands for these subgroups. One issue that troubles N.C. DPI's Lou Fabrizio is the fact that students in North Carolina speak more than 160 different languages, and the state does not have the capacity or the funding to support multiple translations of every test administered by DPI. The end result is that in some schools, a portion of the student population may have to take a math test in a language other than their own, which will not only negatively affect their own performance but also their schools' performance.

Rebeca Gomez Palacio, education advocate and policy analyst for the North Carolina Justice and Community Development Center's Education and Law Project, sees another potential problem with the sub-group approach. Until they are required to meet 100 percent proficiency goals in 2013–2014, schools and local education agencies may stop short of meeting individual student needs when the focus is placed so squarely on improving overall subgroup performance. For instance, in the case of limited English proficient students, says Palacio, "The [recent evaluation] changes allow them to demonstrate adequate yearly progress, whereas without the adjustment, this could never happen. These adjustments certainly support the efforts of the schools. It remains unclear, however, as to how they will support *individual* students with limited English if enough of the subgroup qualifies as proficient. In other words, as long as enough limited English proficient (LEP) students meet the targets under the new rules so that the sub-group is never labeled 'failing,' individual students who still did not demonstrate proficiency after two years will still lack support. The results at the end of the 2003–2004 school year will clarify whether the adjustments are simply a logistical one made to support the school at the expense of individual students or whether all LEP students will benefit."

3. Sanctions New and Old

In 2002–2003, sub-group performance, more than any other measure, was the leading reason for the failure of so many schools to meet federal adequate

yearly progress standards. No Child Left Behind also requires states to put in place a reward system for schools and local education agencies that meet or exceed adequate yearly progress. But because of the first-year results, required sanctions are garnering much more attention. Schools and local education agencies not receiving Title I funds are not subject to sanctions, but in 2003–2004, all LEAs had at least one school that received Title I money (in all, 1,096 regular [non-charter] schools).[14] There are three levels of NCLB assessment—school-level, LEA-level, and state-level—each with its own special sanctions.

School-Level Sanctions

Schools not meeting adequate yearly progress for two consecutive years are designated as being in "Title I School Improvement," which means that they must develop improvement plans incorporating strategies from "scientifically based research" and face the first year of sanctions. In 2003–2004, 18 regular schools (up from four the previous year) and 18 charter schools (up from 11 the previous year) already have earned this designation, based on failure to meet preexisting and new adequate yearly progress standards. Sanctions are added for each year that a school designated as being in Title I School Improvement does not meet adequate yearly progress, in this order:

- *Public school choice*—Families of any student at a Title I school can request student transfer to a non-sanctioned school designated by the LEA at LEA expense.
- *Supplemental educational services*—Students receiving free or reduced lunch are eligible to receive out-of-school tutoring services at LEA expense from a list of State Board of Education approved providers.
- *Corrective action*—LEAs must take at least one of several prescribed actions (like replacing staff who are relevant to the failure to make adequate yearly progress, or extending the school year).
- *Plan for restructuring*—The LEA will have one year to plan for the implementation of one of several options for the school for the following year (like re-opening it as a charter school or turning the operation of the school over to the state).
- *Restructuring*—the plan devised during the preceding year will be put into place.[15]

Once a school is designated as in School Improvement status, its LEA must be prepared to dedicate an amount equal to up to 20 percent of its *total* Title I allotment for transportation and supplemental services, even if only one school in the LEA is

What's in Store for Schools Not Progressing Under No Child Left Behind

Schools that fail to make adequate yearly progress will face the following consequences:

2 Years—Get Labeled" in need of improvement," must allow students to choose another school in the district, and must be provided with technical assistance from the state.

3 Years—Receive state–financed supplemental services, such as additional tutoring and remedial services, usually in reading, math, or science.

4 Years—Must replace school staff, institute a new curriculum, extend the school year or school day, or restructure the internal organization.

5 Years—Must reopen as a charter school, replace all or most of the staff, enter into a contract with an entity such as a private management company, turn operations to the state, or undergo major restructuring.

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under sanction. There are only two fiscal safety nets for an LEA in this situation: 1) it does not have to set aside the full amount if a lesser amount is needed to meet all sanction requirements; and 2) this figure can be scaled back to prevent the total amount of funds provided to individual schools from decreasing by more than 15 percent.

LEA-Level Sanctions

LEAs in which the overall assessment of all schools (not just Title I schools) indicates that adequate yearly progress was not met for two consecutive years must take the following actions: the LEA must present a plan to the state outlining how it plans to address the problem(s); the plan must be implemented by the beginning of the next school year; the state must send a report to all parents with children enrolled in schools in the LEA explaining the LEA's status and how they can take part in correcting the problem(s); and no later than the end of the second full year beyond the initial identification that an LEA needs improvement, if the LEA still does not meet adequate yearly progress requirements, the state must take corrective action. Corrective actions a state must take must include at least one of the following measures:

- Deferring programmatic funds and/or reducing administrative funds;
- Implementing a new LEA-wide curriculum;
- Replacing relevant LEA personnel;
- Removing certain schools from LEA governance and placing them under alternate forms of public governance;
- Supplanting the superintendent and school board with a "receiver or trustee;"
- Abolishing or restructuring the LEA; and/or
- Authorizing students to transfer—at no cost to them—to schools operated by another LEA.

State-Level Sanctions

States failing to comply with standards, assessments, and accountability system requirements can have their state's Title I funds withheld.

Many of these sanctions are not new. The previous reauthorization of the Elementary and Secondary Education Act—1994's Improving America's Schools Act[16]—introduced several of these measures. However, as Bill McGrady, N.C. Department of Public Instruction Coordinator of Federal Programs, notes, under No Child Left Behind, many measures that were once optional are now mandatory. NCLB introduced a "strengthening of the language from 'mays' and 'coulds' to 'shalls' and 'wills,'" says McGrady. "The changes are pretty significant. . . . You had sanctions in the old law but the language on [sanctions like] public school choice was much softer." For example, an LEA no longer can give lack of capacity as a reason for not offering public school choice. "If you've got [capacity] as an issue, then the ways you [might have to] resolve that are to build new classrooms or work out agreements with other school systems."

> *"What I think you will see in my opinion will be technical amendments to the law—not a total rewrite of the law."*
>
> —Bill McGrady
> N.C. Department of Public Instruction
> Coordinator of Federal Programs

4. Next Steps: Can the State ABCs and Federal No Child Left Behind Co-exist?

If North Carolina were evaluated on its compliance with and success on assessment and accountability standards under NCLB, the results might look a lot like those of Southwest Elementary and Plymouth High. The state would both pass and fail. The assessment system is in place and on schedule, but some of the results are disheartening and the associated expenses daunting. Part of the difficulty is that North Carolina wants to keep its own deeply rooted school accountability model, the ABCs plan, while aligning with the federal law. That's because the state plan takes into account academic growth of students, rather than imposing a single rigid standard for all schools.

It is tempting to wager that many of the difficulties resulting from the legislation will disappear over time as the U.S. Department of Education continues to modify the language of the legislation and as the time for reauthorization looms nearer. N.C. DPI's Lou Fabrizio suggests that some states may even have hedged their bets a little bit in anticipation of never actually having to face the 100 percent proficiency mark in 2013–2014. Ohio, for example,

established an annual measurable objectives trajectory that includes only minor increases in AMO thresholds until only a few years before 2014, perhaps gambling that future reauthorizations will remove the 100 percent target. But for the moment, such speculation is risky at best. Fabrizio says changes to the legislation are "going to really depend on who is in the White House" when reauthorization becomes an issue again in 2007. McGrady is not even that optimistic: "What I think you will see in my opinion will be technical amendments to the law—not a total rewrite of the law."

So, like many other states, North Carolina is already in the process of reformulating key components of its plan for meeting the demands of NCLB, and in all likelihood these changes will help the state project a somewhat rosier picture of the quality of education in North Carolina. For example, in April 2004, the state submitted a proposal to the U.S. Department of Education to make several revisions to its assessment system in terms of how proficiency is measured, how many students must participate in testing, and more.[17] While modifications like these will certainly help,[18] the state will still face several significant challenges in the coming years.

Challenges:

- *The state's achievement gap closure rate may not keep pace with annual measurable objectives.*

Between the 1992–1993 and 2002–2003 school years, the statewide achievement gap between non-Asian minorities and white students on composite reading and math scores in primary grades closed

Is the Federal "No Child Left Behind" Law An Unfunded Mandate on the States?

Given the expense of implementing a national school accountability program and the fact that the federal government clearly is passing substantial costs on to state and local government, complaints are rising that No Child Left Behind amounts to a massive unfunded mandate. But does it?

According to the National Conference of State Legislatures, an unfunded mandate is anything required that shifts costs to the state. NCSL describes these cost shifts as "fiscal insults," and identified five ways in which they can occur.[1] These are:

(1) Imposing mandates as a condition of aid;

(2) Changing entitlement programs;

(3) Reducing funds for administering grants;

(4) Withholding, or failing to release funds, and;

(5) Using sanctions.

By this test, No Child Left Behind clearly would qualify as an unfunded mandate, though the NCSL position may be a liberal interpretation of what constitutes an unfunded mandate.[2] The No Child Left Behind Act imposes mandates as a condition of federal Title I money for needy students, it changes the Title I entitlement program, and it uses sanctions against schools and school systems that fail to meet the requirements of the law.

In fact, the National Conference of State Legislatures has identified the No Child Left Behind Act, with $9.6 billion in unmet costs, as the second worst offender in its fiscal impact on the states, trailing only the Individuals with Disabilities Education Act at $10.1 billion.[3] Others with significant impact are: state drug costs for dual eligibles (those citizens eligible for both Medicaid and Medicare), $6 billion; Help America Vote Act implementation, $2.4 billion; and sundry environmental programs, $1 billion.

—Mike McLaughlin

FOOTNOTES

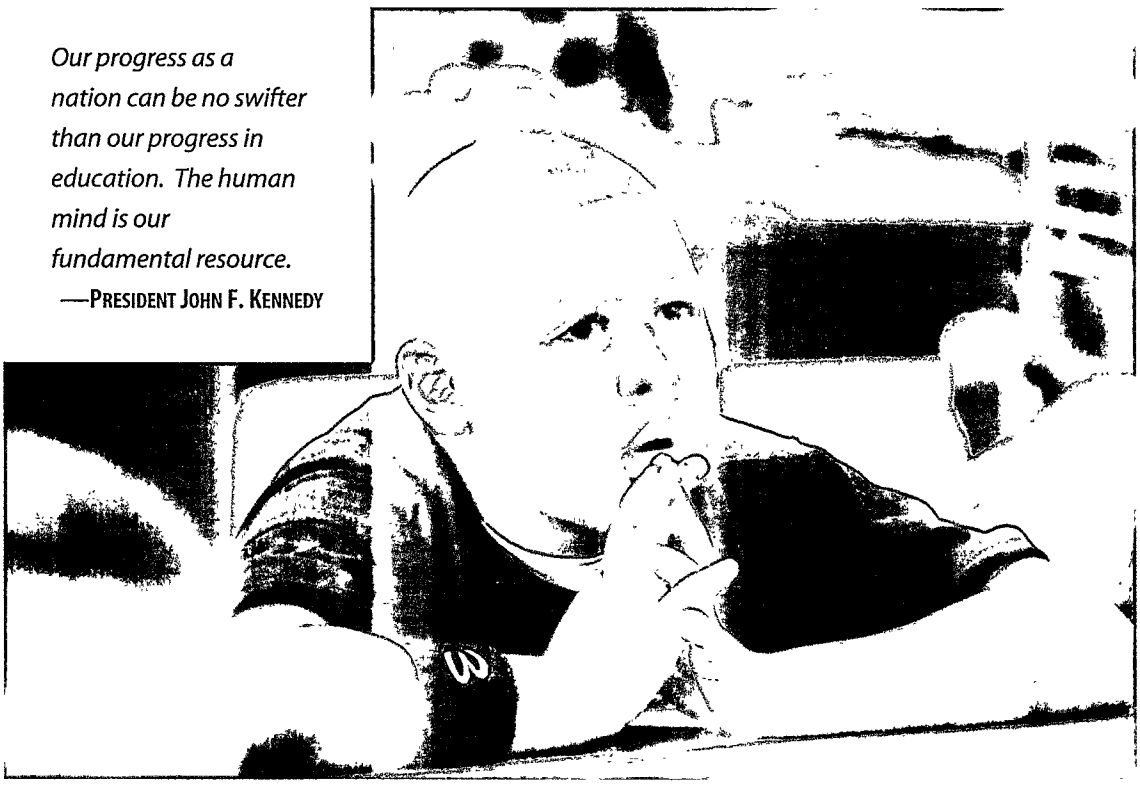
[1] "What Is a Mandate?", *State Policy Reports*, Alexandria, Va., Vol. 22, Issue 5, March 2004, p. 13.

[2] For more on mandates as they apply at the local level, see Mike McLaughlin and Jennifer Lehman, "Mandates to Local Government: How Big a Problem?" *North Carolina Insight*, Vol. 16, No. 3, May 1996, p. 42–75.

[3] Molly Stauffer and Carl Tubbesing, "The Mandate Monster," *State Legislatures*, National Conference of State Legislatures, Denver, Colo., May 2004, p. 22.

Our progress as a nation can be no swifter than our progress in education. The human mind is our fundamental resource.

—PRESIDENT JOHN F. KENNEDY



Karen Tam

from 33 percentage points to about 20 percentage points (see Figure 1, p. 49). Although it is difficult to project accurately how much progress these student sub-groups will continue to make in coming years, a continued and steady closure of 2 percentage points annually will lead to elimination of the gap by the 2012–2013 school year. This progress appears to parallel nicely with NCLB's attention to sub-group performance, but closing the gap is primarily an indication of *improvement* relative to another group rather than of *proficiency*, and even at the current pace, scores for minority students may still fall short of the 100 percent proficiency mark required by 2013–2014. Unless minority populations are able to maintain the progress demonstrated between the 1992–1993 and 2002–2003 school years (an average gain of about 3.9 percentage points per year[19])—and improvement is likely to decelerate as sub-groups reach higher levels of achievement—there is a chance that minority proficiency in the state could fall behind annual measurable objectives for many of the years between now and 2013–2014, leading to school, LEA, and statewide sanctions. For instance, even if improvement cools only slightly and proficiency levels for minority populations rise at a rate of 2 percentage points a year instead of 3.9, the state might not meet all of its annual yearly progress goals in any year between now and 2013–2014 (see Figure 2, p. 50).

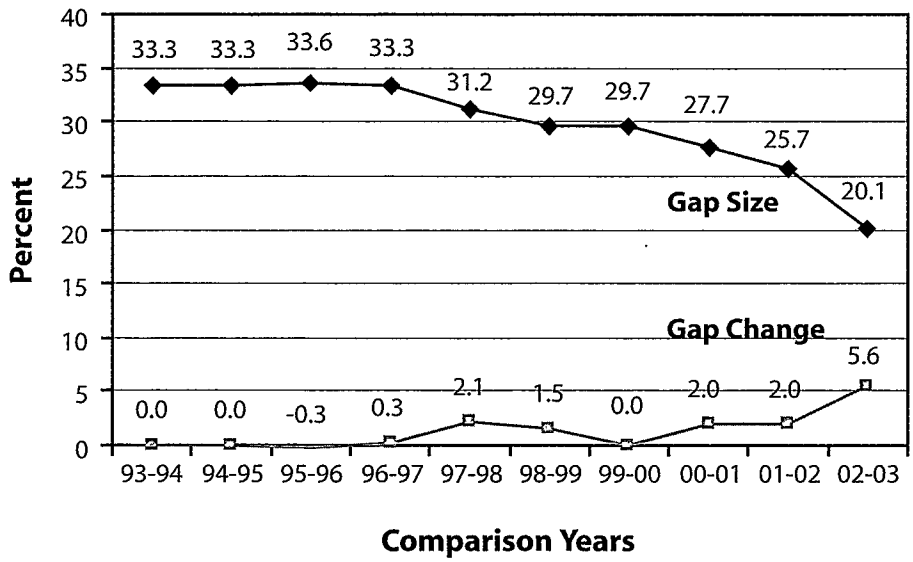
- *Even with recent relaxation of regulations for testing cross-ethnic groups like special needs and limited English proficient students, North Carolina—like most other states—will struggle to find ways to help these particular populations meet the new testing standards.*

The only adequate yearly progress target that Onslow County's Southwest Elementary missed was in reading proficiency for its special needs population, and Superintendent Ronald Singletary says this is a trend district-wide. "What we are primarily seeing in our district is a challenge within the exceptional children band," says Singletary. Adds Gongshu Zhang, statistician for N.C. DPI's Compensatory Education Division, "The biggest student gap is not between [ethnic] groups but within groups" because of factors like limited English proficiency and special needs. For example, the gap between African-American students designated as having special needs or as being disadvantaged and their non-designated peers is around 53 percentage points; the gap between white students in these two groups is 46 percentage points.

Further, in the case of children with special needs, producing grade–level performance on a standardized test may be in conflict with both a student's innate abilities and learning goals as outlined in the federally required individualized education program. As *State Policy Reports* puts it, "Educators are now faced with the choice of working toward the goals outlined in each student's IEP or trying to prepare students for the assessments. For example, a fourth grade special ed student's IEP may call for him to reach a first–grade reading level, while NCLB requires that he be tested at the fourth grade level. Educators must decide which federal mandate takes precedence."[20]

Zhang supports a definition change for adequate yearly progress that is more reflective of the current ABCs expected-growth approach. "We need to consider [a] very important fact for a 12-year marathon. We must ask if each group is 'on the right track'" for proficiency improvement instead of just whether these sub-groups have met the adequate yearly progress bar or not. But as McGrady, Fabrizio, and

Figure 1
Closing the Educational Achievement Gap in North Carolina—1992–2003[a]



[a] Data for Figures 1 and 2 are from the following sources: *Minority Achievement Report 2001: Trends in Subgroup Performance*, North Carolina Department of Public Instruction, August 2001. *http://www.ncpublicschools.org/accountability/reporting/mar/2001/mar2001.pdf*; *The North Carolina State Testing Results ("The Green Book")*, North Carolina Department of Public Instruction, October 2001, *http://www.ncpublicschools.org/Accountability/Testing/reports/green/01PrelimGB.pdf*; *Reports of Supplemental Disaggregated State, School System (LEA) and School Performance Data for 2000-2002*, North Carolina Department of Public Instruction, *http://www.ncpublicschools.org/vol2/rsds2002/index.html*; *Reports of Supplemental Disaggregated State, School System (LEA) and School Performance Data for 2001–2003*, North Carolina Department of Public Instruction, *http://disag.ncpublicschools.org/disag03.html.*

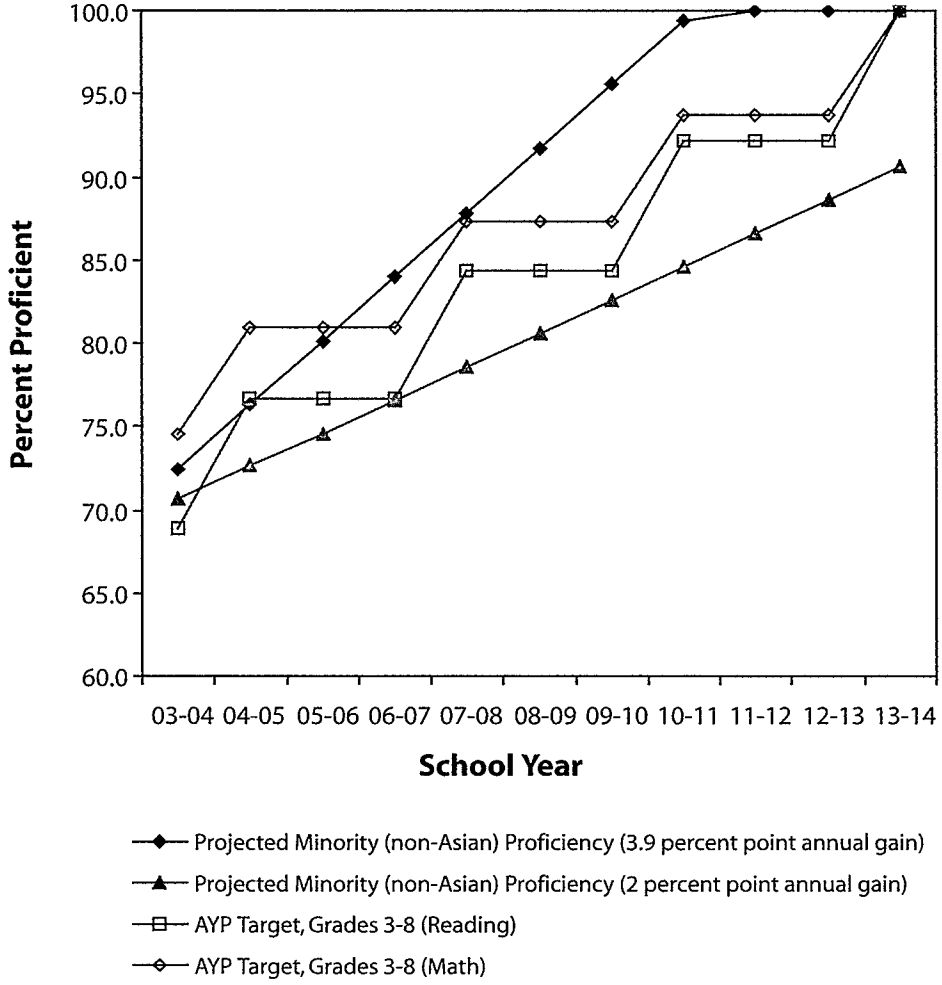
others have intimated, the likelihood of legislative changes of this magnitude in the near future are slim.

- *The ultimate goal of 100 percent proficiency, while politically sound, may not be realistic without significant changes to state standards for proficiency.*

A more far-reaching problem than the issue of achievement for certain sub-populations is the long-term expectation that, starting with students entering 3rd grade during the 2013 school year, *all* cohorts will demonstrate 100 percent proficiency in reading and math every year. It does not take an extensive background in either mathematics or education to deduce that even in the best of scenarios, this rate is very difficult to achieve at the LEA or state level only once, much less consistently.

North Carolina continues to fine tune its current assessment and accountability plan, however, and McGrady points out that the state has learned a lot

Figure 2
Minority Composite Achievement Projections, Grades 3–8, 2003–2014



Note: This figure illustrates the difficulty the state will have in moving minority sub-groups to 100 percent proficiency on state accountability standards by 2013–2014. Even an average gain of 2 percent annually will leave the state short of the target.

from the plans submitted by other states. "When we submitted our definitions, there were [only] a few states that had approved plans," says McGrady. But now, after reviewing the plans of several other states, the state has proposed new strategies to the U.S. Department of Education for determining whether a school meets adequate yearly progress in North Carolina. One of the proposals the Department of Education has accepted is the use of *confidence intervals*—or statistical parameters within which the true proficiency of the student population is likely to lie. Use of a confidence interval is a way of acknowledging that there is likely to be a difference between the proficiency levels of a school's population as indicated by the results of a single test and the actual proportion of students who are proficient. The use of a confidence interval, adds Fabrizio, could play a role in determining whether a school does or does not meet adequate yearly progress. "It is very possible that you could have a situation where 98 percent of the students at a school are proficient and the confidence interval could bump it [to 100 percent]."

For example, if 49 out of 50 students demonstrate proficiency in reading based on the test (a proficiency rate of 98 percent), the calculated confidence interval may indicate that the actual proficiency level of that particular group of students is somewhere within 2 percentage points of the test results, meaning the true proficiency level for the group is between 96 percent and 100 percent. In fact, says Zhang, if the state had used its proposed confidence interval system for 2002–2003, the number of LEAs making adequate yearly progress would have increased from two to 10, and the number of schools meeting AYP would have reached almost 1,300, instead of 1,058.

But using a confidence interval approach for determining adequate yearly progress, demonstrating consistent proficiency levels above 95 percent will always remain a problem in a state with even moderately high standards. Alfie Kohn, longtime standardized testing critic and author of books like *What Does It Mean To Be Well Educated?* and *More Essays on Standards, Grading, and Other Follies*, explains it this way: "The phrase 'high standards' by definition means standards that everyone won't be able to reach."[21] Zhang predicts that states will be faced with one of two choices—either maintain their current definitions of proficiency and accept the inevitable sanctions, or lower state standards until schools and sub-groups are more likely to meet the 100 percent proficiency rate. Adequate yearly progress is, after all, determined based on student performance on a state-administered and state-scored test. Although the second option might be more practical, Zhang notes, any solution that lowers standards is not in the best interest of any student, a sentiment shared by others in Raleigh and across the state. As State Board of Education Chair Howard Lee explains, "[W]e understood going in that we probably would not look as good as some other states, and the reason for that is we simply refused to lower our standards. However, we feel . . . that if we stay with the standards we have and continue to enjoy the growth we enjoy under our ABCs program . . . then in the long run . . . we will continue to be a leader in this whole area of raising standards."

"[W]e feel . . . that if we stay with the standards we have and continue to enjoy the growth we enjoy under our ABCs program . . . then in the long run . . . we will continue to be a leader in this whole area of raising standards."

—**HOWARD LEE**
STATE BOARD OF EDUCATION CHAIR

- *The differences between the state's and No Child Left Behind's assessment and accountability systems have already generated contradictions in state and federal school labeling and will continue to lead to contradictions that may confuse the general public and erode confidence in the public schools.*

The current confusion created by schools that pass one set of standards and fail another is only the first stage of what could be an ongoing communications problem for the state. In 2002–2003, 473 schools earned the state's highest distinction of being "Schools of Excellence" (schools in which 90 percent or more of students' test scores were at or above grade level and the school met growth standards under the ABCs formula), but of those 473, 102 failed to meet adequate yearly progress standards, and 22 of those schools (including Onslow's Southwest Elementary) were Title I schools. Schools that again fail to meet AYP in 2003–2004 are for the first time faced with the possibility of being identified both as Schools of Excellence and as being in School Improvement. Such a scenario will undoubtedly make it much more difficult for

parents to decide whether to leave their children in a school or to demand a transfer.

The possibility of this contradictory labeling may be reduced to some extent if the U.S. Department of Education approves the state's recent requests to only identify schools as being in School Improvement if they fail to meet AYP *in the same subject* for two consecutive years. Even without that concession, the chance of such a labeling snafu seems low. But the fact that there is any chance of such an occurrence at all points to a larger problem that the state must address: differences in the ABCs accountability model and the NCLB model will continue to surface, and with them the possibility of ongoing public confusion. The state will need to find ways to address clearly the public's questions about just how good the state's schools really are.

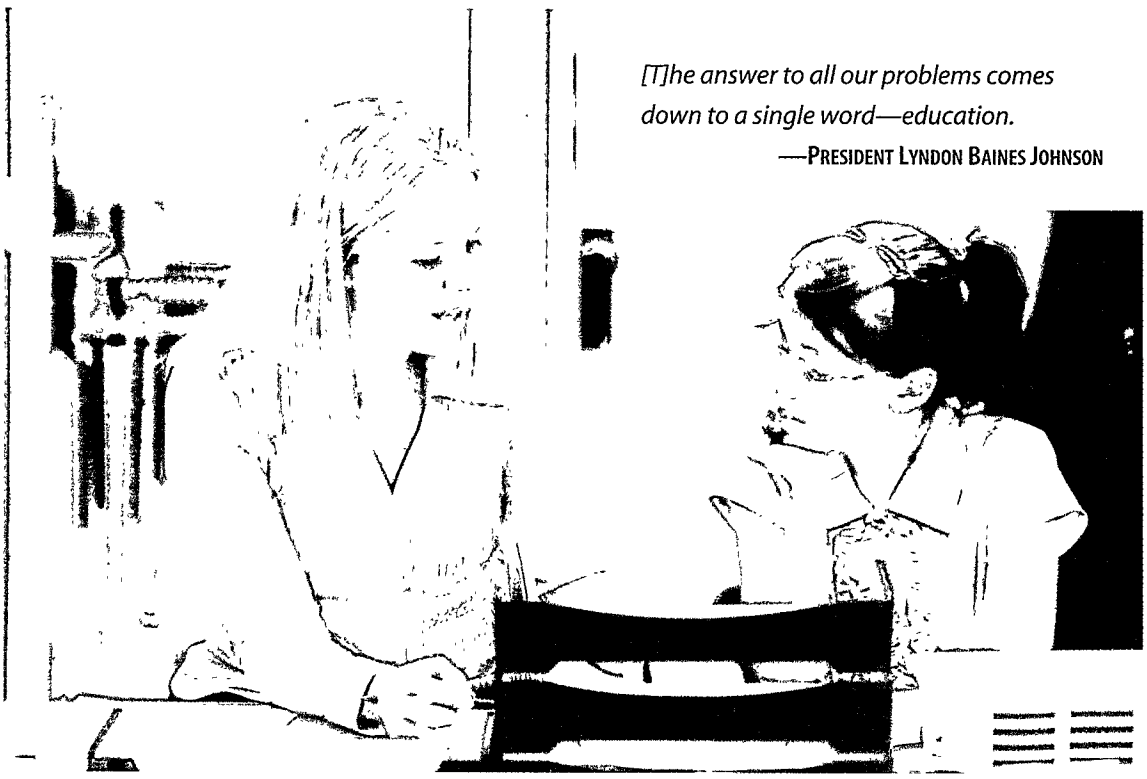
That's particularly important since national polls find the parents of school-age children generally supportive of the law's intent. A January 2004 poll of 699 parents nationwide finds 68 percent support the ideas behind the No Child Left Behind Act, while 46 percent say they think the law is improving instruction in the public schools. However, 34 percent see the law as "punishing schools for failure rather than rewarding them for success," and 25 percent say they believe it is "limiting learning." Parents expressed ambivalence about high-stakes testing necessary to implement the law, with 51 percent supporting and 45 percent opposed. Additionally, 73 percent opposed withholding federal funds from their own child's school if it were failing or otherwise underperforming, compared to only 21 percent who would support such a move."[22] A separate survey funded by the National Education Association found 37 percent believe the law has had a positive impact on the schools, 21 percent see the impact as negative, and 42 percent don't know or say it is too soon to tell.[23]

- *A requirement that all classrooms be staffed by a highly qualified teacher by 2005–2006 will aggravate an already-difficult teacher supply situation, particularly in hard-to-staff subjects such as math, science, and special education in rural areas.*

This standard is one step below the highest certified level in most states, according to the National Conference of State Legislatures.[24] To obtain highly qualified status, teachers must have a bachelor's degree, pass a state proficiency test, and have more than an emergency teaching license. North Carolina educators fear the requirement could aggravate a looming teacher shortage, particularly in rural areas and in difficult-to-staff subjects such as science and math.[25] Among the difficulties are that in some

[T]he answer to all our problems comes down to a single word—education.

—PRESIDENT LYNDON BAINES JOHNSON



Karen Tam

Federal Foray into School Accountability Brings Outcry from the States

The federal government's venture into public school accountability in the form of the No Child Left Behind Act has created a storm in the states as state and local education agencies learn of the magnitude of the act and the expense in implementing it. The bipartisan outcry has come from states from Arizona to Ohio, with some state officials even suggesting foregoing federal Title I monies to get out from under its requirements.

In North Carolina, the response has been more muted, in part because the state already had much of the testing infrastructure in place due to its own accountability program, the 1996–1997 ABCs of Public Education law. The state's congressional delegation voted overwhelmingly in favor of the federal law, with Sen. John Edwards and 10 of the state's then 12 House members voting for it. Former Sen. Jesse Helms and Reps. Walter Jones and Charles Taylor voted no.

Since then, enthusiasm for the new law in North Carolina has waned. Sen. John Edwards, in an unsuccessful bid for the presidency, pronounced his support for the law a mistake.[1] And, in March 2004, the State Board of Education, State Superintendent of Public Instruction Mike Ward, a delegation of 10 North Carolina education groups, and selected N.C. DPI personnel traveled to meet with the state's congressional delegation as well as U.S. Department of Education officials to press for revisions in the law in seven different areas. Among the State Board of Education's concerns were what it referred to as "the all or nothing" nature of the law in holding schools separately accountable for performance of multiple subgroups of students, funding issues, the way the law handles students with disabilities, participation requirements for high-stakes testing, and the requirement that every classroom be staffed by a highly qualified teacher.

But despite the unprecedented trip to Washington to argue for tweaks in the law, the board reiterated its support for the increased federal role in holding the public schools accountable for student performance. "The goals are the right goals," the board stated in prepared materials.[2] "We do not want any child 'left behind' or allowed to accomplish less than he or she could with appropriate guidance and support from highly qualified teachers and administrators. We believe adjustments in the areas we have identified will . . . strengthen the law and ensure its ultimate success and, more importantly, the success of every child in North Carolina's schools."

Meanwhile, Republican President George Bush has criticized Democratic presidential candidate John Kerry for voting for No Child Left Behind and then attacking the law on the campaign trail, though the Kerry campaign staff maintains that most of Kerry's complaints are about funding levels.[3] Bush vows to stand behind the law no matter the complaints of critics. These now include governors of both parties who raised questions and concerns at a February 2004 meeting of the National Governors Association in Washington, D.C.[4] "We're not backing down," Bush declared at a May 2004 appearance at an Arkansas middle school. "I don't care how much pressure they try to put on the process. I'm not changing my mind about high standards and the need for accountability."[5]

—Mike McLaughlin

FOOTNOTES

[1] Erik W. Robelen, "No Child Law Faulted in Democratic Race," *Education Week*, Bethesda, Md., January 14, 2004, p. 1.

[2] "No Child Left Behind: The North Carolina Perspective," State Board of Education, Raleigh, N.C., March 31, 2004, p. 3.

[3] Sean Cavanagh, "Bush Takes on Critics of No Child Left Behind Act." *Education Week*, Bethesda, Md., May 19, 2004, p. 28.

[4] Alan Richard and Erik W. Robelen, "Federal Law Is Questioned by Governors," *Education Week*, Bethesda, Md., March 3, 2004, p. 1.

[5] Cavanagh, note 3 above.

rural areas, teachers are asked to teach multiple subjects, meaning that they would be required to prove proficiency in more than one area. As the North Carolina Center for Public Policy Research learned in its 1982 study, "Teacher Certification: Out of Field Teaching in North Carolina,"[26] the state has a long history of using teachers who are not certified in the field in which they teach, so the proficiency requirement may prove a particular burden. Additionally, schools where students are taught by educators who do not earn the highly qualified designation will likely be required to notify parents in writing, which could further aggravate relations with the public.

- *An increase in the number of sanctioned schools will lead to multiple new expenses without a clear funding source to pay for them, and activities mandated by NCLB are already under-funded at the federal level.*

Educators at all levels appear to be ready to offer help in any way they can to assist schools in their efforts to meet adequate yearly progress targets. For example, Charlene Evans, a math teacher at Plymouth High, notes that there has been no lack of support for the work ahead at Plymouth: "Our principal and school system are willing to do anything to help; [they have been] very supportive. Any time workshops come available for changing curriculum, they encourage us to go. We are already involved in several different programs that should help."

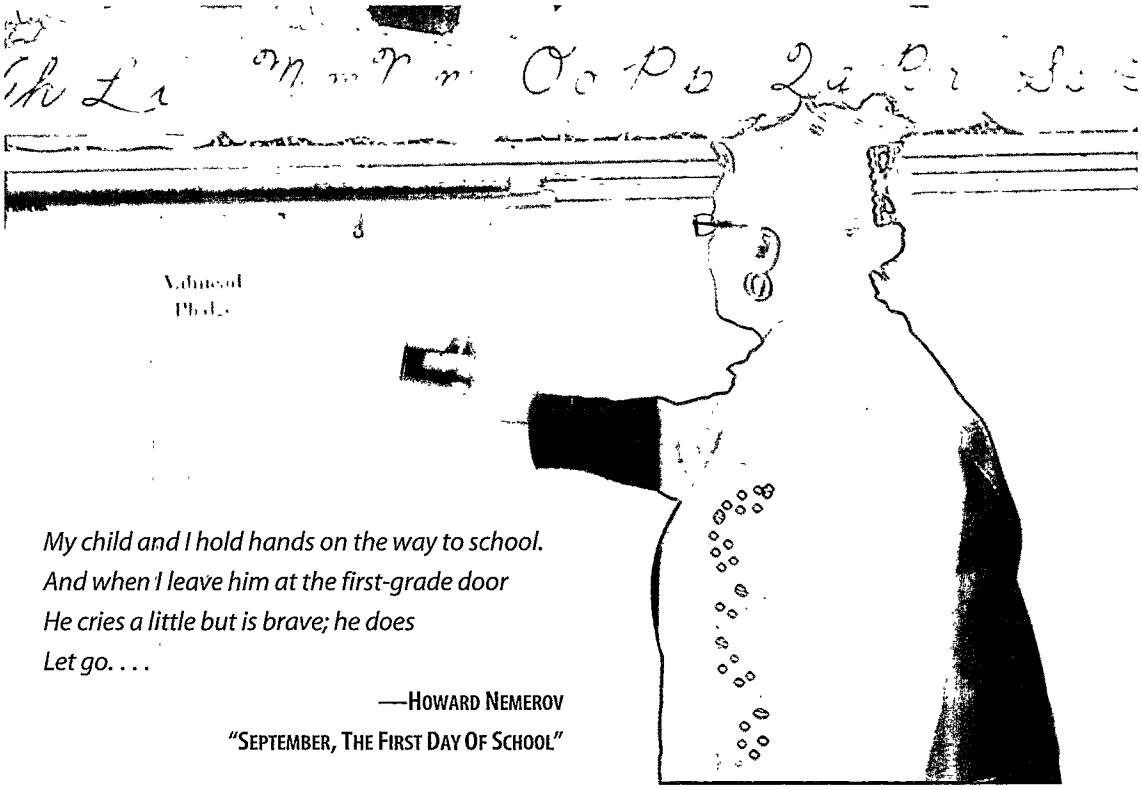
But because of changes made to the sanctions components of the Elementary and Secondary Education Act, the immediate problem of providing support for an increasing number of schools not meeting annual yearly progress very quickly will give way to a longer-term problem of how to pay for the services and actions required by looming sanctions. In addition, even though Title I funding continues to increase annually (fiscal year 2005 allocations are up $1 billion over fiscal year 2004 allocations[27]), the total amounts available have so far fallen well below the funding promised in the legislation,[28] funding that many states argue is necessary to keep pace with all of the new requirements.

Overall, Congress authorized $18.5 billion for Title I No Child Left Behind in the 2004 fiscal year, but only $12.3 billion was actually appropriated. In North Carolina, that meant a difference of about $136.5 million.[29] One part of the legislation earmarks $500 million in additional funding for school improvement, but Congress did not appropriate funding for this section of the law for school year 2002–2003,[30] creating what many at the state level are calling an unfunded mandate. (See "Is the Federal No Child Left Behind Law An Unfunded Mandate on the States?", p. 47.) The end result is that funding to meet NCLB sanction requirements must either come from existing Title I funds or from the states themselves. North Carolina is now required by law to set aside 4 percent of its total Title I grant for school improvement, where before it was only required to set aside 2 percent. And, as noted earlier, local education agencies are also required to provide up to 20 percent of their Title I funding to pay for implementing sanctions. In other words, in order to pay for the sanctions, the state and the LEAs have to use part of their Title I allotment that would otherwise have gone to Title I programs, without any of the promised additional support outlined in the legislation to offset these costs.

How North Carolina will finance this burden—whether through additional funds from the state, the LEAs, or other parties—is still unclear. "I don't get any sense of [who will pay] yet," says Superintendent Singletary of Onslow County. Singletary adds that he is not even sure what the costs will be or how they will be shared. "Somebody's going to have to pay the price," says Singletary. "I don't think we can excuse this away and say the money's there [in Title I], because that just means that [another program] is going to go lacking."

Looking Ahead

Like many of his colleagues, Singletary readily identifies the major disconnect between No Child Left Behind assessment intentions and implementation. "We all support the broad concept of 'we want all kids to learn,'" he says, "but the issue of [declaring that] they can all learn in the same time frame is something you can't legislate." Indeed, the goal of leaving no child behind academically is one that almost everyone—parents, educators, and lawmakers—embraces; but since the passage of NCLB in early 2002, it has become increasingly clear that there is much disagreement about the appropriateness of the federal government's approach to reaching this goal. "This [legislation] is saying you've got to hit it over the fence every time you step up to the plate," says Singletary. Recent legislative action and grumblings in states as disparate politically as Arizona, Hawaii, Maine, Minnesota, New Hampshire, New Mexico, Utah, and Virginia[31] indicate that objections to the law are not isolated to educators and are bipartisan and growing. Even with the best effort, North Carolina—like most other states—will



My child and I hold hands on the way to school.
And when I leave him at the first-grade door
He cries a little but is brave; he does
Let go. . . .

—HOWARD NEMEROV
"SEPTEMBER, THE FIRST DAY OF SCHOOL"

Karen Tam

continue to fall short in at least one of the areas detailed in the federal plan, and not necessarily because of actual shortcomings in the education provided by the state.

As long as the federal government provides a significant level of support for the education of disadvantaged children, North Carolina will strive to make innovative adjustments to its assessment and accountability plan and find funding to support the growing number of schools and LEAs that will face sanctions in the coming years. But as this state and others continue to find flaws in the construction of and funding for the legislation, North Carolina may also need to take the lead in lobbying for necessary and fair changes to the law that will indeed allow no child to be left behind. State education officials are pressing hard for changes in the law that will make it less prescriptive and more workable, and these efforts will continue. Yet, State Board of Education Chair Howard Lee says North Carolina should continue to make a best-faith effort to comply with the legislation. "We can't just sit around and complain about how bad this is. We have to put in the effort." Doing so will increase the state's legitimacy as an agent for change, allowing it to "be more aggressive in advocating for what we think is more realistic."

In the meantime, school officials will have to depend on the state's educators to approach the challenges posed by NCLB in the same way Principal Debbie Bryan and her staff at Onslow County's Southwest Elementary School did after finding out their school had both passed and failed in 2002–2003: "[Our] children have grown by leaps and bounds the last several years. . . . We just have to encourage all of these children [and say to ourselves] 'Here's what we know we did that was good. What can we do now to make it better?'"

FOOTNOTES

[1] Chapter 716 (S.B. 1139) of the 1995 Session Laws (Reg. session, 1996), now codified as N.C.G.S. 115C–105.20 *et seq.*

[2] PL 107–110, The No Child Left Behind Act of 2001, Section 1111(b)(2)(C)(v)(II).

[3] *NC Consolidated State Application: May 1, 2003, Submission*, p. 18. The actual pass rate for Title I schools in 2003 was much higher than projected, with more than 55 percent meeting the new federal standards.

[4] All calculations based on data in Tables 23, 24, and 26 in *North Carolina Public Schools Statistical Profile 2003,* North Carolina Department of Public Instruction, pp. 44–45, 49–51. *http://www.ncpublicschools.org/fbs/stats/statprofile03.pdf.*

[5] *No State Left Behind: The Challenges and Opportunities of ESEA 2001*, Education Commission of the States, March 2002, pp. 15, 20–21. In 2002, Florida and Wisconsin led all states in development of these report cards.

[6] 117 LEAs plus schools administered by the N.C. Department of Health and Human Services and the N.C. Department of Juvenile Justice.

[7] PL 107–110, The No Child Left Behind Act of 2001, Section 1111(b)(2)(C)(v)(II).

[8] Although *adequate yearly progress* is defined by the state, the resultant definitions must comply with regulations in Section 1111(b)(2)(B) of ESEA. Among those regulations are stipulations that OAI measures (other than participation rates, which must be 95 percent for all sub-groups) must increase 0.1 percent annually for a school (not for subgroups) or be equal to or greater than 90 percent. Before going to press, the U.S. Department of Education was considering changes to the mandatory 95 percent participation rate. S. Dillon, "U.S. set to ease some provisions of school law," *New York Times*, March 14, 2004. *http://www.nytimes.com/2004/03/14/education/14CHIL.html).*

[9] NCLB does allow some leeway for schools and LEAs that demonstrate significant growth but do not meet the adequate yearly progress threshold. A school can still meet an AYP goal if the percent of students failing falls by at least 10 percent from the previous year's level.

[10] *No Child Left Behind: Fiscal Issues for the States*, National Conference of State Legislatures, Denver, Colo., p. 7.

[11] The reverse, though much less frequent, is also possible. In 2002–2003, almost 30 schools met federal adequate yearly progress standards, but not state ABCs expected growth standards.

[12] Schools of Excellence under the state ABCs program are schools where more than 90 percent of children's test scores are at grade level or above on end-of-grade tests and where students achieve expected academic growth over the course of the year.

[13] In December 2003, the U.S. Department of Education modified the language regarding special needs student assessment to allow up to 1 percent of all students tested to be measured using alternate achievement (typically below grade-level) standards (68 *Federal Register* 236, December 9, 2003). In February, it ruled that states could waive the reading/language arts content test for limited English proficient (LEP) students during their first year in school, and that states could include students no longer identified as LEP in their LEP calculations for up to two years after they gain English proficiency in order to demonstrate growth among students in that sub-group ("Secretary Paige announces new policies to help English language learners," U.S. Department of Education, February 19, 2004. *http://www.ed.gov/news/pressreleases/2004/02/02192004.html.*

[14] *2003–2004 Title I-Served Schools (by LEA)*, North Carolina Department of Public Instruction, September 15, 2003. *http://www.ncpublicschools.org/nclb/03_leatotals.pdf.*

[15] *Title I School Improvement Schools*, North Carolina Department of Public Instruction. Revised November 24, 2003. *http://www.ncpublicschools.org/nclb/03title1sis.html.*

[16] Public Law 103-382, The Improving America's Schools Act of 1994.

[17] There were 10 total proposed changes, the most significant of which include: use of a confidence interval to determine whether a school meets adequate yearly progress (this approach is discussed later in the article); stipulation that a school must fail to meet adequate yearly progress for two years in a row in the same subject area before entering School Improvement status (currently, a school enters School Improvement status when it fails to meet adequate yearly progress in *any* tested subject for two years in a row, whether that subject is the same in both years); and calculation of participation rates based on two- or three-year averages rather than on participation rates for each year (N.C. Superintendent of Public Instruction Mike Ward, letter to Raymond J. Simon, Assistant Secretary for Elementary and Secondary Education, U.S. Department of Education, April 1, 2004). Nine of 10 changes were approved, including all those mentioned above, according to the N.C. Department of Public Instruction.

[18] One estimate indicates that as many as 15 percent more schools might meet AYP requirements if the new amendments are approved. See Todd Silberman, "N.C. seeks 'No Child' law tweaks so schools will pass," *The News & Observer,* Raleigh, N.C., May 12, 2004, p. 1A.

[19] Figure includes the 2002–2003 gain of 9.9 percent, which, because of its magnitude, may be a unique outlier and not an indication of a trend of greater annual proficiency gains in coming years.

[20] "Making Special Education Count," *State Policy Reports,* Washington, D.C., Vol. 22, No. 5, March 2004, p. 3.

[21] A. Kohn, "Standardized Testing and Its Victims," *Education Week,* September 27, 2000, pp. 60, 46–47.

[22] "Poll of Parents on 'No Child Left Behind," Opinion Research Corporation, Princeton, N.J. Survey of 699 respondents with children in grades K–12 conducted January 22, 2003, through February 1, 2003. Margin of error plus or minus 4 percent.

[23] Poll for the National Education Association by Greenberg Quinlan Rosner Research Inc., Washington, D.C., and the Tarrance Group Inc., Alexandria, Va. Telephone survey of 1005 registered voters conducted January 4–7, 2004. Margin of error plus or minus 3.1 percent. *http://www.nea.org/esea/bipartisanpoll.html.*

[24] Josiah Pettersen, *No Child Left Behind: Fiscal Issues for the States,* National Conference of State Legislatures, Denver, Colo., July 2002, p. 12.

[25] Todd Silberman, "N.C. gets to waive federal teacher rules," *The News & Observer*, Raleigh, N.C., June 7, 2003, p. 1B.

[26] James E. Woolford *et al.*, *Teacher Certification in North Carolina: Out-of-Field Teaching in Grades 7–12*, North Carolina Center for Public Policy Research, Raleigh, N.C., 1982.

[27] *The President's FY 2005 Education Budget: Summary and Analysis*, House Appropriations Committee—Minority Staff, February 13, 2004, p. 3. *http://www.house.gov/appropriations_democrats/report_040213budget.pdf.*

[28] The National Conference of State Legislatures estimates that, since its passage, NCLB has been under-funded by about $27 billion, and it projects an additional $10 billion shortfall for the 2005 fiscal year. D. Steil *et al.*, *Mandate Monitor*, National Conference of State Legislatures, March 10, 2004, p. 5. *http://www.ncsl.org/programs/press/mandatemonitor.pdf.*

[29] *FY 2004 Omnibus Shortchanges America's Children by Underfunding Key Education Priorities: A State-by-State Report,* prepared by the Office of Democratic Leader Nancy Pelosi and the Democratic Staff of the House Appropriations Committee, January 28, 2004, p. 36. *http://www.house.gov/appropriations_democrats/NCBLstatereport.pdf.*

[30] P. McClure, *No Child Left Behind Act: A Description of State Responsibilities*, Council of Chief State School Officers, Division of State Services and Technical Assistance, p. 10. *http://www.ccsso.org/content/pdfs/NCLB2002.pdf.*

[31] See, for example, Greg Toppo, "States fight No Child Left Behind, calling it intrusive," *USA Today*, February 11, 2004. *http://www.usatoday.com/news/education/2004-02-11-no-child-usat_x.htm.*

See *www.abcs.ncpublicschools.org/abcs/* for complete ABCs/No Child Left Behind results for the 2003–2004 school year.

Karen Tam

Democrat-Republican Coalition Members Tops in Effectiveness Rankings

by Sam Watts

Members of the coalition of Democrats and Republicans that elected Co-Speakers of the N.C. House of Representatives top the rankings of the most effective legislators. That's according to the latest legislative effectiveness rankings produced by the N.C. Center for Public Policy Research. The bipartisan power-sharing agreement led to equal numbers of Republicans and Democrats on almost all House committees, a budget enacted on time, a redistricting plan that passed court challenges, and earlier adjournment in July 2003, after previous sessions had lasted until December 2001 and October 2002.

These results helped four Republicans and six Democrats rank in the top 10 in the new effectiveness rankings. Co-Speakers Jim Black (D-Mecklenburg) and Richard Morgan (R-Moore) rank 1st and 2nd in effectiveness, respectively. The other high-ranking Republicans are Harold J. Brubaker (R-Randolph), ranking 5th, Wilma M. Sherrill (R-Buncombe) at 7th, and Daniel (Danny) F. McComas (R-New Hanover) at 9th. The other high-ranking Democrats are William (Bill) T. Culpepper, III (D-Chowan), ranking 3rd, Joe Hackney (D-Orange), 4th, James (Jim) W. Crawford, Jr. (D-Granville), 6th, William (Bill) C. Owens, Jr. (D-Pasquotank), 8th, and Gordon P. Allen (D-Person) at 10th.

"The Center's rankings help citizens understand the way the legislature works," says Ran Coble, the Center's executive director. "This time, the power-sharing agreement between Democrats and Republicans gave legislators in both parties opportunities to shine." Coble says that over the 26-year history of the rankings, there are at least three predictors of a high ranking in effectiveness—being a committee chair, longevity of service, and a legislator's personal skills, such as doing your committee homework or skill in floor debate.

Senator Marc Basnight (D-Dare) maintained his ranking as the most effective Senator, a distinction he has held for all six sessions that he has served as President Pro Tempore of the Senate. Senators Tony Rand (D-Cumberland) and David Hoyle (D-Gaston) are rated as 2nd and 3rd most effective. Basnight chose a more limited power-sharing arrangement, giving one full committee chairmanship and five co-chairmanships to Republicans. The highest ranking Republican in the Senate is Fletcher L. Hartsell, Jr. (R-Cabarrus) at 10th, who chairs the Judiciary II Committee. The second highest-ranked Republican is former Minority Leader Patrick Ballantine (R-New Hanover), who ranks 13th but resigned from the Senate in April to seek the Republican nomination for Governor.

Editor's Note: "From the Center Out" highlights research by the North Carolina Center for Public Policy Research. This article summarizes the Center's latest legislative effectiveness rankings, as well as new rankings of attendance and roll call voting participation by members of the N.C. General Assembly.

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Large Freshmen Class Does Unusually Well in Effectiveness Rankings

Six first-time legislators made the top half of the effectiveness rankings in the 120-member state House of Representatives. They are: Don Munford

(R-Wake), ranked 37th; Deborah K. Ross (D-Wake), ranked 41st; Rick Glazier (D-Cumberland), 44th; Karen B. Ray (R-Iredell), 54th; Lucy T. Allen (D-Franklin), 55th; and Margaret Highsmith Dickson (D-Cumberland) at 58th. These six represent the most first-term legislators in the top half of the House effectiveness rankings since 1995. The two highest-ranked freshmen in the Senate are Richard Y. Stevens (R-Wake), who ranks 25th, and Fred Smith (R-Johnston) at 30th. Stevens' showing is the highest for a freshman Republican in the Senate since the Center began ranking lawmakers in 1978.

"Usually, freshmen lawmakers are told it's best to be seen but not heard," says Coble, the Center's director. "We've seen a few freshmen fare well individually before, but it's unusual to have so many in a freshmen class viewed as effective," says Coble. Coble attributed the strong showing by freshmen to the sheer size of the freshman class, their participation in the power-sharing agreement in the House, and the previous experience of many of the freshmen in local government.

Seventy-six percent, or 25 of the 33 House freshmen, voted for the Co-Speaker arrangement, including nine freshman Republicans. Of the 18 Republicans who voted for the House budget in 2003, eight were freshmen. Over the last 20 years, turnover in the legislature has averaged about a fourth of the House and a fifth of the Senate in each two-year election cycle. This session, however, 30 percent, or 51 of all 170 legislators did not serve in the previous legislative session.

Republicans in Both Chambers Make Biggest Jumps—Forward and Backward

Representatives Julia Craven Howard (R-Davie), Jeffrey (Jeff) L. Barnhart (R-Cabarrus), and N. Leo Daughtry (R-Johnston) experienced the greatest change in their effectiveness rankings in the House. Howard moved up 74 spots from 85th in 2001 to 11th in 2003, and Barnhart moved up 70 spots from 108th to 38th, while Daughtry dropped 74 spots from 11th to 85th. Howard is a key ally of Republican Co-Speaker Morgan, and Barnhart gained a key post as an Appropriations Subcommittee Co-Chair. Daughtry lost the race for House Speaker and also opposed the House power-sharing agreement. The Senator with the largest gain in rankings is Philip E. Berger (R-Rockingham), who moved up 23 spots from 44th in 2001 to 21st in 2003.

Democratic Women Ranked Highest in the Senate, Republican Women Ranked Highest in the House

Senator Linda Garrou (D-Forsyth), who ranks 7th, is the highest-ranked woman in the state Senate and Kay R. Hagan (D-Guilford) is the second highest at 9th. Representative Wilma M. Sherrill (R-Buncombe) is the highest-ranked woman in the House at 7th, while Julia Howard (R-Davie) is second highest at 11th. Garrou, Hagan, and Sherrill all are Appropriations Committee Co-Chairs, while Howard is a Finance Committee Co-Chair.

Leadership Shifts Among African American Lawmakers

In 2001, two African American Senators occupied top 10 spots in the effectiveness rankings for the first time since the Center began ranking legislators in 1978. In 2003–2004, the two highest-ranking African American Senators are Jeanne Hopkins Lucas (D-Durham) who ranks 22nd and Charlie S. Dannelly (D-Mecklenburg) at 23rd.

In the House, the highest-ranked African American is Rep. Thomas Wright (D-New Hanover) at 12th. Wright is Co-Chair of the powerful Appropriations Committee. The second highest-ranking African American in the House is William L. Wainwright (D-Craven), who ranks 19th and chairs the Joint Legislative Black Caucus.

New Attendance and Roll Call Voting Participation Rankings

This marks the second time the Center has tabulated attendance and roll calling voting participation rankings, using official records from the General Assembly. In the state Senate, which met for 109 days last year, perfect attendance records were earned by Senators William (Bill) R. Purcell (D-Scotland) and Albin B. (A.B.) Swindell IV (D-Nash). In the state House, which met for 107 days in 2003, 10 members attended 100 percent of the time. They are: Lorene T. Coates (D-Rowan), Billy J. Creech (R-Johnston), John D. Hall (D-Halifax), Howard J. Hunter, Jr. (D-Hertford), Joe L. Kiser (R-Lincoln), Henry M. (Mickey) Michaux, Jr. (D-Durham), Co-Speaker Richard T. Morgan (R-Moore), William (Bill) C. Owens, Jr. (D-Pasquotank), Wilma M. Sherrill (R-Buncombe), and Paul (Skip) Stam, Jr. (R-Wake). Rep. Owens also garnered a perfect attendance record in the 2001 legislative session.

The Center praised the dedication of most

legislators in attending the session last year. Thirty-five of the 50 members of the Senate and 105 of the 120 members of the House attended more than 90 percent of the days in session.

Three Senators voted in all 1,002 electronically recorded roll call votes last year. They are Senators Andrew C. Brock (R-Davie), William (Bill) R. Purcell (D-Scotland), and Albin B. (A.B.) Swindell IV (D-Nash). Two members of the House participated in all but one of the 1,117 votes electronically recorded in that chamber –Representatives W. Frank Mitchell (R-Iredell) and Bill C. Owens, Jr. (D-Pasquotank).

Center director Ran Coble notes the addition by the Center of rankings of attendance and voting participation for the second time, saying, "The rankings of attendance and voting participation tell citizens and voters how often their legislator was there to represent them. The other set of rankings tell citizens how effective their legislator was when he or she was there. We hope both are helpful to citizens in evaluating the performance of their legislators."

In odd-numbered years, the Center publishes two additional evaluations of legislative performance. *Article II,* the Center's guide to the legisla-

Table 1. Effectiveness Rankings for Top 13 Members of the 2003 N.C. Senate

Name of Senator	Effectiveness Ranking in: 2003	Previous Effectiveness Rankings (where applicable) 2001	1999	1997	1995	1993	1991	1989	1987	1985	1983
Basnight, Marc (D-Dare)	1	1	1	1	1	1	2	4	16	34	NA
Rand, Anthony (Tony) (D-Cumberland)	2	2	2	3	2	NA	NA	NA	3	3 (tie)	13
Hoyle, David W. (D-Gaston)	3	3	4	6	9	36	NA	NA	NA	NA	NA
Clodfelter, Daniel (Dan) G. (D-Mecklenburg)	4	11	19	NA	NA	NA	NA	NA	NA	NA	NA
Kerr, John H., III (D-Wayne)	5	6	7	9	10	15	16*	24*	62*	NA	NA
Dalton, Walter H. (D-Rutherford)	6	9	12	30	NA	NA	NA	NA	NA	NA	NA
Garrou, Linda (D-Forsyth)	7	25	35	NA	NA	NA	NA	NA	NA	NA	NA
Soles, R.C., Jr. (D-Columbus)	8	10	10	10	12	14	7	11	10	10	17
Hagan, Kay R. (D-Guilford)	9	20	32	NA	NA	NA	NA	NA	NA	NA	NA
Hartsell, Fletcher L., Jr. (R-Cabarrus)	10	19	14	17	20	43	46	NA	NA	NA	NA
Gulley, Wib (D-Durham)	11	15	17	15	17	41	NA	NA	NA	NA	NA
Purcell, William (Bill) R. (D-Scotland)	12	16	20	NA	NA	NA	NA	NA	NA	NA	NA
Ballantine, Patrick J. (R-New Hanover)	13	17	24	25	35	NA	NA	NA	NA	NA	NA

* Indicates effectiveness ranking while in the N.C. House of Representatives.

Source: N.C. Center for Public Policy Research.

Table 2. Effectiveness Rankings for Top 15 Members of the 2003 N.C. House of Representatives

Name of Representative	Effectiveness Ranking in: 2003	Previous Effectiveness Rankings (where applicable) 2001	1999	1997	1995	1993	1991	1989	1987	1985	1983
Black, James (Jim) B. (D-Mecklenburg)	1	1	1	10	14	14	65(tie)	NA	NA	NA	55
Morgan, Richard T. (R-Moore)	2	35	13	1	3	84	96	NA	NA	NA	NA
Culpepper, William (Bill) T., III (D-Chowan)	3	3	3	40	44	NA	NA	NA	NA	NA	NA
Hackney, Joe (D-Orange)	4	5	4	8	16	4	5	9	7	10	15
Brubaker, Harold J. (R-Randolph)	5	41	33	3	1	31	37	35	50	39(tie)	56(tie)
Crawford, James (Jim) W., Jr. (D-Granville)	6	30	26	50	43	NA	24	22	36	33(tie)	85(tie)
Sherrill, Wilma M. (R-Buncombe)	7	45	67	39	57	NA	NA	NA	NA	NA	NA
Owens, William (Bill) C., Jr. (D-Pasquotank)	8	12	12	48	71	NA	NA	NA	NA	NA	NA
McComas, Daniel (Danny) F. (R-New Hanover)	9	53	45	23	77	NA	NA	NA	NA	NA	NA
Allen, Gordon P. (D-Person)	10	7	16	NA	NA	NA	NA	NA	NA	NA	NA
Howard, Julia Craven (R-Davie)	11	85	74	17	18	87	99	106	NA	NA	NA
Wright, Thomas E. (D-New Hanover)	12	8	10	58	83	66	NA	NA	NA	NA	NA
Nye, Edd (D-Bladen)	13	19	28	60	56	29	29	48(tie)	32	56	NA
Miner, David M. (R-Wake)	14	64	68	35	60	105	NA	NA	NA	NA	NA
Kiser, Joe L. (R-Lincoln)	15	66	76	45	92	NA	NA	NA	NA	NA	NA

Source: N.C. Center for Public Policy Research.

ture, includes data on how many bills each legislator got passed out of the total he or she introduced. The guide also includes all members' votes on what legislators said were the 12 most important bills of the session. The Center now publishes four different legislative performance measures—effectiveness, attendance, voting participation, and success in getting bills passed—as well as votes on what legislators said were the most significant bills in the last session.

How the Effectiveness Rankings Are Done

The Center's effectiveness rankings are based on surveys completed by the legislators themselves, by registered lobbyists who are based in North Carolina and who regularly work in the General Assembly, and by capital news reporters. These three groups were asked to rate each legislator's effectiveness on the basis of participation in

committee work, skill at guiding bills through committees and in floor debates, and general knowledge or expertise in special fields. The respondents also were asked to consider the respect legislators command from their peers, the political power they hold (by virtue of office, longevity, or personal skills), their ability to sway the opinions of fellow legislators, and their aptitude for the overall legislative process.

This year's rankings make the fourteenth time the Center has undertaken this comprehensive survey. The first edition in 1978 evaluated the performance of the 1977–78 General Assembly. The response rate to the survey continues to be very high. Ninety-two of the 120 House members (77 percent) responded to the Center's survey, as did 37 of the 50 Senators (74 percent), 145 of 366 registered lobbyists who regularly work in the legislature and who are based in North Carolina (40 percent), and eight of 21 capital news correspondents (38 percent). The overall rate of response was 51 percent, which is well above accepted standards of statistical validity.

National Praise for the Center's Rankings

Several states—including North Carolina, Arkansas, California, Texas, Washington, and Florida—rank the effectiveness of their legislators using different methods. California ranks legislators in terms of effectiveness, integrity, energy, and intelligence. "It is hard to deny that the ratings, when done responsibly, serve a legitimate public purpose," says a report about state legislative rankings in *Governing* magazine, published by Congressional Quarterly, Inc. "The ratings issued by the North Carolina Center for Public Policy Research are perhaps the most straightforward and most widely respected."

Another independent review of state rankings reached the same conclusion. "Most attempts at reputational rankings of state legislators don't deserve much credibility because of three problems: (1) no precise definition of who is being polled, (2) a low response rate among those polled because legislators and lobbyists don't want to risk getting

Table 3. 2003 Legislative Session Attendance Rankings for Top 9 Members of the 2003 N.C. Senate

Senator	Legislative Days	Days Fully Absent	Days Partially Absent	Total Days with Absences	Legislative Days Present	Percent of Days Present	Attendance Rank
Purcell, William (Bill) R. (D-Scotland)	109	0	0	0	109	100.00%	1 (tie)
Swindell, Albin B. (A.B.), IV (D-Nash)	109	0	0	0	109	100.00%	1 (tie)
Brock, Andrew C. (R-Davie)	109	1	0	1	108	99.08%	3 (tie)
Dannelly, Charlie S. (D-Mecklenburg)	109	0	1	1	108	99.08%	3 (tie)
Rand, Anthony (Tony) (D-Cumberland)	109	0	1	1	108	99.08%	3 (tie)
Shubert, Fern Haywood (R-Union)	109	1	0	1	108	99.08%	3 (tie)
Soles, R.C., Jr. (D-Columbus)	109	1	1	2	107	98.17%	7 (tie)
Thomas, Scott (D-Craven)	109	1	1	2	107	98.17%	7 (tie)
Webster, Hugh (R-Alamance)	109	2	0	2	107	98.17%	7 (tie)

Source: N.C. Center for Public Policy Research.

Table 4. 2003 Legislative Session Attendance Rankings for Top 10 Members of the N.C. House of Representatives

Representative	Legislative Days	Days Fully Absent	Days Partially Absent	Total Days with Absences	Legislative Days Present	Percent of Days Present	Attendance Rank
Coates, Lorene T. (D-Rowan)	107	0	0	0	107	100.00%	1 (tie)
Creech, Billy J. (R-Johnston)	107	0	0	0	107	100.00%	1 (tie)
Hall, John D. (D-Halifax)	107	0	0	0	107	100.00%	1 (tie)
Hunter, Howard J., Jr. (D-Hertford)	107	0	0	0	107	100.00%	1 (tie)
Kiser, Joe L. (R-Lincoln)	107	0	0	0	107	100.00%	1 (tie)
Michaux, Henry M. (Mickey), Jr. (D-Durham)	107	0	0	0	107	100.00%	1 (tie)
Morgan, Richard T. (R-Moore)	107	0	0	0	107	100.00%	1 (tie)
Owens, William (Bill) C., Jr. (D-Pasquotank)	107	0	0	0	107	100.00%	1 (tie)
Sherrill, Wilma M. (R-Buncombe)	107	0	0	0	107	100.00%	1 (tie)
Stam, Paul (Skip), Jr. (R-Wake)	107	0	0	0	107	100.00%	1 (tie)

Source: N.C. Center for Public Policy Research.

caught making statements suggesting people they work with are ineffective, or (3) definitions of effectiveness that equate effectiveness with helping to enact an interest group's agenda," said *State Policy Reports*. "Over the years, *Reports* has seen many of these . . . that fail one or another of these tests. The exception is the rankings that have been done since 1978 by the North Carolina Center."

The effectiveness, attendance, and voting participation rankings are published as a supplement to *Article II: A Guide to the 2003–2004 N.C. Legislature*, which was released in 2003. The Center's legislative guidebook profiles each member of the General Assembly and includes the following biographical and voting information:

- occupation and education;
- business and home addresses:
- telephone and fax numbers;
- room number, phone number, and e-mail address at the legislature;
- party affiliation, district number, and counties represented;
- number of terms served;
- committee assignments;
- the number of bills sponsored and enacted into law in the 2001–2002 session;
- individual votes on 12 of the most important bills in the 2001–2002 session; and
- past effectiveness rankings (1981–2001).

The new effectiveness rankings are available from the Center for $10. A set of publications including *Article II: A Guide to the 2003–2004 N.C. Legislature* ($25), the effectiveness rankings ($10), and rankings of the most influential lobbyists ($10, to be released later this summer) is available for $35. To order, write the Center at P.O. Box 430, Raleigh, NC 27602, call (919) 832-2839, fax (919) 832-2847, or order by email from *tbromley@nccppr.org*.

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