KENTUCKY ESEA FLEXIBILITY REQUEST
REVISED SUBMISSION WITH AMENDMENTS TO PRINCIPLES 1, 2 AND 3
AUGUST 14, 2014

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COVER SHEET FOR ESEA FLEXIBILITY REQUEST

Legal Name of Requester: Kentucky Department of Education	Requester's Mailing Address: 500 Mero Street, 1st Floor, Capital Plaza Tower, Frankfort, KY 40601
State Contact for the ESEA Flexibility Request: Name: Mary Ann Miller Position and Office: Policy Advisor, Office of the Commissioner Contact's Mailing Address: Kentucky Department of Education, 500 Mero Street, 1st Floor, Capital Plaza Tower, Frankfort, KY 40601 Telephone: (502) 564-3141, Extension 4840 Fax: (502) 564- 5680 Email address: maryann.miller@education.ky.gov	
Chief State School Officer (Printed Name): Terry Holliday	Telephone: (502) 564-3141
Signature of the Chief State School Officer: X_____	Date: August 14, 2014
The State, through its authorized representative, agrees to meet all principles of the ESEA Flexibility.	

WAIVERS

By submitting this flexibility request, the SEA requests flexibility through waivers of the ten ESEA requirements listed below and their associated regulatory, administrative, and reporting requirements by checking each of the boxes below. The provisions below represent the general areas of flexibility requested; a chart appended to the document titled *ESEA Flexibility Frequently Asked Questions* enumerates each specific provision of which the SEA requests a waiver, which the SEA incorporates into its request by reference.

☒ 1. The requirements in ESEA section 1111(b)(2)(E)-(H) that prescribe how an SEA must establish annual measurable objectives (AMOs) for determining adequate yearly progress (AYP) to ensure that all students meet or exceed the State's proficient level of academic achievement on the State's assessments in reading/language arts and mathematics no later than the end of the 2013–2014 school year. The SEA requests this waiver to develop new ambitious but achievable AMOs in reading/language arts and mathematics in order to provide meaningful goals that are used to guide support and improvement efforts for the State, LEAs, schools, and student subgroups.

☒ 2. The requirements in ESEA section 1116(b) for an LEA to identify for improvement, corrective action, or restructuring, as appropriate, a Title I school that fails, for two consecutive years or more, to make AYP, and for a school so identified and its LEA to take certain improvement actions. The SEA requests this waiver so that an LEA and its Title I schools need not comply with these requirements.

☒ 3. The requirements in ESEA section 1116(c) for an SEA to identify for improvement or corrective action, as appropriate, an LEA that, for two consecutive years or more, fails to make AYP, and for an LEA so identified and its SEA to take certain improvement actions. The SEA requests this waiver so that it need not comply with these requirements with respect to its LEAs.

☒ 4. The requirements in ESEA sections 6213(b) and 6224(e) that limit participation in, and use of funds under the Small, Rural School Achievement (SRSA) and Rural and Low-Income School (RLIS) programs based on whether an LEA has made AYP and is complying with the requirements in ESEA section 1116. The SEA requests this waiver so that an LEA that receives SRSA or RLIS funds may use those funds for any authorized purpose regardless of whether the LEA makes AYP.

☒ 5. The requirement in ESEA section 1114(a)(1) that a school have a poverty percentage of 40 percent or more in order to operate a school-wide program. The SEA requests this waiver so that an LEA may implement interventions consistent with the turnaround principles or interventions that are based on the needs of the students in the school and designed to enhance the entire educational program in a school in any of its priority and focus schools, as appropriate, even if those schools do not have a poverty percentage of 40 percent or more.

☒ 6. The requirement in ESEA section 1003(a) for an SEA to distribute funds reserved under that section only to LEAs with schools identified for improvement, corrective action, or restructuring. The SEA requests this waiver so that it may allocate section 1003(a) funds to its LEAs in order to serve any of the State's priority and focus schools.

☒ 7. The provision in ESEA section 1117(c)(2)(A) that authorizes an SEA to reserve Title I, Part A funds to reward a Title I school that (1) significantly closed the achievement gap between subgroups in the school; or (2) has exceeded AYP for two or more consecutive years. The SEA requests this waiver so that it may use funds reserved under ESEA section 1117(c)(2)(A) for any of the State's reward schools.

☒ 8. The requirements in ESEA section 2141(a), (b), and (c) for an LEA and SEA to comply with certain requirements for improvement plans regarding highly qualified teachers. The SEA requests this waiver to allow the SEA and its LEAs to focus on developing and implementing more meaningful evaluation and support systems.

☒ 9. The limitations in ESEA section 6123 that limit the amount of funds an SEA or LEA may transfer from certain ESEA programs to other ESEA programs. The SEA requests this waiver so that it and its LEAs may transfer up to 100 percent of the funds it receives under the authorized programs among those programs and into Title I, Part A.

☒ 10. The requirements in ESEA section 1003(g)(4) and the definition of a Tier I school in Section I.A.3 of the School Improvement Grants (SIG) final requirements. The SEA requests this waiver so that it may award SIG funds to an LEA to implement one of the four SIG models in any of the State's priority schools.

Optional Flexibility:

An SEA should check the box below only if it chooses to request a waiver of the following requirements:

☒ The requirements in ESEA sections 4201(b)(1)(A) and 4204(b)(2)(A) that restrict the activities provided by a community learning center under the Twenty-First Century Community Learning Centers (21st CCLC) program to activities provided only during non-school hours or periods when school is not in session (*i.e.*, before and after school or during summer recess). The SEA requests this waiver so that 21st CCLC funds may be used to support expanded learning time during the school day in addition to activities during non-school hours or periods when school is not in session.

ASSURANCES

By submitting this application, the SEA assures that:

☒ 1. It requests waivers of the above-referenced requirements based on its agreement to meet Principles 1 through 4 of the flexibility, as described throughout the remainder of this request.

☒ 2. It will adopt English language proficiency (ELP) standards that correspond to the State's college- and career-ready standards, consistent with the requirement in ESEA section 3113(b)(2), and that reflect the academic language skills necessary to access and meet the new college- and career-ready standards, no later than the 2013–2014 school year. (Principle 1)

☒ 3. It will develop and administer no later than the 2014–2015 school year alternate assessments based on grade-level academic achievement standards or alternate assessments based on alternate academic achievement standards for students with the most significant cognitive disabilities that are consistent with 34 C.F.R. § 200.6(a)(2) and are aligned with the State's college- and career-ready standards. (Principle 1)

☒ 4. It will develop and administer ELP assessments aligned with the State's ELP standards, consistent with the requirements in ESEA sections 1111(b)(7), 3113(b)(2), and 3122(a)(3)(A)(ii). (Principle 1)

☒ 5. It will report annually to the public on college-going and college credit-accumulation rates for all students and subgroups of students in each LEA and each public high school in the State. (Principle 1)

☒ 6. If the SEA includes student achievement on assessments in addition to reading/language arts and mathematics in its differentiated recognition, accountability, and support system and uses achievement on those assessments to identify priority and focus schools, it has technical documentation, which can be made available to the Department upon request, demonstrating that the assessments are administered statewide; include all students, including by providing appropriate accommodations for English Learners and students with disabilities, as well as alternate assessments based on grade-level academic achievement standards or alternate assessments based on alternate academic achievement standards for students with the most significant cognitive disabilities, consistent with 34 C.F.R. § 200.6(a)(2); and are valid and reliable for use in the SEA's differentiated recognition, accountability, and support system. (Principle 2)

☒ 7. It will report to the public its lists of reward schools, priority schools, and focus schools at the time the SEA is approved to implement the flexibility, and annually thereafter, it will publicly recognize its reward schools. (Principle 2)

☒ 8. Prior to submitting this request, it provided student growth data on their current students and the students they taught in the previous year to, at a minimum, teachers of reading/language arts and mathematics in grades in which the State administers assessments in those subjects in a manner that is timely and informs instructional programs, or it will do so no later the deadline required under the State Fiscal Stabilization Fund. (Principle 3)

☒ 9. It will evaluate and, based on that evaluation, revise its own administrative requirements to reduce duplication and unnecessary burden on LEAs and schools. (Principle 4)

☒ 10. It has consulted with its Committee of Practitioners regarding the information set forth in its request.

☒ 11. Prior to submitting this request, it provided all LEAs with notice and a reasonable opportunity to comment on the request and has attached a copy of that notice (Attachment 1) as well as copies of any comments it received from LEAs (Attachment 2).

☒ 12. Prior to submitting this request, it provided notice and information regarding the request to the public in the manner in which the State customarily provides such notice and information to the public (*e.g.*, by publishing a notice in the newspaper; by posting information on its website) and has attached a copy of, or link to, that notice (Attachment 3).

☒ 13. It will provide to the Department, in a timely manner, all required reports, data, and evidence regarding its progress in implementing the plans contained throughout this request.

If the SEA selects Option A or B in section 3.A of its request, indicating that it has not yet developed and adopted all guidelines for teacher and principal evaluation and support systems, it must also assure that:

☒ 14. It will submit to the Department for peer review and approval a copy of the guidelines that it will adopt by the end of the 2011–2012 school year. (Principle 3)

CONSULTATION

An SEA must meaningfully engage and solicit input from diverse stakeholders and communities in the development of its request. To demonstrate that an SEA has done so, the SEA must provide an assurance that it has consulted with the State's Committee of Practitioners regarding the information set forth in the request and provide the following:

1. A description of how the SEA meaningfully engaged and solicited input on its request from teachers and their representatives.

Guidance Question: Did the SEA meaningfully engage and solicit input on its request from teachers and their representatives?

Consultation for Kentucky's Original Waiver Request

Kentucky's Senate Bill 1 (SB 1), passed in the 2009 session of the General Assembly, mandated that a new assessment and accountability system be developed and implemented for the 2011-12 school year. This piece of legislation, which passed without opposition, was the result of months of collaboration between legislators, educators, state officials, partners and constituents. The Kentucky Department of Education (KDE) began communicating about its plans and work for this new system within weeks after the bill was signed into law. The following is a summary of the wide-ranging communication efforts on Kentucky's new assessment and accountability system, Unbridled Learning, College- and Career-Ready for All, which clearly illustrates that teachers and their representatives were consulted as the new system was developed.

In May 2009, the Kentucky Board of Education had its first public discussions of the required new system. Throughout the summer of 2009, the board worked to revise state regulations related to assessment and accountability, and as part of that process, gathered input from teachers through public hearings, face-to-face communications, e-mail and other methods. Updates also were provided to the agency's advisory groups, specifically the **Teachers Advisory Council**, the membership of which is comprised of a diverse group from school districts across the state.

Another group consulted during this process was the **School Curriculum, Assessment and Accountability Council (SCAAC),** a statutorily required advisory group, which includes **teacher representatives** in its membership. The **Kentucky Education Association** also provided input on a regular basis, and a representative of that association attends each Kentucky Board of Education meeting. Additionally, the state's National Technical Advisory Panel on Assessment and Accountability (NTAPAA), a panel of psychometric experts, regularly provided advice as the model was developed.

In December 2010, the Kentucky Board of Education adopted a document entitled *Goals and Guiding Principles for Accountability in Kentucky's Public Education System*. This document provided an overview of the next generation of assessment and accountability, serving as a foundation piece on which decisions were to be made regarding the new public school

accountability model required by SB 1. The *Goals and Guiding Principles* document appears as Attachment 13 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45 .

The first version of a proposed school/district accountability model was developed in December 2010 and shared with the Kentucky Board of Education, partners, teachers, administrators and the general public in the form of a white paper. **From its inception to the present, the white paper describing the model has undergone multiple revisions and thus represents all of the changes that have been made to the model due to extensive input from teachers, principals, superintendents, advisory councils, legislators, partners, education advocacy groups and the public.** The model is based on the Council of Chief State School Officers' (CCSSO) guiding principles for next-generation accountability systems as follows:

- alignment of performance goals to college- and career-ready standards
- annual determinations for each school and district
- focus on student outcomes
- continued commitment to disaggregation
- reporting of timely, actionable and accessible data
- deeper diagnostic reviews
- building school and district capacity
- targeting the lowest-performing schools
- innovation, evaluation and continuous improvement

The most recent version of the white paper describing Kentucky's accountability model, titled "Unbridled Learning Accountability Model," appears as Attachment 14 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45 .

KDE also worked closely with the Council on Postsecondary Education (CPE), which represents and oversees the state's college and university system, and the Education Professional Standards Board (EPSB), which oversees educator certification. Since Senate Bill 1 mandates specific deliverables and actions from all three agencies, and because of Kentucky's heightened focus on college/career readiness and teacher preparation, the collaboration between KDE, CPE and EPSB is a natural fit.

In November 2009, the U.S. Department of Education announced guidelines for the federal Race to the Top competition. Kentucky immediately began work on its application for those funds, using the work related to SB 1 and the proposed accountability model as the core. KDE's Race to the Top application process included securing signatures from local school board chairs, superintendents and **teacher organizations** to support the state's application. Signatures were received from all 174 school districts and included **representatives of the Kentucky Education Association and local teachers' unions**. Also, KDE initiated a **survey of teachers and administrators** in October 2009 to get their input on the state's vision and plans for public

education specific to the Race to the Top application.

Kentucky Education Commissioner Terry Holliday appointed a **teacher effectiveness steering committee** to follow up from the state's Race to the Top application. This group was comprised of **teachers, principals, superintendents and other key stakeholders**, and its efforts led directly to the Teacher and Principal Effectiveness Frameworks with multiple measures that comprise Kentucky's Professional Growth and Effectiveness System.

The Race to the Top application also formed the core of the agency's Unbridled Learning initiative, which serves as an umbrella for the next generation of teaching, learning, assessment and accountability. KDE's strategic planning process became focused on the deliverables in SB 1 and the Race to the Top application, with the ultimate goals of college/career readiness for all students and improving the quality of leadership, instruction and student learning.

In the fall of 2009 and winter of 2009-10, KDE convened **workgroups of teachers** across the state to review the draft standards, provide feedback and suggest improvements. The groups also compared the state's current academic standards to the new Common Core Standards to help in the development of "crosswalks" between the two sets of standards. Kentucky's adoption of the Common Core Academic Standards, known as the Kentucky Core Academic Standards, in February 2010 began a process in which teachers were heavily involved in the design and implementation of curriculum and training materials. Since SB 1 also mandated new academic standards, and the new assessment and accountability system is directly tied to those standards, teachers' input was crucial in this work.

Professional learning communities (PLCs), **groups of practitioners** that meet and continuously connect regarding specific areas of education practice, were and continue to be a key component in Kentucky's standards, assessment and accountability work. The PLCs provide a means by which teachers, administrators and other professionals come together to learn, share, critique and process new information within a supportive, district/school-created community.

The state's regional **Leadership Networks** (http://education.ky.gov/curriculum/docs/Pages/KLN.aspx) also played and continue to play a key role in the work around standards, assessment and accountability. These networks are intended to build the capacity of each school district as they implement Kentucky's new Core Academic Standards, develop assessment literacy among all teachers and work toward ensuring that every student is college- and career-ready.

For a complete listing of how teachers and their representatives, as well as other education constituents, were involved in the initial development of Kentucky's assessment and accountability system and waiver request, go to Attachment 15 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45 **.**

From its inception in December 2010, the proposed accountability model was revised based on feedback from teachers individually and as members of groups such as the School Curriculum,

Assessment and Accountability Council and the Leadership Networks. **Specific changes suggested by teachers occurred to the subject-area tests, end-of-course exams, Program Reviews and teacher/leader effectiveness portions of the model.**

The Teacher and Principal Effectiveness Steering Committees, whose members include teachers, college and university representatives, parents, principals and superintendents from volunteer districts and also represent the Kentucky Association of School Administrators (KASA), Kentucky School Boards Association (KSBA), Kentucky Education Association (KEA), Jefferson County Teachers Association (JCTA), Council on Postsecondary Education (CPE) and Education Professional Standards Board (EPSB), were convened and met throughout 2011 to design the teacher/leader evaluation system. **These groups identified the characteristics of good teaching and leadership practice, and their work is ongoing in order to determine the final details of the teacher/leader evaluation system.**

The draft waiver request and the Appendix, with information on how to provide input, were posted in the Unbridled Learning section of the Kentucky Department of Education website on October 28, 2011. The availability of the documents for review was communicated via e-mail and news release to the **State Committee of Practitioners, superintendents, local boards of education, principals, teachers, school staff, parents, legislators, education partners and the general public**.

Documentation of the official notice of the initial waiver request and opportunity to comment on it to LEAs can be found in Attachment 1 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45. Comments received from educators and others can be found in Attachment 2 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45. Notice of the waiver request and the opportunity to comment for the public can be found in Attachment 3 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45.

Consultation of Teachers and Their Representatives for the One-Year Waiver Extension Request

In November and December of 2013, Kentucky began the discussion with educators and others on whether support existed for continuation of its ESEA waiver. Commissioner of Education Terry Holliday directed Kentucky Department of Education staff to prepare a white paper titled "Kentucky Department of Education's ESEA Waiver White Paper: What Is the ESEA Waiver and Why Is It Important to Kentucky?" found at http://education.ky.gov/CommOfEd/fri/Documents/Kentucky%20ESEA%20waiver%20white%20paper%20final.pdf and distributed it widely via e-mail to teachers, principals, superintendents, the State Committee of Practitioners, education partners, and education advocacy groups. The e-

mails to the various groups can be found at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=Sw2a0QXtxD2G9nKM%2bgkCowBjPG4q1BUXgfFY7MmG%2fR4%3d&docid=017a6d511362c4c0f8bd407a680bb6ba8 and the responses to these e-mails can be found at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ZgpeQD3jZ4rBO0tGWVrpA12c0ItUTNxvylZUb5Usz2Y%3d&docid=085a4e9217b9f4c66a12c7f4146828826.

Additionally, the commissioner directed that the white paper be a topic of discussion at upcoming meetings of various commissioner's advisory committees representing teachers, principals, superintendents, education partners, and education advocacy groups. The advisory groups that discussed the white paper included the following (links to their agendas also appear below):

- School Curriculum, Assessment and Accountability Council (administrators, teachers, parents, school board members, assessment coordinators and university professors) – November 12, 2013 agenda at http://education.ky.gov/CommOfEd/adv/Pages/School-Curriculum%2c-Assessment-and-Accountability-Council-.aspx
- Superintendents Advisory Council (local district superintendents) – November 12, 2013 agenda at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=tVyzWDxV7yRGbK47R9Hn%2frnaDhuwAgOhYcqg4s5abr0%3d&docid=071f838c7ac9f478aacdecbc698467eb9
- Career and Technical Education Advisory Committee (legislators, business and industry representatives, career and technical school representatives, local district educators) – November 13, 2013 agenda at http://education.ky.gov/CommOfEd/adv/Pages/Career-and-Technical-Education-%28CTE%29-Advisory-Committee.aspx
- Unbridled Learning Guiding Coalition (teachers, administrators, education partners, parents, higher education, teacher organizations, business, and the Legislative Research Commission) – November 19, 2013 agenda at http://education.ky.gov/CommOfEd/adv/Pages/Unbridled-Learning-Guiding-Coalition.aspx
- State Advisory Panel for Exceptional Children (parents, teachers, higher education representatives, state and local education officials, nonpublic school representatives and representatives from other state agencies) – November 24-26, 2013 agenda at http://education.ky.gov/CommOfEd/adv/Pages/State-Advisory-Panel-on-Exceptional-Children-%28SAPEC%29.aspx

Overwhelmingly, the feedback received from the outreach efforts cited above indicated support for continuing the flexibility granted to Kentucky through its ESEA waiver. Thus, the Kentucky Department of Education (KDE) on February 18, 2014 notified the United States Department of Education (USED) via e-mail of its intent to apply for the waiver extension.

Once the waiver extension application was prepared by KDE, the draft redline version showing the proposed changes was posted on the agency's website with instructions on how to provide feedback. Additionally, e-mails and a press release (http://education.ky.gov/comm/news/Documents/R%2014-

041%20ESEA%20flexibility%20extension.pdf) were sent out to a wide range of constituencies letting them know about the availability of the document along with instructions for providing feedback. Evidence of the posting on the website can be seen at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=aem%2fFunJHoIlocglFu3L1TjLhMWO6qN2tYZiFYhqzYk%3d&docid=045f9ef341ae94df78ae42695708b5643; the e-mails that were sent out can be seen at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=IFM9qV%2fWQZ%2fgbAX%2fOXfHrTEbVKh2q64%2f6yrujCW1zGU%3d&docid=05721c8e156324d9cb06470c0631c1e3e; and the feedback received from the various notices can be found at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=7%2fquyKvb6GT8Jbs68SA9IS94o4fMcUJNQwgRhIz%2fFeM%3d&docid=0b7abec574b594ae7974e5108e22c10b8.

Changes made in the waiver extension document as a result of the recent feedback include:

- Clarification language added on potential issues with the Third Standard Deviation Model at the request of Dick Innes, Bluegrass Institute
- A reference to the Superintendent Professional Growth and Effectiveness System added at the request of Superintendent Fred Carter
- Multiple technical edits and clarifications made at the suggestion of the Prichard Committee including specification of the subject-area data that is available in the State Report Card, addition of a new chart that better represents the continuous improvement model, explanation of how Delivery goals are used by schools and districts, commentary on the amount of gain required to meet the AMO, indication that stakeholder input will be sought prior to future changes being made by the Kentucky Board of Education in the assessment and accountability system, correction of mathematical errors in the chart on Reward Schools, indication of where Focus School data is located and the repair of broken hyperlinks in the document

With regard to many of the comments that were received on the assessment and accountability system, constituents were notified that the Kentucky Board of Education will be reviewing potential areas for change in October 2014 and that this feedback will be used to inform that discussion. Also, many of the comments asked for clarity on particular topics rather than changes in the document, and Kentucky Department of Education staff will be responding to those questions.

2. A description of how the SEA meaningfully engaged and solicited input on its request from other diverse communities, such as students, parents, community-based organizations, civil rights organizations, organizations representing students with disabilities and English Learners, business organizations, and Indian tribes.

Guidance Question: Did the SEA meaningfully engage and solicit input on its request from other diverse communities?

Consultation of Diverse Communities on Kentucky's Original Waiver Request

The Kentucky Department of Education (KDE) has engaged in deliberate outreach efforts to reach all of its "customers" and audiences about the need to focus on the commitment to college and career readiness, the new assessment and accountability system and the waiver request.

In February 2011, Commissioner Holliday issued a call to **public school district superintendents and local board of education chairs** to sign a pledge to improve college and career readiness in their high schools. Holliday sent letters to superintendents and board of education chairs, asking them to pledge to increase the rates of college and career readiness in their high schools by 50 percent by 2015. The "Commonwealth Commitment to College and Career Readiness" pledge includes a goal statement designed to be tailored to each school district. This pledge mirrors the requirements of SB 1 related to the reduction of the need for remediation of high school graduates entering college. **Pledges were received from all of the state's school districts.**

On October 6, 2011, the **Commissioner's Raising Achievement/Closing Gaps Council** (CRACGC) met, and the meeting agenda featured a review of the new accountability system and recently-released test score data. The group looked at the impact of the prior accountability system on identifying and closing achievement gaps, then discussed the implications of the new accountability system and the waiver proposal.

Other outreach activities inviting input into the development of Kentucky's new assessment and accountability system and the waiver included:

- presentations at meetings of **Kentucky's eight regional educational cooperatives**, each composed of local school district superintendents
- articles and informational items in KDE's publication ***Kentucky Teacher***, which is designed as a professional development tool for **teachers**
- webcasts for **teachers and administrators** that provide opportunities for real-time input
- frequent e-mail messages to **educators, partners, legislators, media representatives and others** focused on the building of the new system
- **blog postings** related to NCLB, assessment, accountability and other related items
- **news articles and editorials** about the new assessment and accountability system

For a complete listing of outreach efforts related to the initial waiver request, see Attachment 15 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45**.**

Additionally, **letters of support for Kentucky's ESEA waiver request** were received from 16 education groups from across the state including **six educational cooperatives (representing superintendents)**, **Kentucky Association of School Administrators**, **Kentucky Association of School Superintendents**, **Kentucky Education Association (statewide teachers' organization)**, **Jefferson County Teachers Association** (union representing teachers in Kentucky's largest district), **Education Professional Standards Board** (board overseeing teacher certification), **Council on Postsecondary Education** (agency overseeing higher education), **Kentucky Association of School Councils**, **Kentucky School Boards Association**,

Kentucky Association of Professional Educators and **Prichard Committee for Academic Excellence**. See Attachment 12 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45 for these letters of support.

The agency continued to offer outreach opportunities related to assessment, accountability and standards, with **webcasts** held on October 19 and targeting several of the **commissioner of education's advisory groups (superintendents, State Committee of Practitioners, closing achievement gap, parents, special education and gifted)**, a **formal survey of advisory groups** to gather input on the state's request for NCLB flexibility, a **meeting** with **superintendents** in late October, a November 8 **WebEx** with the **National Technical Advisory Panel on Assessment and Accountability (NTAPAA)** and a meeting with the **Teachers Advisory Council** in early November to put the final touches on the request.

In late October, the commissioner of education also announced the formation of a Student Advisory Council, the membership of which includes students in grades 10-12, with geographic, ethnic and economic representation. The initial group of students served through the end of the 2011-12 school year and participated in face-to-face and virtual meetings to share, provide feedback, make suggestions for potential improvement in their schools and statewide, and to give a "student voice" to the Unbridled Learning work. The Student Advisory Council continues as a mechanism to provide feedback to the commissioner.

Input from diverse stakeholders was used to make changes to the proposed accountability model and waiver request as follows:

- School Curriculum, Assessment and Accountability Council (SCAAC) -- provided input on end-of-course assessments counting as part of students' final grades; an overall score for accountability purposes; more measures for career readiness; adding a designation for schools/districts making progress within categories; and removing the "A-F" classifications for school/district overall scores.
- Principals Advisory Council (PrAC) – recommended awarding extra points for students scoring at the highest levels; more measures for career readiness; and removal of the "A-F" designations for school performance.
- Local Superintendents Advisory Council (LSAC) – provided suggestions on weights for components of the accountability model; definition of "full academic year;" a tiered system of supports for rewards and consequences; and removal of the "A-F" designations for school performance.
- Kentucky Association of Assessment Coordinators (KAAC) – submitted recommendations on definition of "full academic year."
- Educational cooperatives – recommended removing the "A-F" classifications for school/district overall scores.
- Kentucky Association for Career and Technical Education (KACTE) -- presented several recommendations related to college/career readiness calculations, including criteria and bonus points if a student scores both college- and career-ready.
- Superintendents Advisory Council – suggested the addition of the "Progressing" category to the model for schools that meet their annual AYP/AMO goal and affected the proposal

for locking the goal lines for five years and then resetting them in order to promote continuous improvement.

- Kentucky's Technical Advisory Committee (TAC), called the National Technical Advisory Panel on Assessment and Accountability (NTAPAA) – provided feedback on the Annual Measurable Objectives (AMO).

In November 2011, additional outreach efforts occurred that highlighted the department's strategies to gather input from stakeholder groups focused on improving learning outcomes for students with disabilities. Kentucky Department of Education (KDE) staff presented to the State Advisory Panel for Exceptional Children (membership can be found at the following link: (http://education.ky.gov/specialed/excep/pages/state-advisory-panel-for-exceptional-children.aspx) and to staff of the state's Special Education Cooperatives. Both groups were able to (and continue to) provide feedback on the strategies KDE intends to employ related to closing achievement gaps and federal Office of Special Education Programs expectations. During this same timeframe, KDE staff presented several sessions at the state's Council for Exceptional Children's Conference related to the waiver request. Over 1,100 special educators, district and building level administrators, and parents attended this conference and were given opportunities to share input on the waiver request.

As a part of Kentucky's outreach efforts to parents, especially of students with disabilities, KDE turned to the leadership of the Kentucky Special Parent Involvement Network (KY-SPIN) whose website can be found at http://www.kyspin.com. This network is funded by the U.S. Department of Education and provides statewide training, information and support to people with all types of disabilities, their parents and families, and professionals for all age groups. Kentucky's ESEA waiver flexibility proposal and webcasts hosted by Commissioner Terry Holliday have been posted on their website with a survey to capture feedback based on how well the waiver addresses the following considerations:

1. Improve outcomes for students with disabilities by ensuring that all students reach proficiency and graduate from high school ready for college and careers;
2. Recommend interventions for districts/schools to implement when working with students with disabilities;
3. Focus professional development for all educators on improving student learning outcomes, specifically for students with disabilities.

As this feedback was captured, KDE was committed to including this information as a part of the flexibility implementation process.

Similarly, all directors of English language learners across the state were provided an opportunity to submit feedback and had a survey targeting the learning needs and outcomes for English Language Learners. KDE also partnered with the Kentucky Teachers of English to Speakers of Other Languages to post the waiver and solicit feedback. These key partnerships presented additional opportunities for KDE to engage all stakeholders in improving learning outcomes for ALL students.

The draft waiver request and the Appendix along with information on how to provide input and feedback was posted in the Unbridled Learning section of the Kentucky

Department of Education's website on October 28, 2011. The availability of the documents for review was communicated via e-mail and news release to the State Committee of Practitioners, superintendents, local boards of education, principals, teachers, school staff, parents, legislators, education partners and the general public.

Documentation of the official notice of the waiver request and opportunity to comment on it to LEAs can be found in Attachment 1 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45. Comments received from educators and others can be found in Attachment 2 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45. Notice of the waiver request and the opportunity to comment for the public can be found in Attachment 3 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45.

Consultation of Diverse Communities on the One-Year Waiver Extension Request

As referenced above, in November and December of 2013, Kentucky began the discussion with educators and others on whether support existed for continuation of its ESEA waiver. Commissioner of Education Terry Holliday directed Kentucky Department of Education staff to prepare a white paper titled "Kentucky Department of Education's ESEA Waiver White Paper: What Is the ESEA Waiver and Why Is It Important to Kentucky?" found at http://education.ky.gov/CommOfEd/fri/Documents/Kentucky%20ESEA%20waiver%20white%20paper%20final.pdf and distributed it widely via e-mail to teachers, principals, superintendents, the State Committee of Practitioners, education partners, and education advocacy groups, including diverse communities. Specifically, the following groups were contacted via these e-mails:

- Kentucky Special Parent Involvement Network (KY-SPIN)
- State Advisory Panel for Exceptional Children
- Title I Committee of Practitioners
- State Chamber of Commerce
- Kentucky Commission on Human Rights
- Directors of Special Education
- Title III Directors and Title III Consortium School Contacts

The e-mails to the various groups can be found at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=Sw2a0QXtxD2G9nKM%2bgkCowBjPG4q1BUXgfFY7MmG%2fR4%3d&docid=017a6d511362c4c0f8bd407a680bb6ba8 and the responses to these e-mails can be found at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ZgpeQD3jZ4rBO0tGWVrpA12c0ItUTNxvylZUb5Usz2Y%3d&docid=085a4e9217b9f4c66a12c7f4146828826.

Additionally, the commissioner directed that the white paper be a topic of discussion at upcoming meetings of various commissioner's advisory committees representing teachers, principals, superintendents, education partners, and education advocacy groups. The advisory groups that discussed the white paper included the following (links to their agendas also appear below):

- School Curriculum, Assessment and Accountability Council (administrators, teachers, parents, school board members, assessment coordinators and university professors) – November 12, 2013 agenda at http://education.ky.gov/CommOfEd/adv/Pages/School-Curriculum%2c-Assessment-and-Accountability-Council-.aspx
- Superintendents Advisory Council (local district superintendents) – November 12, 2013 agenda at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=tVyzWDxV7yRGbK47R9Hn%2frnaDhuwAgOhYcqg4s5abr0%3d&docid=071f838c7ac9f478aacdecbc698467eb9
- Career and Technical Education Advisory Committee (legislators, business and industry representatives, career and technical school representatives, local district educators) – November 13, 2013 agenda at http://education.ky.gov/CommOfEd/adv/Pages/Career-and-Technical-Education-%28CTE%29-Advisory-Committee.aspx
- Unbridled Learning Guiding Coalition (teachers, administrators, education partners, parents, higher education, teacher organizations, business, and the Legislative Research Commission) – November 19, 2013 agenda at http://education.ky.gov/CommOfEd/adv/Pages/Unbridled-Learning-Guiding-Coalition.aspx
- State Advisory Panel for Exceptional Children (parents, teachers, higher education representatives, state and local education officials, nonpublic school representatives and representatives from other state agencies) – November 24-26, 2013 agenda at http://education.ky.gov/CommOfEd/adv/Pages/State-Advisory-Panel-on-Exceptional-Children-%28SAPEC%29.aspx

As stated above, overwhelmingly, the feedback received from the outreach efforts cited above indicated support for continuing the flexibility granted to Kentucky through its ESEA waiver. Thus, the Kentucky Department of Education (KDE) notified the United States Department of Education (USED) via e-mail of its intent to apply for the waiver extension on February 18, 2014.

Once the waiver extension application was prepared by KDE, the draft redline version showing the proposed changes was posted on the agency's website with instructions on how to provide feedback. Additionally, e-mails and a press release (http://education.ky.gov/comm/news/Documents/R%2014-041%20ESEA%20flexibility%20extension.pdf) were sent out to a wide range of constituencies, including diverse communities, letting them know about the availability of the document along with instructions for providing feedback. Evidence of the posting on the website can be seen at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=aem%2fFunJHoIlocglFu3L1TjLhMWO6qN2tYZiFYhqzYk%3d&docid=045f9ef341ae94df78ae42695708b5643; the e-mails that were sent out can be seen at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesst

oken=IFM9qV%2fWQZ%2fgbAX%2fOXfHrTEbVKh2q64%2f6yrujCW1zGU%3d&docid=05721c8e156324d9cb06470c0631c1e3e; and the feedback received from the various notices can be found at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=7%2fquyKvb6GT8Jbs68SA9IS94o4fMcUJNQwgRhIz%2fFeM%3d&docid=0b7abec574b594ae7974e5108e22c10b8.

Changes made in the waiver extension document as a result of the recent feedback include:

- Clarification language added on potential issues with the Third Standard Deviation Model at the request of Dick Innes, Bluegrass Institute
- A reference to the Superintendent Professional Growth and Effectiveness System added at the request of Superintendent Fred Carter
- Multiple technical edits and clarifications made at the suggestion of the Prichard Committee including specification of the subject-area data that is available in the State Report Card, addition of a new chart that better represents the continuous improvement model, explanation of how Delivery goals are used by schools and districts, commentary on the amount of gain required to meet the AMO, indication that stakeholder input will be sought prior to future changes being made by the Kentucky Board of Education in the assessment and accountability system, correction of mathematical errors in the chart on Reward Schools, indication of where Focus School data is located and the repair of broken hyperlinks in the document

With regard to many of the comments that were received on the assessment and accountability system, constituents were notified that the Kentucky Board of Education will be reviewing potential areas for change in October 2014 and that this feedback will be used to inform that discussion. Also, many of the comments asked for clarity on particular topics rather than changes in the document, and Kentucky Department of Education staff will be responding to those questions.

EVALUATION

The Department encourages an SEA that receives approval to implement the flexibility to collaborate with the Department to evaluate at least one program, practice, or strategy the SEA or its LEAs implement under principle 1, 2, or 3. Upon receipt of approval of the flexibility, an interested SEA will need to nominate for evaluation a program, practice, or strategy the SEA or its LEAs will implement under principles 1, 2, or 3. The Department will work with the SEA to determine the feasibility and design of the evaluation and, if it is determined to be feasible and appropriate, will fund and conduct the evaluation in partnership with the SEA, ensuring that the implementation of the chosen program, practice, or strategy is consistent with the evaluation design.

☒ Check here if you are interested in collaborating with the Department in this evaluation, if your request for the flexibility is approved.

OVERVIEW OF SEA'S REQUEST FOR THE ESEA FLEXIBILITY

Provide an overview (about 500 words) of the SEA's request for the flexibility that:

1. explains the SEA's comprehensive approach to implement the waivers and principles and describes the SEA's strategy to ensure this approach is coherent within and across the principles; and

2. describes how the implementation of the waivers and principles will enhance the SEA's and its LEAs' ability to increase the quality of instruction for students and improve student achievement.

Guidance Questions:

- ***Did the SEA provide an overview of the SEA's vision to increases the quality of instruction and improve student achievement?***
- ***Does the SEA's overview sufficiently explain the SEA's comprehensive approach to implementing the waivers and principles and describe the SEA's strategy for ensuring that this approach is coherent within and across the principles?***
- ***Does the SEA's overview describe how the implementation of the waivers and principles will enhance the SEA's and its LEAs' ability to increase the quality of instruction for students and improve student achievement?***

Kentucky's Comprehensive Reform Agenda: College and Career Readiness for ALL

Currently, the Commonwealth has 50,000 children in 8th grade, and if nothing changes, only 17,000 of these children will graduate college- and career-ready from high school. In 2009, Governor Steve Beshear signed key legislation that significantly impacted education across the Commonwealth. This bi-partisan legislation known as Senate Bill 1 (SB1) called for an overhaul of many of the components in the state's previous reform efforts and established a unified focus on college and career readiness. Specifically, the legislation charged the Kentucky Board of Education (KBE) and Kentucky Department of Education (KDE), Council on Postsecondary Education (CPE) and Education Professional Standards Board (EPSB) to:

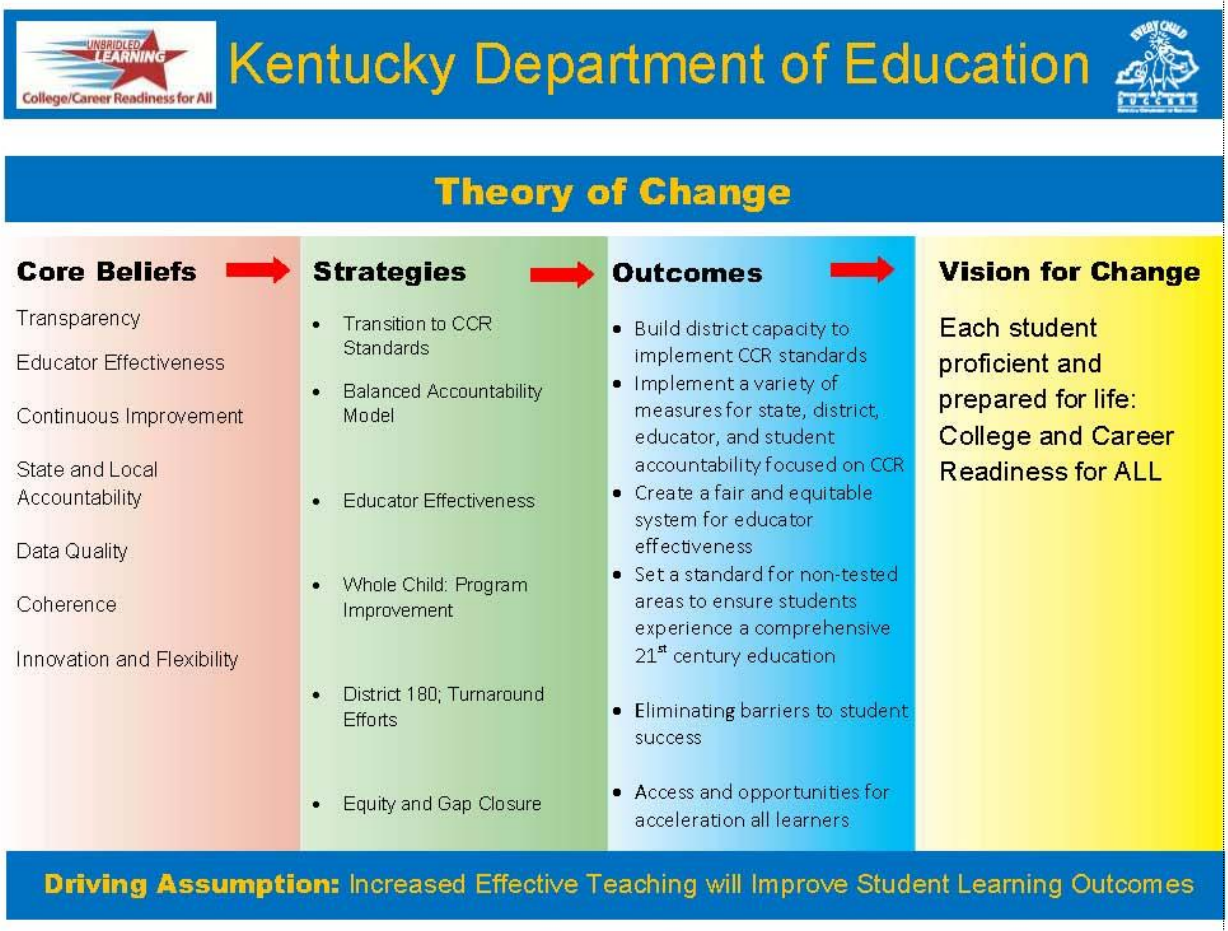
- reduce by 2014 the state's college remediation rates of recent high school graduates by at least 50 percent from the rates in 2010
- increase the college completion rates of students enrolled in one or more remedial college classes by 3 percent annually from 2009 to 2014

The **vision** of this legislation is directly aligned to the principles of the ESEA flexibility waiver request. Over the past several years, Kentucky has been implementing a comprehensive agenda to transform education across the state. Overall, Kentucky's reform is predicated on key values to ensure:

- **transparency**
- **educator effectiveness**
- **continuous improvement**
- **state and local accountability**
- **data quality**
- **coherence**
- **innovation and equity**

This agenda, now known as Unbridled Learning: College- and Career-Ready for All, is

captured in the graphic below that outlines Kentucky's theory of change.



KDE's delivery and project management plans guide the KBE strategic plan to ensure successful implementation for improved learning outcomes. These plans specifically outline key milestones, activities, timelines, parties responsible, evidence for progress, goal trajectories, resources and potential obstacles. KBE's annual strategic planning process allows the state an opportunity to evaluate and make adjustments according to the state's overall progress in meeting the goals aligned to the principles in this waiver. Specifically, this process requires all stakeholders to reflect on strategies to determine areas of improvement.

For information about deployment of KDE's Unbridled Learning Strategic Plan, see http://education.ky.gov/CommOfEd/CDU/Pages/Delivery_Home.aspx.

Unbridled Learning keeps the best of No Child Left Behind (NCLB) – the focus on closing achievement gaps and moving students to proficiency – but it also puts intense emphasis on college/career-ready goals, provides a more balanced approach and offers annual growth expectations at the student, classroom, grade, school, district and state levels, along with comparisons to national and international metrics.

The Unbridled Learning initiative addresses all three principles of the waiver request:

- Principle 1: College- and Career-Ready Expectations for All Students
- Principle 2: State-Developed Differentiated Recognition, Accountability and Support
- Principle 3: Supporting Effective Instruction and Leadership

ESEA Flexibility and Waiver Request/Support

The ESEA flexibility waiver request offers states an important opportunity to leverage bold shifts in policy, practice and accountability. The flexibility in implementing Kentucky's plan is woven throughout this request in order to present a coherent approach to implementing the waiver principles.

Kentucky has surveyed various stakeholder groups, and the most critical aspect of the waiver relevant to them is the ability to participate in a **single, statewide accountability model**. Kentucky's statewide accountability system is established to make **annual determinations** based on a balance of components – college- and career-ready students; teacher and leader effectiveness based on learning outcomes; and an evaluation of instructional programs that support the learning of the whole child (non-tested areas). Transitioning to the Common Core Standards, known in Kentucky as the Kentucky Core Academic Standards (KCAS), presented the impetus for the design and implementation of a new model. This model moves beyond many tenets of No Child Left Behind, but maintains a focus on proficiency, increasing the quality of instruction and improved outcomes for diverse populations. Each component of the accountability model is further explained in section 2A.

Kentucky's model uses data from achievement, gap closing, individual student growth, college/career readiness, graduation rates, program reviews and teacher/leader evaluations to provide a broad view of teacher and leader effectiveness and to create an incentive to work on whole school reform. College and career readiness for all students is the primary goal; however, addressing individual gap groups through various methods, including a student gap group score for each school that prevents masking of achievement gaps and annual targets for subgroups through delivery plans that will be publically reported also is a central tenet. This data is included in district and school report cards (http://applications.education.ky.gov/SRC/). The model is quite innovative and assists in communicating expectations for all learners moving toward college and career readiness goals. This shift captures the attention of more Kentucky schools by advancing a focus on equity and the continuous improvement in the performance of diverse populations. In the former federal and state accountability models, districts/schools had competing goals. Kentucky's new model has unified goals and expectations for the state's 173 districts and more than 1,200 schools.

Establishing a model based on results but driven by a process of continuous improvement has allowed variation in the support and interventions implemented by KDE's District 180 program. The waiver guarantees flexibility in the use of federal funds to strengthen the support across a portfolio of schools, including Reward, Priority and Focus Schools. Deeper diagnostic reviews of the state's most struggling districts/schools has ensured interventions are targeted and that assistance is coordinated to yield high results in local turnaround efforts. Leveraging the flexibility of this waiver has presented greater opportunities for interventions related to use

of time, staffing and other resources to improve student learning outcomes, especially for those who have traditionally underperformed. KDE is able to make informed data-driven decisions, monitor and track improvement, and build district/school capacity through the opportunities for flexibility in this waiver.

However, improved student learning outcomes are based on making sure each child is taught by an effective teacher and that all teachers have the support of effective leaders. This waiver request calls for strategies that will dramatically improve education outcomes for all learners. The variable that has the greatest impact on student learning outcomes is the teacher; therefore, ensuring that each child is taught by an effective teacher is critical to Kentucky's college- and career-readiness agenda. Better student learning outcomes are dependent upon having more effective teachers as determined by multiple measures within a fair and equitable evaluation system. Additionally, teachers need to be supported by effective leaders within local systems in order to guarantee all children reach college- and career-ready goals.

KDE, in partnership with various stakeholder groups (as referenced in section 3A), has worked in a deliberate fashion over the past four years to develop a professional growth and evaluation system. The thinking underlying the design of this system abandons a traditional approach to teacher and principal evaluations and creates a new paradigm that is robust and includes multiple measures for determining effectiveness.

Specifically, Kentucky's design presents guidelines to focus on gathering data from rigorous classroom observations, student feedback, a working conditions survey (Teaching, Empowering, Leading, and Learning Kentucky – TELL Kentucky), and pedagogical and content knowledge data from educators. While the nation embarks on a serious transition to new professional growth and evaluation systems, Kentucky has moved slowly and deliberately, to garner the support necessary to make these fundamental shifts. The inclusion of higher education, community and business stakeholders, Kentucky's local teachers' unions and statewide teachers' association, and district and school leaders has been crucial to successfully moving forward. The journey and results to date are aligned to Principle 3 of this waiver request. The waiver has allowed the state to leverage the types of shifts that need to occur to create incentives for districts and schools to engage leaders in a process of re-evaluating how systems recruit, distribute and retain effective teachers and leaders.

The plan outlined above presents a reform agenda based upon the state's courage to implement innovative options to ensure all students are college- and career-ready; commitment to flexibility and accountability for continuous improvement; and capacity to lead the nation in bold strategies for the state's next generation of a reform agenda. A new reform agenda is necessary to bring back economic prosperity within the Commonwealth and begins with the bold initiative of Unbridled Learning: College- and Career-Ready for All.

PRINCIPLE 1: COLLEGE- AND CAREER-READY EXPECTATIONS FOR ALL STUDENTS

1A ADOPT COLLEGE-AND CAREER-READY STANDARDS

Select the option that pertains to the SEA and provide evidence corresponding to the option selected.

Option A	**Option B**
☒ The State has adopted college- and career-ready standards in at least reading/language arts and mathematics that are common to a significant number of States, consistent with part (1) of the definition of college- and career-ready standards. i. Attach evidence that the State has adopted the standards, consistent with the State's standards adoption process. **(Attachment 4) See Appendix, page 35.** Kentucky also has an MOU signed by presidents of all Kentucky colleges and universities and a State regulation from a State network of institutions of higher education (IHEs) certifying that meeting the State's standards corresponds to being college- and career-ready without the need for remedial coursework at the postsecondary level and has included these as **Attachment 5, page 36 of the Appendix**.	☐ The State has adopted college- and career-ready standards in at least reading/language arts and mathematics that have been approved and certified by a State network of institutions of higher education (IHEs), consistent with part (2) of the definition of college- and career-ready standards. **i.** Attach evidence that the State has adopted the standards, consistent with the State's standards adoption process. ii. Attach a copy of the memorandum of understanding or letter from a State network of IHEs certifying that students who meet these standards will not need remedial coursework at the postsecondary level.

1.B TRANSITION TO COLLEGE-AND CAREER-READY STANDARDS

Provide the SEA's plan to transition to and implement no later than the 2013–2014 school year college- and career-ready standards statewide in at least reading/language arts and mathematics for all students and schools and include an explanation of how this transition plan is likely to lead to all students, including English Learners, students with disabilities, and low-achieving students, gaining access to and learning content aligned with such standards. The Department encourages an SEA to include in its plan activities related to each of the italicized questions in the corresponding section of the document titled *ESEA Flexibility Review Guidance*, or to explain why one or more of those activities is not necessary to its plan.

Guidance Questions:

- ***Is the SEA's plan to transition to and implement college- and career-ready standards statewide in at least reading/language arts and mathematics no later than the 2013-2014 school year realistic, of high quality, and likely to lead to all students, including English Learners, students with disabilities, and low-achieving students, gaining access to and learning content aligned with such standards?***

- ***Does the SEA plan to evaluate its current assessments and increase the rigor of those assessments and their alignment with the State's college- and career-ready standards, in order to better prepare students and teachers for the new assessments through one or more of the listed strategies?***

Overview of Transition to College- and Career-Ready Standards

State legislation, known as Senate Bill 1 (2009), served as the catalyst for Kentucky's shift to college- and career-ready standards and assessments. In February 2010, Kentucky became the first state to adopt the Common Core Standards (CCS), known as the Kentucky Core Academic Standards. The state's role in transitioning to the CCS has been pivotal to implementing a new reform agenda in the state. The systemic approach to transitioning and implementation began with a focus on building district/school capacity through a system of Leadership Networks (http://education.ky.gov/curriculum/docs/Pages/KLN.aspx). Standards alone cannot change instructional practices; therefore, in the past three years, the Kentucky Department of Education (KDE) has focused on identifying strategies to ensure course and assessment alignment with the CCS. KDE's Next Generation Learners Delivery Plan provides examples of the state's efforts on providing increased opportunities for students to graduate college- and career-ready. Targeted interventions (e.g., Senior Year Transitional Courses) are part of the Persistence to Graduation strategy which focuses on interventions for students who did not meet benchmarks on ACT. This strategy was recently expanded to include the tracking of interventions for all students who are not meeting benchmarks for K-PREP, EXPLORE and PLAN. A new interventions tab was developed and has been deployed through Infinite Campus so that KDE can ensure students are receiving proper interventions. Additionally, the Career Readiness Pathways strategy is creating even more opportunities for students to choose career-focused instruction.

The video *All Eyes on Kentucky***,** produced by the School Improvement Network, presents the case for why Kentucky is fully committed to transitioning to the Kentucky Core Academic Standards and can be accessed at http://www.youtube.com/watch?v=VW0ZMamnQV4.

Kentucky's new assessment system is based on a coherent, rigorous system of assessments aligned with college and career standards. The ***new assessment system, which began in the 2011-12 school year, uses the ACT as the capstone high school assessment to determine college and career readiness.*** The new testing system is linked from Grade 3 to Grade 12 and locked onto college readiness standards. Students taking the tests from Grade 3 to 12 know if they are on the path toward college and career readiness as defined by all of the public universities in Kentucky.

Detailed Narrative on Transitioning to College- and Career-Ready Standards

As the first state to fully adopt the Common Core Standards (CCS) in English/language arts and mathematics, known as the Kentucky Core Academic Standards (KCAS) within the state, Kentucky took a significant step forward in solidifying a focus on ensuring all children are college- and career-ready and prepared for life. Full implementation of the new KCAS standards began in the 2011-12 school year. The attached resolution, "Resolution Supporting

the Adoption and Integration of the Kentucky Core Academic Standards Across Kentucky's Education System By the Kentucky Board of Education, Council on Postsecondary Education and the Education Professional Standards Board Commonwealth of Kentucky" (Attachment 4 on page 35 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45), represented the culminating event and public commitment, on behalf of three state-level boards, to implement the KCAS and shape the next generation of teaching and learning focused on and aligned to the national emphasis on ensuring more students graduate college- and career-ready. The state regulation that put the KCAS into law, 704 KAR 3:303, Required core academic standards, was initially adopted by the Kentucky Board of Education in February 2010 and can be found at http://www.lrc.ky.gov/kar/704/003/303.htm. Incorporated by reference within the regulation are the actual CCS for English/language arts found at http://education.ky.gov/curriculum/docs/Documents/KentuckyCommonCore_ELA.pdf and the standards for mathematics found at http://education.ky.gov/curriculum/docs/Documents/Kentucky%20Common%20Core%20MATHEMATICS.pdf.

The implementation of the Kentucky Core Academic Standards presented an opportunity for Kentucky educators to prepare students with content that is more focused and coherent and demands a deeper level of learning. The greatest potential in transforming education in the Commonwealth is present in the KCAS and has shifted teachers' expectations and instructional approaches to teaching and learning. These standards outline the specific expectations for P-12 but also bring about agreement with postsecondary, creating a seamless approach to learning P-20.

Kentucky's Next Generation Learners Delivery Plan (http://education.ky.gov/CommOfEd/CDU/Pages/Delivery_Home.aspx) was created in collaboration with higher education and specifies the strategies for increasing the number of students that are college- and career-ready. The Kentucky Department of Education and Council on Postsecondary Education (CPE) have articulated a strong emphasis on increasing the innovative pathways for students as options for acceleration and intervention supports. This also includes a focus on expanding Advanced Placement and dual credit opportunities with increased rigor and STEM (science, technology, engineering and mathematics) coursework aligned to college- and career-ready expectations.

Kentucky's approach to developing a comprehensive and unified plan for college and career readiness and the transition and implementation of the KCAS started with a challenge Commissioner of Education Terry Holliday made to each school district to sign a Commonwealth Commitment to reaching goals of more students graduating college- and career-ready, as explained under #2 of "Consultation" of this waiver request. Putting this commitment into operation meant the Kentucky Department of Education needed to play a new and different role in providing support to district leadership teams. Kentucky's model is one that mirrored the process used by the Council of Chief State School Officers (CCSSO) and National Governors' Association (NGA). These organizations modeled a strategy that brought

state leaders and key stakeholders together to own their roles and define their responsibilities in contributing to a new model for implementation of standards. Kentucky replicated this process through a partnership with higher education, businesses, parent and professional organizations, and the P-12 community. **The theory of action driving this model for implementation is based on the need to have highly effective teachers facilitating learning for every student in every classroom across the Commonwealth.** Deep learning, guiding the implementation of the new standards for Kentucky educators, is based on building capacity at the local level. Standards alone will not lead to college- and career-ready students, but the implementation of the standards and interactions among the student, teacher and content will lead to students being better prepared for the future.

Kentucky's three-year action plan for transition and implementation of the KCAS, found at http://education.ky.gov/school/Documents/KY3YR%20plan.pdf, began in August 2010. The capacity-building model has a regional focus and includes higher education faculty from the arts and sciences and colleges of education, district- and building-level leaders, and most importantly, teacher leaders. This systemic approach, through regional Leadership Networks, is designed to meet the needs of educators to ensure success in the implementation of KCAS in developing an understanding of assessment literacy set in the context of highly effective teaching and learning, and leadership. A month-by-month curriculum (Year-at-a-Glance) for the 2010-11, 2011-12, and 2012-13 school years for the Leadership Networks component can be found at http://education.ky.gov/school/Pages/Leadership-Networks---Deliverables.aspx. In Year 1 (2010-11 school year), this curriculum plan highlighted the department's effort to assist educators in the alignment and expectations of the KCAS by creating common understandings about the intended learning for the rigor found in the new standards. This critical piece in transition has enabled Kentucky educators to make the necessary shifts in practice in order to support all students in reaching college and career readiness expectations.

Within the first month of adoption, KDE staff provided a crosswalk to districts/schools in order to present the differences in Kentucky's former standards and the newly adopted Kentucky Core Academic Standards. Almost immediately following the release of the crosswalk, KDE leadership, content specialists and network facilitators led district/school and content teacher leaders through a gap analysis protocol. During the network meetings, several activities were implemented, but as a follow-up, KDE content specialists visited districts/schools to provide district leadership teams with the necessary supports to lead this process using the KDE protocol at the local level. The protocol and resources developed to support district/school teams through this process can be found at: http://education.ky.gov/school/pages/leadership-networks---deliverables.aspx and http://education.ky.gov/curriculum/docs/pages/kentucky-core-academic-standards---new.aspx.

Year 2 (2011-12 school year) afforded teacher and building-level leaders with the opportunity to design congruent learning experiences for students. While teacher leaders focused on design, building and district leaders and principals engaged in conversations about the "classroom look-fors" for effective implementation in the classroom contexts. Educators were committed to the development and sharing of high-quality instructional resources that present learning opportunities for students. Building-level principals were essential in this change process, and KDE incorporated key facets of the teacher and leader effectiveness system into

the Leadership Network curriculum. Year 2 was designed to integrate the components of the effectiveness system, effective strategies for implementing the standards and effective use of data (i.e., student growth data and working conditions data from the TELL Kentucky Survey that is given to all teachers and principals).

Year 3 (2012-13 school year) afforded teacher and building-level leaders with the opportunity to design congruent learning experiences for students, focusing especially on common assignments and assessments (for example, Literacy Design Collaborative/Formative Assessment Lessons). Teacher leaders focused on designing highly effective teaching and learning experiences; district leaders and principals engaged in conversations about the "classroom look-fors" for effective implementation and on providing specific feedback that leads to educator growth. Educators committed to the development and sharing of high-quality instructional resources that present learning opportunities for students. Building-level principals have been essential in this change process, and KDE has incorporated key facets of the teacher and leader effectiveness system into the Leadership Network curriculum. Year 3 was designed to integrate and deepen understanding and application with fidelity around the components of the effectiveness system, effective strategies for implementing the standards and effective use of data (i.e., student growth data and working conditions data from the TELL Kentucky Survey that is given to all teachers and principals).

In order to meet the expectation of full implementation and assessment of the new standards, the state legislature committed financial resources and the state received foundation funding for the support and implementation of the standards. State and federal funding were redirected for the transition and implementation of the standards in order to address the needs of all learners. Two examples below outline the state's comprehensive efforts in working with educators on behalf of English language learners and students with disabilities.

Kentucky has been engaged in an alignment process to analyze the linguistic demands of the Kentucky Core Academic Standards for English language learners (ELLs). In November 2010, the World-Class Instructional Design and Assessment (WIDA) provided member states the results of an alignment study that examined the relationship between the CCS and the Model Performance Indicators (MPIs) of the WIDA ELP (English Language Proficiency) standards. An analysis was presented in a published report, *Alignment Study between CCSS in English Language Arts and Mathematics and the WIDA ELP standards, 2007 edition*. As a member state since the 2006-07 school year when Kentucky teachers began implementing the WIDA standards, Kentucky has been involved in these conversations but also was involved in a process to provide additional feedback on a standards amplification project to review and provide feedback on a draft version of the *English Language Development (ELD) Standards Document* (published in 2012). (See E-mail on WIDA's ELD Standards at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=zBQbwEss1XAIyLXqMTe2%2byJrv%2flyjOfmUuXv1HdrOiM%3d&docid=05a0ed819cccd40359ee532e241fe83ff.) The first year the standards were actually tested was the 2007-08 school year.

Involvement in this analysis process has allowed Kentucky to present the most up-to-date information and create a focused effort on providing professional development to all

educators, but specifically to ELL educators. WIDA debuted the amplification of the 2012 English Language Development (ELD) Standards with four events starting in August of 2012. Kentucky held two "Introductions to WIDA ELD Standards" workshops in the fall of 2012. WIDA facilitated one training session in Frankfort on September 25, 2012, and a second one on October 19, 2012, in Louisville. See the attachment titled "Kentucky Department of Education EL Professional Development" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=pJbmGzejxzU4oC7EoLIeQ4cVCMrf90VvRwDGuZI0yrY%3d&docid=0ffa1a5da89ff4da582aa683e4f0182e3.

The Kentucky Department of Education has indicated on its website that: "The World-Class Instructional Design and Assessment (WIDA) **English Language Proficiency Standards for English Language Learners in Kindergarten through 12th Grade** serve as Kentucky's NCLB **required** English language proficiency standards. The statement on the website is found at http://education.ky.gov/specialed/EL/Pages/English-Learners-and-Immigrant--Resources.aspx under the heading "English Language Proficiency (ELP) Standards" along with a link to the WIDA standards. Also, via e-mail to Kentucky EL coordinators, it was indicated that all staff members working with English learners are to use the WIDA standards (http://education.ky.gov/specialed/EL/Documents/ELD%20standards%20and%20AMAO%20information.pdf).

The Kentucky Department of Education continued to work with WIDA to assist teachers in the use of the WIDA ELD Standards with webinars in June 2013 titled *English Language Development Standards in Action: Differentiation*, which is archived on the WIDA website library under Kentucky webinars at http://www.wida.us/downloadLibrary.aspx. Kentucky continues to provide professional development on the WIDA ELD Standards and has scheduled an Introduction to WIDA ELD Standards webinar for April 28, 2014. (See the attachment titled "Kentucky Department of Education EL Professional Development" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=pJbmGzejxzU4oC7EoLIeQ4cVCMrf90VvRwDGuZI0yrY%3d&docid=0ffa1a5da89ff4da582aa683e4f0182e3.) It also will be archived on the WIDA website library. This archiving gives Kentucky educators the opportunity to view the trainings anytime during the year. It also makes the trainings readily available for new staff members in all Kentucky districts.

Having the *Introduction to WIDA ELD Standards* (http://www.wida.us/ProfessionalDev/workshops/Standards/IntroELDstandards.aspx) archived allows Kentucky to move forward with the ELD Standards training by scheduling WIDA workshops on *ELD Standards in Action: Unit Design* and *ELD Standards in Action: Lesson Design* for the 2014-15 school year. The multiple-day Unit Design workshop will utilize resources from the WIDA ELD Standards Framework to plan units of instruction which integrate content and language standards. The multiple-day Lesson Design workshop provides an opportunity to apply the ELD Standards to classroom instruction.

The Kentucky Department of Education continues to provide face-to-face workshops in addition to the online trainings. A workshop entitled *Empowering English Language Learners*

for Success in an Ever Changing World was presented in October 2013. The workshop was conducted by a WIDA certified facilitator and the emphasis was on Kentucky Core Academic Standards in conjunction with the WIDA 2012 Amplified ELD Standards. (See attachment titled "Annotated Agenda for Certification" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=Pr7Wm8KsewsSrj1%2bEgtec6NsFW%2fN2LVB%2bk3oH6bkYzA%3d&docid=041c92cb11fc946eabb1cef43f3dd2655 for the objectives of the workshop and the sign-in sheet.)

Kentucky EL Coordinators had requested additional trainings on data analysis. Therefore, two WIDA workshops on data analysis that focused on the classroom were scheduled for November 2013. (See attachment titled "Data Analysis Workshop: Focus on Classrooms" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=SdwJf0sXOvM7Wkpf1ECvBL6a8fNt9NJzKGrQccERaAk%3d&docid=0d8d655e7fb874ddf9b864c66dc12b1ee.) This was followed up with a two-day WIDA data analysis workshop in March. (See attachment titled "WIDA Retreat Focus on Schools & Districts" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=dfxsE2b6H%2brSIMl%2bLNwlhuSOUIq5b0j5QOXpTQg2Ggs%3d&docid=0c48c88e9818a4eb4b91a36c82807ca7f.) The workshops were designed for the participants to understand how to connect the WIDA Standards and the ACCESS assessment and scores. The two-day workshop was set up to give participants time to analyze data, identify areas of possible strength and need, and develop a plan for further investigation and action. (Both trainings are found on the attachment titled "Kentucky Department of Education EL Professional Development" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=pJbmGzejxzU4oC7EoLIeQ4cVCMrf90VvRwDGuZI0yrY%3d&docid=0ffa1a5da89ff4da582aa683e4f0182e3.

Throughout the implementation of the ESEA waiver in Kentucky, educators working with students with disabilities have been formally engaged throughout the state's transition and implementation process. Special educators have participated in the state's Leadership Networks. Each district was strongly encouraged to send at least one special education teacher to the Leadership Networks, and all district special education directors were encouraged to participate in the district leaders' network. This model has encouraged district leadership teams to intentionally include special educators at the forefront of professional development planning for special educators in their districts. Additionally, the state's nine regionally located special education cooperatives have received additional funding for the purpose of providing more intensive training on the Kentucky Core Academic Standards (KCAS). Literacy and math specialists, who have special education expertise, have been hired through these cooperatives to be the "boots on the ground" in classrooms to support teachers working with students with disabilities. These efforts are likely to lead to all students, including students with disabilities, gaining greater access to and opportunity to learn the content presented in the KCAS. An updated action plan for the literacy specialists working in the special education cooperatives is included as Attachment 27 on page 142 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45. This plan highlights the specific strategies the Kentucky

Department of Education (KDE) has implemented over the past two years through professional development specifically targeting educators who work with students with disabilities, ELLs and other students considered at-risk. Strategies include:

- incorporating Universal Design for Learning practices
- Response to Intervention support
- emphasis on curriculum development and design through the state's model curriculum framework
- assessment literacy strategies and accommodations for students with disabilities and ELLs

The state has analyzed the learning and accommodation factors necessary to ensure students with disabilities are successful in the pursuit of college and career readiness. This focus has been a primary component of the federal Individuals with Disabilities Education Act (IDEA) and has been realized by bringing together cross-agency teams and stakeholder committees to discuss proposed revisions to the existing state regulation governing accommodations in statewide assessment and accountability (703 KAR 5:070). These revisions presented different opportunities within the classroom and testing environment so that students can demonstrate content mastery.

In preparation for the Alternate K-PREP (formerly Kentucky Alternate Assessment Program) Standards rolled-out to teachers across the state, KDE worked with the state's Special Education Cooperatives and institutions of higher education to produce instructional and curriculum supports for the new reading, writing, and math standards. These materials are all based on the Kentucky Core Academic Standards. The materials include: podcasts, training materials and instructional tools to assist teachers as they implement the new Alternate K-Prep Standards with students with disabilities. (See http://education.ky.gov/AA/distsupp/kprep/Pages/AltStd.aspx, http://education.ky.gov/AA/distsupp/kprep/Pages/AltResources.aspx and http://education.ky.gov/AA/distsupp/kprep/Pages/AltTrainings.aspx.)

KDE's goal for development of training and supports for teachers of students who participate in the Alternate K-PREP was to mirror the curriculum planning process used in the general curriculum as much as possible. Also, this work is aligned to the general educator peers' professional development focused on improving instructional practices through the characteristics of highly effective teaching and learning (CHETL). Additional materials appear on the KDE website's Low Incidence page at: http://education.ky.gov/specialed/excep/pages/low-incidence.aspx.

State Systemic Improvement Plan (SSIP) for Students with Disabilities

As part of its Annual Performance Report (APR), Kentucky, along with other states, will submit to the U.S. Department of Education's Office of Special Education Programs (OSEP) on February 1, 2015 Phase 1 of a comprehensive and multi-year State Systemic Improvement

Plan (SSIP), focused on improving educational results and outcomes for students with disabilities. Phase 1 includes data analysis, infrastructure analysis, identification of a focus area for improvement and the development of a theory of action, while ensuring stakeholder engagement throughout. (See pages 18-20 of OSEP Proposed State Systemic Improvement Plan at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=a7QbFqUyT4bGlHpvhuGQIodtqRFIgZf9o6VtXw66ScM%3d&docid=00bf0a2a53c8948ffbb133fbf6c075668.)

This plan moves toward the vision of Results Driven Accountability (RDA) ensuring that all components of an accountability system are aligned in a manner that best support Kentucky in improving results for infants, toddlers, children and youth with disabilities and their families. Kentucky has already begun work on the development of its SSIP. In December 2013, a team from OSEP was invited to visit and assist KDE in clarifying the agency's thinking and focus as it moves forward to improve educational results and outcomes for all students. (See OSEP RDA Site Visit at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=7R4UKgaDp9pijaJVmQA38O0m8iV9V7f4D%2fSSKc7kXKs%3d&docid=0e441c6006bd4410491199c2cff0c28a3 and Post RDA Visit Letter at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=pWrQpt2Gd8Y1sTh9G8Tedw95aAUmiQxBd8NP5GR985g%3d&docid=010f15d71fcbc472f9769c7da8d6452c6.) Kentucky also is working with its OSEP-funded Regional Resource Center (RRC) and collaborating with surrounding states regionally in early thinking and work around development and implementation of the SSIP. (See Mid-South SSIP Forum at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=fD%2bH6y231eeQYSUsuhIhlK2NEaAcL6YaVDkVSo7Hfrs%3d&docid=0599791f2e4eb4faaa37194cd67fe0090.)

Dissemination of high-quality resources, in a predominately rural state, presents a challenge. Kentucky has implemented four broad-scale strategies for transition and dissemination of the KCAS and college- and career-ready strategies. First, Kentucky's *Model Curriculum Framework* (MCF) is designed to be a resource to facilitate curriculum development focused on the implementation of the KCAS and new assessments at the local level. The framework may be found at the following link: http://education.ky.gov/curriculum/docs/Documents/Kentucky%20Model%20Curriculum%20Framework%202011%20revised%20July%2026.pdf.

Second, a multi-phased project to build an online technology platform has been rolled out. This system, known as Kentucky's Continuous Instructional Improvement Technology System (CIITS), presents anytime, anywhere access to high-quality resources and professional development and serves as the model for dissemination of exemplar lessons, strategies and instructional materials. Equity and access to these resources has been a focus for KDE. Kentucky educators' access includes access to all standards, instructional resources aligned to the KCAS, formative assessments and professional development. CIITS implementation began in August 2011, and the system was fully populated by December 2012. An educator

development suite provides a customized experience for identifying professional development tied to student learning outcomes and includes just-in-time video podcasts of higher education faculty prepared to elaborate on strategies for teaching KCAS content. Additionally, resources are available in this CIITS suite as a result of Kentucky's partnership with the School Improvement Network. PD 360 resources have been integrated into the educator development suite and have an intentional focus of providing support to P-12 educators working with students with disabilities, ELLs, and other diverse populations.

The PD360 learning options can be viewed at http://www.schoolimprovement.com/pdf/PD-360-Content-List.pdf. A list showing a sample of some of the programs in PD 360 focused on special education, English learners, poverty, equity, race, differentiated instruction, RTI, etc. can be found in the document titled "PD 360 List" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=xrPwwL0HaRg0uX7vDY4pwDNTPEsE5HVKlKjEp58XZ1M%3d&docid=0aa3eb942754642389efece68b5fb593d. CIITS and PD 360 were part of the beginning of year training for district EL coordinators (http://education.ky.gov/specialed/EL/Pages/Data-Collection-Reporting-and-Monitoring-for-Immigrant-and-LEP.aspx). Videos, WebEx trainings, webinars and resources for ELs can be found at http://education.ky.gov/specialed/EL/Pages/English-Learners-and-Immigrant--Resources.aspx along with e-mails that were sent to EL coordinators found in the middle of the page under the "Title III Professional Development" heading. Also, a link to a list of PD 360 videos related to English learners was distributed to district EL coordinators (http://education.ky.gov/specialed/EL/Documents/CIITS%20resources.pdf). Moreover, a group for KY EL educators has been set up in PD 360 to share resources and ideas. This suite also is tied to Kentucky's professional growth and effectiveness system. This integrated model ties educator effectiveness to student learning outcomes in a deliberate way. More information about this connection is discussed in Principles 3A and 3B. Finally, the system is connected to district and school planning in order to complete the cycle for continuous improvement.

Third, the inclusion and partnership of institutions of higher education represents another unique contribution Kentucky has made to the national conversations dedicated to a college- and career-ready agenda for all. The Council on Postsecondary Education (CPE), the governing body of the state's institutions of higher education, has committed a significant amount of funding to the implementation of the KCAS and college- and career-ready assessments. These state-level partnerships with higher education have served as a model for implementation.

In February 2012, Kentucky hosted a national convening, on behalf of the State Higher Education Executive Officers (SHEEO), to share the collaborative efforts between the state agency and higher education to improve learning results for students P-20. During this workshop, participants learned about the efforts to increase faculty involvement in university/district partnerships for implementing the KCAS. Assessment centers, housed on the college and university campuses, have assisted P-12 in the development and alignment of assessments by helping educators in the design of formative assessment strategies ensuring that students meet agreed-upon college-ready benchmarks for placement.

Fourth, KDE coordinates messaging to key stakeholders such as community partners, business partners, and parents/guardians by working closely with Kentucky Educational Television (KET) and with advocacy groups. KET developed online, self-paced learning modules for parents, teachers and other groups outlining the need for and significance of the adoption of new standards. And, the Prichard Committee has the ReadyKY campaign (http://www.prichardcommittee.org/our-initiatives/readykentucky) designed and implemented to involve parents and community members and deepen their understanding of the implementation of the KCAS and a new assessment and accountability model. ReadyKY has created a cadre of public advocates who are spokespersons in community contexts.

Additionally, understanding the impact that the KCAS have on education, the state has worked diligently to penetrate pre-service and in-service programs as well as certification. Kentucky's Education Professional Standards Board (EPSB), the agency responsible for teacher certification, also has been instrumental in the systemic transformation in education. Since 2005, the EPSB has collaborated with school districts and KDE staff and has approved Kentucky principal preparation programs to redesign principal preparation through state regulation 16 KAR 3:050. This redesign took into consideration support to programs through professional development efforts as part of the transition. Believing that the old programs were too ineffective to improve through programmatic adjustments, the EPSB took regulatory action, and all old principal preparation programs sunset on December 31, 2011.

Similar work is underway for the redesign of the teacher preparation programs. The changes have required universities to develop clinical approaches for experienced educators offering the practical application of what is taught in classrooms. In December 2010, all existing master's degree programs were closed by EPSB, making room for approximately 12 Teacher Leader Master's programs. Additionally, the EPSB is developing a Program Quality Performance Rating as a continuous improvement mechanism for teacher and principal preparation programs. The goal is use of student performance data and outcomes from the state's teacher and principal effectiveness system as two measures within the Program Quality Performance Rating. This action taken by the EPSB ensures a commitment to systemic change to impact pre-and in-service programming.

Kentucky was again at the forefront regarding standards when in June 2013, it became one of the first states in the country to adopt the Next Generation Science Standards, now known in Kentucky as the Kentucky Core Academic Standards for Science, through 704 KAR 3:303. (See the June 2013 Kentucky Board of Education minutes at http://education.ky.gov/KBE/meet/Documents/Summary%20Minutes%20June%202013.pdf.) The version adopted by the Kentucky Board of Education can be found at http://education.ky.gov/curriculum/sci/Pages/Next-Generation-Science-Standards.aspx. A public comment period followed the adoption with over 3,000 comments received (the majority supportive of KCAS for Science) and addressed in a Statement of Consideration recommending no changes in the standards presented to the Kentucky Board of Education (KBE) at its August 2013 meeting. The Statement of Consideration, found at http://portal.ksba.org/public/Meeting.aspx?PublicAgencyID=4388&PublicMeetingID=9441&AgencyTypeID=1 under Item XII. A., was accepted as indicated in the August KBE minutes at http://education.ky.gov/KBE/meet/Documents/August%207-

8%202013%20Summary%20Minutes.pdf.

As part of the legislative process for reviewing regulations passed by the KBE, in September 2013, the Administrative Regulation Review Subcommittee met and reviewed 704 KAR 3:303 that included the new science standards. Due to the political climate within the state at the time, the committee found the 704 KAR 3:303 regulation deficient. However the Governor used his executive power and through executive order put the regulation and the new science standards into effect. See a press release at http://education.ky.gov/comm/news/Documents/R%2013-087%20Science%20Standards.pdf.

The new science standards were rolled out through the Science Leadership Networks in 2013-14; however, the first full year of implementation will occur in the 2014-15 school year. The Science Leadership Networks, modeled after the Leadership Networks for the implementation of KCAS for English/language arts and mathematics, have begun across the state. Teacher leaders are building relationships with their colleagues from across their regions in an effort to hone their own practice, skills, and knowledge. They also are strategically thinking about how to lead their own schools and districts in the effective implementation of the new standards, also known as 'performance expectations', that, when accomplished, will be transformative for science teaching and learning K-12.

As with earlier implementation, an essential step in achieving effective implementation of these new standards is taking the time to reach consensus on the meaning and intent of the standards. This is no easy or quick task. As soon as a standard is interpreted one way by one teacher and another way by another teacher, some students are likely to miss out and the result is unequal access to key knowledge, skills, and concepts that will move a student forward in his/her learning. This essential 'level-setting' and 'meaning making' requires deep conversations and consulting resources such as the Framework for K-12 Science Education, the supporting/foundational boxes in the Next Generation Science Standards (NGSS) document, and others. It challenges everyone to look beyond 'what we do' toward the intended student competencies. Once there is deep understanding of the intent of each standard, conversations can move to the essential underpinning learning targets that, collectively, will move learners toward attainment of the standard itself.

KDE is supporting teacher leaders to begin looking at methods of collecting defensible evidence of student attainment of the standards. That involves designing congruent questions, items, and tasks that yield information about what each student knows and can do for each target and, ultimately, the overall standard.

For more information about the Science Leadership Networks, go to http://education.ky.gov/curriculum/sci/Pages/Science-Leadership-Networks.aspx.

Senate Bill 1 (2009) required that Kentucky revise all required content standards to reflect the necessary knowledge and skills needed to ensure that all students are college- and career-ready. Despite the fact that the English/language arts (ELA) standards include a section for Literacy in History/Social Studies, there is still a need for a set of social studies standards that fully address the needs of Kentucky's 21st century learners. Therefore, in February 2013, a

team of elementary, middle, high school, higher education, and key social studies advocacy group representatives was established to begin setting a vision for and drafting new social studies standards for the state. These new standards will be informed by a document called the College, Career, and Civic Life (C3) Framework for Social Studies. The C3 Framework is not a set of standards, but rather was designed to assist states in updating, revising, or reinventing their state social studies standards.

The College, Career, and Civic Life (C3) Framework for Inquiry in Social Studies State Standards, developed by the National Council on Social Studies (NCSS) -- led by University of Kentucky's Kathy Swan (who also is on the team mentioned above) -- focuses on the disciplinary and multidisciplinary concepts and practices that make up the process of investigation, analysis, and explanation. It is designed to have explicit connections to the Common Core ELA standards. Work on the C3 Framework began in 2010. Members of the Council of Chief State School Officers (CCSSO) Social Studies Assessment, Curriculum, and Instruction (SSACI) collaborative (of which Kentucky is a member) provided feedback and guidance to this process. The C3 Framework was released on Constitution Day last year -- September 17, 2013.

The Kentucky team, working with a near-final draft of the C3 Framework since late spring 2013, has been able to begin some prioritization of desired characteristics/elements for a new set of Kentucky social studies standards and has even begun to draft some models of what the new standards look like. Throughout 2014, small writing groups will work to capture the thinking of the team and the intent of the Framework and to draft a complete set of standards. During this period, other key stakeholders and experts in various related fields will be asked for comments and feedback to ensure the quality of the work.

Teacher, school, and district leaders participating in Kentucky's Leadership Networks for Social Studies (launched in January 2014) will focus on developing the capacity of all participants to effectively translate the Literacy in History/Social Studies standards into practice while considering the C3 Framework's implications for teaching and learning. The participants will have multiple opportunities to provide input/feedback on the standards revision work, too, as they will have the most extensive knowledge of all the pieces along with their practical experience of supporting students' understanding of social studies.

The goal is to have a solid, defensible, world-class draft of college/career-ready social studies standards to present to the Kentucky Board of Education in the fall of 2014. The first year of implementation for the new social studies standards will be the 2015-16 school year.

Key Questions and Answers

1. *Why transition to the Common Core Standards?*

The Common Core Standards present a consistent, clear understanding of what students should know and be able to do and represent the expectations of the necessary skills and knowledge to ensure students are college- and career-ready. In Kentucky, Senate Bill 1 (2009) required a revision to all content standards, and the state wanted to engage in this development

work. The Common Core Standards initiative has allowed states to share expectations related to college and career readiness and getting all students to higher levels of proficiency.

Detailed Narrative on Increasing the Rigor of Assessments and Alignment to College- and Career-Ready Standards

At the same time that the work on the college and career standards was occurring, work on the assessment system began with the goal of increasing rigor and alignment to college and career standards. The changes in the assessment system began with the passage of Kentucky Senate Bill 1 in 2009. Senate Bill 1 was a sweeping, omnibus law that called for a new testing system in Kentucky aligned to new standards. The new state testing system is focused on measuring college and career readiness from Grade 3 to Grade 12 and uses the ACT test as the capstone assessment to determine college readiness. It is important to note that the Kentucky testing system is codified in state regulations and was launched in the 2011-12 school year. Kentucky, starting in 2011-12, had a new college and career standards testing system.

The Council on Postsecondary Education (CPE) led the effort to define college readiness in Kentucky. In fact, the CPE revised state regulation 13 KAR 2:020, Guidelines for admission to the state-supported postsecondary education institutions in Kentucky, to define college readiness and set the benchmark for admitting students to credit-bearing courses without having to take remedial courses. Additionally, the presidents of all higher education public institutions in Kentucky signed a Memorandum of Understanding (MOU) agreement to accept this same definition of college readiness. See Attachment 5 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45 for both the MOU and 13 KAR 2:020. The definition calls for a student to meet a CPE benchmark on the ACT test. All public higher education institutions will admit a student meeting the CPE benchmark in English, mathematics or reading to a credit-bearing course. In essence, Kentucky's higher education institutions set the definition and the benchmarks for college and career readiness. In turn, public P-12 schools have a clear definition to use as their guiding principle for instruction and curriculum. This remarkable, unprecedented agreement allows KDE to align the grades 3-12 testing system with a capstone college readiness definition driven by our partners in higher education.

The new testing system is linked from Grade 3 to Grade 12 and locked onto college readiness standards. Students taking the tests from Grade 3 to 12 know if they are proficient and on the path toward college and career readiness. Kentucky's new testing system is explained in the narrative below.

High School Testing Model

ACT

The ACT is the capstone test in the new Kentucky system and is administered annually in the spring to Kentucky high school juniors. ACT is based on more than 50 years of research and provides a measure that shows the probability of student success in the first year of college.

ACT has clearly defined standards and benchmarks for the subjects of reading, English and mathematics. ACT was an important player in the development of the Common Core Standards, and the ACT standards and tests are highly aligned with the Common Core work. Students who make the benchmarks are deemed ready for college courses. Students who do not meet the college benchmarks receive intervention and assistance to increase their readiness levels. Students may either take the ACT again or participate in one of two supplemental tests: the ACT COMPASS or the Kentucky Online Testing Program (KYOTE). COMPASS is a computer-based adaptive test that provides a score linked to the ACT scale. KYOTE was developed by the University of Kentucky, Northern Kentucky University and Eastern Kentucky University as a secondary measure of college readiness. CPE also obtained universal agreement from all Kentucky public institutions of higher learning to allow the COMPASS or KYOTE to be used as a supplement to the ACT score. CPE set the benchmarks for these two tests. (See Attachment 5 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45 for the Commonwealth Commitment Resolution Supporting the Role of Postsecondary Education in Improving College and Career Readiness that was signed by Kentucky's college and university presidents, and for state regulation 13:KAR 2:020, Guidelines for admission to the state-supported postsecondary education institutions in Kentucky, that was passed by the Council on Postsecondary Education in June 2011 setting the requirements for students to be admitted to Kentucky higher education institutions without having to take remedial courses.)

ACT, INC. PLAN

In addition to the ACT, all sophomores in Kentucky take the ACT, Inc. PLAN test. The PLAN test is statistically linked to the ACT and provides an early prediction of how well a student will perform on the ACT test, as well as providing objective strengths and weaknesses to a student. This early warning test can be used to locate in the fall of the sophomore year students who need additional interventions.

ACT, INC. QUALITY CORE END-OF-COURSE TESTS

Kentucky has embarked on an ambitious end-of-course testing program. The ACT Quality Core® tests in English II, Algebra II, Biology and U.S. History have been administered beginning in the 2011-12 school year to all high school students completing these courses. In Kentucky, all students must have these courses on their transcripts in order to earn a diploma. The ACT Quality Core® testing program is a comprehensive curriculum-based test measuring standards with a high match to the Common Core Standards. The ACT test scores also can be used optionally as a part of the student's final grade, thus providing high motivation to do well in the course. But more importantly, the test scores are linked to predicting how a student will perform on the ACT or PLAN test. The predicted scores create highly rigorous, college-based expectations for high school teachers and students in Kentucky.

The Kentucky testing program at the high school level has an unbroken chain of links between the ACT capstone test and the ACT PLAN and ACT Quality Core® tests. The ACT PLAN

predicts an ACT score; the ACT Quality Core® predicts an ACT score. These links between courses and tests provide Kentucky high schools, for the first time, with a common set of definitions and standards for aligning instruction to a rigorous model of college readiness. Additionally, for the first time, public higher education institutions have defined the standards required for their incoming students to be admitted to credit-bearing courses without having to take remedial coursework.

In addition to the Quality Core® tests, high school students take an end-of-year, writing-on-demand test developed by Kentucky's testing contractor.

The Middle School Testing Program

The middle school testing program has a link to the high school tests. Each test is explained in the next sections.

ACT, INC. EXPLORE

All Kentucky public school students in grade 8 take the ACT EXPLORE test annually in September. This test, based on a set of curriculum standards with high correlation to the Common Core Standards, provides a predicted score on the ACT PLAN test. The ACT EXPLORE measures achievement in reading, English, mathematics and science. Eighth-grade students are being held to the same rigorous college and career benchmarks that will apply to them as high school students.

KENTUCKY PERFORMANCE RATING FOR EDUCATIONAL PROGRESS (K-PREP) TESTS

In addition, the custom-developed Kentucky Performance Rating for Educational Progress (K-PREP) tests are administered to all 6th-8th graders. K-PREP tests cover the subjects of reading, mathematics, science, social studies and writing. The tests are based on the Kentucky Core Academic Standards in reading, mathematics and writing; in science and social studies, the test is based on the *Kentucky Core Content for Assessment*. In June 2013, the Kentucky Board of Education approved the new Next Generation Science Standards for use in Kentucky, and in October 2013, the Governor of Kentucky approved the implementation of the Next Generation Science Standards. As of December 2013, KDE staff is working with districts to begin the transition to the new standards. A new science test measuring the Next Generation Science Standards is scheduled for operational use in spring 2016. Social Studies standards are still in the final revision process and are due for review and approval by the Kentucky Board of Education in October 2014. Current science and social studies tests will continue until the launch of the new assessments.

The K-PREP tests are designed to have a norm-referenced (NRT) and a criterion-referenced (CRT) component and include multiple-choice and constructed-response questions. The NRT provides an achievement score based on a national sample of students, while the CRT provides more detailed information on how students perform on the Common Core Standards. Pearson Inc. is the vendor for the K-PREP tests.

Elementary School Testing Program

The elementary schools in Kentucky also use the K-PREP test format mentioned above. Grades 3-5 participate in the tests. Similar to the middle school tests, the subjects are reading, mathematics, science, social studies and writing, and the tests have the NRT/CRT format. The tests measure the Kentucky Core Academic Standards.

Alternate Assessment Program (1%)

Students who are identified with the most severe cognitive disabilities (1%) will be included in each component of the system. Kentucky has developed the Alternate K-PREP Assessment based on alternate academic achievement standards and it is administered to students with the most significant cognitive disabilities. Alternate assessment students complete attainment tasks for reading, mathematics, science, social studies and writing. Alternate assessment student performance levels -- Novice, Apprentice, Proficient and Distinguished -- describe student results. These performance levels are used to include alternate assessment students in achievement and gap calculations. Growth is based on a student growth percentile. Psychometric staff worked to generate a student growth percentile for alternate assessment students.

In the area of college and career readiness, a checklist called the Transition Attainment Record (TAR) is used as the alternate for EXPLORE, PLAN and the ACT. A standard-setting process established a cut on the TAR as a career measure for alternate assessment students. In addition, KDE is working on a new career definition for alternate students that takes into account both academic and technical work readiness; this new project is scheduled to be implemented in the 2015-16 school year. Alternate assessment students receive an alternative high school diploma per changes to 704 KAR 3:305 (http://www.lrc.ky.gov/kar/704/003/305.htm). Kentucky follows the federal guidance on the calculation of graduation rate and alternate assessment students; the alternative high school diplomas do not count as graduates in the graduation rate formula.

Other Subjects Tested

As mentioned above, Kentucky also will test science starting in 2016 using the new Next Generation Science Standards and a new set of social studies standards due out in October 2014 will be used to develop a new Social Studies test. The current standards and items measuring the standards were approved under prior United States Department of Education peer review guidance.

Career-Ready Definition

In addition to the college-ready definition applicable to all students, including alternate students (1%), mentioned in the sections above, Kentucky has designed a career-readiness definition for high school students. Kentucky recognizes that some students may follow a career readiness path that does not include college; however, Kentucky also recognizes that many jobs in the workforce call for strong technical and academic skills. The career-ready

definition calls for a student to meet qualifications in the two areas of Academic Skills and Technical Skills. Academic skills are measured by meeting a benchmark on either the ACT WorkKeys test or the Armed Services Vocational Aptitude Battery (ASVAB) test. Cut scores have been set at a high standard that would indicate the student has a solid academic background. Technical skills are measured by passing a Kentucky Occupational Skills Standards Assessment (KOSSA) test or by obtaining an Industry Certificate. To demonstrate career readiness, a student must meet both the academic skills and the technical skills components. Also, Kentucky is expected to launch a career definition for alternate students (1%) in the 2014-15 school year.

Standard Setting and College and Career Rigor

In the college-readiness definition, standard-setting for the new K-PREP tests to determine the proficiency cut scores was conducted in the summer and fall of 2012. Pearson conducted the sessions with a traditional, industry-accepted model. In addition, KDE linked the K-PREP cut scores to the ACT EXPLORE profile, thus putting the K-PREP scores from grades 3-8 onto a scale that provides a prediction of how well a student would score on the ACT EXPLORE test. As mentioned above, the ACT EXPLORE predicts a college readiness score on the ACT PLAN that in turn predicts how well a student will perform on the ACT test.

Another piece of important impact data used during standard setting was the National Assessment of Educational Progress (NAEP) profiles. The intent of the standard setting is to provide Kentucky with a system of tests from Grade 3 to Grade 12 that is aligned with the rigorous definition set by the ACT college-readiness standards. The assessment system back-maps from the ACT college and career definitions to every test in the system. Students from grades 3 to 12 know each year whether they are on track for college readiness.

In the career readiness definition, the standards were intentionally set at a high level to make sure students who choose this path are not receiving a less rigorous curriculum or preparation. For the ACT WorkKeys, the Silver Level was chosen, which means the student scores high enough academically in reading and math to be ready for 75 percent of all jobs profiled in the system. The ASVAB cut score was developed along the same method. The ASVAB's Armed Forces Qualifying Test (AFQT) score of 50 indicates the student is ready for a very high percentage of high-tech jobs in the military. Industry Certificates only are used in the definition if the job earns a living wage for a family. Current data analysis of this model found that a very high number of students who met the career-ready definition also met the college-ready definition.

Key Questions and Answers

1. *Will the new assessment system redefine proficiency in Kentucky?*

Yes. By using the college and career standards inherent in the KCAS and the benchmarks determined by Kentucky's Council on Postsecondary Education (CPE), an expectation existed that the distribution of students scoring at the proficient and distinguished levels would drop, and that is what happened. Approximately 38 percent of the students in the 2011 graduating

class were determined to be college- and career-ready using the new definitions. When the assessment system was aligned with the college- and career-ready scale, the number of proficient students at the elementary and middle schools fell into the range of 30-40 percent proficient or higher compared to the 70 percent proficiency in reading in the elementary level on the KCCT test last given in 2011.

2. *Will the career-readiness definition be revisited?*

Yes. The Kentucky Board of Education will revisit the definition of career readiness. The board and the Kentucky Department of Education recognize that career-readiness definitions will evolve over the next few years, and we will need to be responsive to work in this area at the federal level and in other states.

1.C DEVELOP AND ADMINISTER ANNUAL, STATEWIDE, ALIGNED, HIGH-QUALITY ASSESSMENTS THAT MEASURE STUDENT GROWTH

Select the option that pertains to the SEA and provide evidence corresponding to the option selected.

Option A	**Option B**	**Option C**
The SEA is participating in one of the two State consortia that received a grant under the Race to the Top Assessment competition. **i.** Attach the State's Memorandum of Understanding (MOU) under that competition.	☐ The SEA is not participating in either one of the two State consortia that received a grant under the Race to the Top Assessment competition, and has not yet developed or administered statewide aligned, high-quality assessments that measure student growth in reading/language arts and in mathematics in at least grades 3-8 and at least once in high school in all LEAs. i. Provide the SEA's plan to develop and administer annually, beginning no later than the 2014–2015 school year, statewide aligned, high-quality assessments that measure student growth in reading/language arts and in mathematics in at least grades 3-8 and at least once in high school	☒ The SEA has developed and begun annually administering statewide aligned, high-quality assessments that measure student growth in reading/language arts and in mathematics in at least grades 3-8 and at least once in high school in all LEAs. i. Attach evidence that the SEA has submitted these assessments and academic achievement standards to the Department for peer review or attach a timeline of when the SEA will submit the assessments and academic achievement standards to the Department for peer review. **(KDE is awaiting guidance from USED on a peer review process; See Attachment 7 of the**

	in all LEAs, as well as set academic achievement standards for those assessments.	**Appendix for a description of Kentucky's assessments and achievement standards.)**

Guidance Question: If the SEA has developed and begun annually administering high-quality assessments in all LEAs, and has set academic achievement standards, did the SEA attach evidence that the SEA has submitted a timeline showing when the SEA will submit the assessments to the Department for peer review?

Kentucky chooses Option C. In response to the finding in its ESEA Part B Monitoring Report under "Develop and Administer High-Quality Assessments", Kentucky is clarifying that it continues to administer the same assessments and academic achievement standards that were implemented starting in 2011-12 and is currently in the third year of administering these assessments and academic standards. These measure student growth in reading/language arts and in mathematics in at least grades 3-8 and at least once in high school in all local education agencies (LEAs). The tests that are used for the ESEA Section 1111(b)(3) purposes are: the Kentucky Performance for Educational Progress (K-PREP) in grades 3-8 in reading, mathematics, and science; the high school end-of-course tests (ACT Quality Core) for English II, Algebra II, and Biology; and the Alternate K-PREP assessment in reading, mathematics and science.

For Option C, item i, the Kentucky Department of Education is awaiting guidance from the United States Department of Education on a peer review process. See Attachment 7 of the Appendix for a description of Kentucky's assessments and achievement standards (the Kentucky Performance for Educational Progress (K-PREP) in grades 3-8 in reading, mathematics, and science; the high school end-of-course tests (ACT Quality Core) in English II, Algebra II, and Biology; the ACT EXPLORE, PLAN and ACT; and the Kentucky Alternate Assessment Program (KAAP), which includes the Alternate K-PREP assessment in reading, mathematics, and science, based on alternate academic achievement standards, that is administered to students with the most significant cognitive disabilities) and the timeline of when Kentucky will submit these to the U.S. Department of Education for peer review.

Since the approval of the amendments to its ESEA flexibility waiver on September 28, 2012, Kentucky has received approval of its ESEA Accountability Workbook Addendum (September 30, 2012) and received its ESEA Flexibility Part A Monitoring Report (Exit conference December 10, 2012) with no next steps cited.

In response to the finding in its ESEA Part B Monitoring Report under "Develop and Administer High-Quality Assessments", Kentucky is clarifying that Option A above was unchecked because it is no longer a participating state in either the Partnership For Assessment of Readiness for College and Careers (PARCC) or Smarter Balance consortiums. The term "participating" created some confusion in the state and on the national scene and withdrawal has cleared up this confusion. Additionally, Kentucky anticipates that it may have to engage in a Request for

Proposal (RFP) process as part of the next wave of assessments for the Commonwealth. Kentucky state law requires a fair and equitable RFP process. We want to ensure that the consortiums have the opportunity to participate in this process as a potential bidder, if they wish to do so, without creating any perception of a conflict of interest or bias.

PRINCIPLE 2: STATE-DEVELOPED DIFFERENTIATED RECOGNITION, ACCOUNTABILITY, AND SUPPORT

2.A DEVELOP AND IMPLEMENT A STATE-BASED SYSTEM OF DIFFERENTIATED RECOGNITION, ACCOUNTABILITY, AND SUPPORT

2.A.i Provide a description of the SEA's differentiated recognition, accountability, and support system that includes all the components listed in Principle 2, the SEA's plan for implementation of the differentiated recognition, accountability, and support system no later than the 2012–2013 school year, and an explanation of how the SEA's differentiated recognition, accountability, and support system is designed to improve student achievement and school performance, close achievement gaps, and increase the quality of instruction for students.

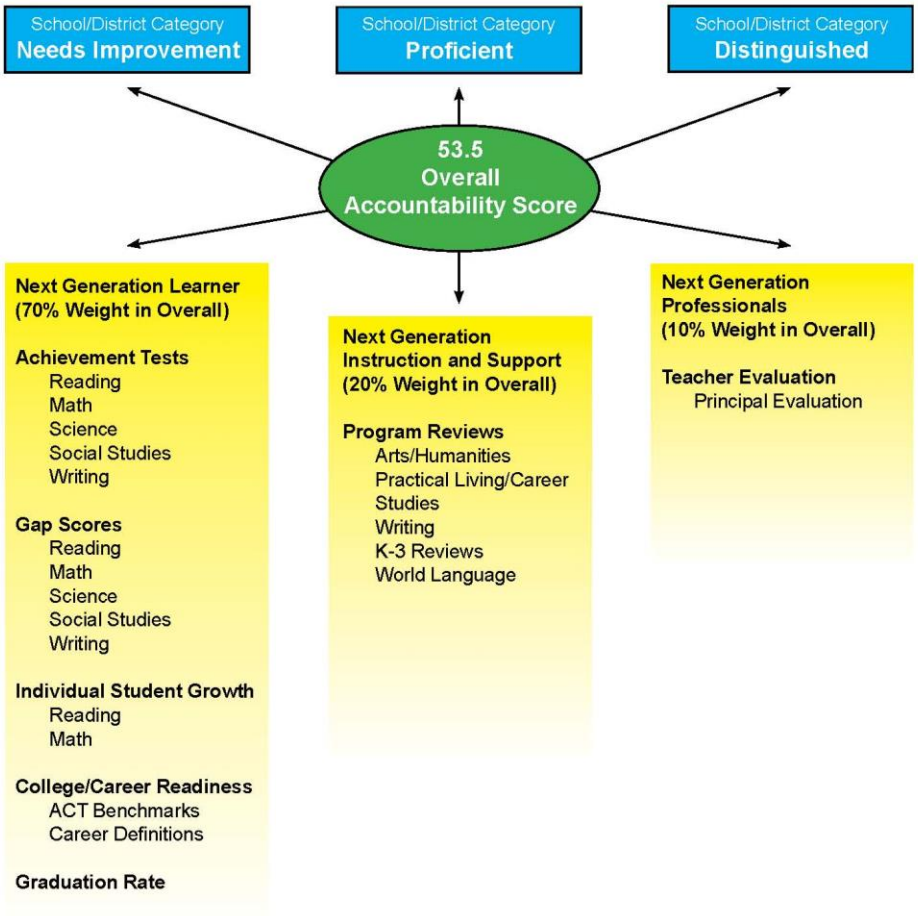
Guidance Question: Did the SEA propose a differentiated recognition, accountability, and support system, and a high-quality plan to implement this system no later than the 2012-2013 school year, that is likely to improve student achievement and school performance, close achievement gaps, and increase the quality of instruction for students?

Overview of Kentucky's Accountability Model

From a high level the model is simple. Each school/district receives an annual Overall Score based on the three components of Next Generation Learners, Next Generation Instructional Programs and Support and Next Generation Professionals. The Overall Score places the school/district into one of three categories: Needs Improvement, Proficient or Distinguished. Each of those components has a variety of indicators used to calculate the Overall Score.

The figure below illustrates how the model works.

Kentucky's Accountability Model



<u>Detailed Narrative on Kentucky's Assessment and Accountability System</u>

The following narrative explains in detail how the Overall Score is computed.

Education-reform legislation in 2009 paved the pathway for the next generation of school and district accountability for the Commonwealth. Following a year of discussion with educators, stakeholders and the public, the Kentucky Board of Education approved several regulations that define a new accountability model, Unbridled Learning: College- and Career-Ready for All.

Although the achievement of students continues as a critical focus and the heart of the model, Unbridled Learning expands the view of schools and districts to ensure a comprehensive look at factors that contribute to all students becoming proficient and prepared for success. The model incorporates a variety of data points and does not rely on a single narrow metric to recognize success and support improvement.

Beginning in the 2011-12 school year, this model offers a balanced approach that incorporates all aspects of school and district work organized around the Kentucky Board of Education's four strategic priorities: next-generation learners, next-generation professionals, next-generation support systems and next-generation schools/districts. The chart below details the indicators and data sources included in Kentucky's model around each of the strategic priorities. These also are specified within 703 KAR 5:200, Next Generation Learners (http://www.lrc.ky.gov/kar/703/005/200.htm) that was approved by the Kentucky Board of Education in June 2011.

Unbridled Learning: College- and/or Career-Ready for All				
Next-Generation Learners	**Next-Generation Instructional Programs and Support**	**Next-Generation Professionals**		**Next-Generation Schools/ Districts**
Achievement (Proficiency) Gap Growth Readiness for College/Career Graduation Rate	Program Reviews	Percent Effective Teachers Percent Effective Leaders	=	Overall Accountability Score (using data from the preceding columns) Revised Report Card

Next-Generation Learners

The first component of Unbridled Learning, next-generation learners, is anchored in college and career readiness for all students. Like previous accountability models, it continues annual public reporting of disaggregated student outcome measures in required content areas. However, this more robust next-generation model also includes a focus on student achievement growth measures and performance of students in the achievement gap. It also emphasizes college and career readiness and high school graduation rates. The table below outlines the performance measures for each category in next-generation learners.

Grade Range	Achievement	Gap	Growth	College/Career Readiness	Graduation Rate
Elementary	Tests: reading, mathematics, science, social studies and writing	Tests: reading, mathematics, science, social studies and writing	Reading and Mathematics	**N/A**	**N/A**
Middle	Tests: reading, mathematics, science, social studies and writing	Tests: reading, mathematics, science, social studies and writing	Reading and Mathematics	EXPLORE (College Readiness)	**N/A**
High	End-of-Course Tests** and On-Demand Writing	End-of-Course Tests** and On-Demand Writing	PLAN to ACT *Reading and Mathematics*	College/Career-Readiness Rate	Adjusted Cohort Graduation Rate

**End-of-Course tests include Algebra II, English 10 (II), Biology and U.S. History.

Achievement - Achievement incorporates student performance on state-required assessments in five content areas. Kentucky's new assessment system, Kentucky Performance Rating of Educational Progress (K-PREP), includes criterion-referenced/norm-referenced blended tests in grades 3-8 and ACT's Quality Core® program for end-of-course tests in Algebra II, English 10, Biology and U.S. History. A series of on-demand writing tests are required at elementary, middle and high school levels.

Schools and districts earn full credit for students scoring proficient and above (i.e., distinguished). If all students attain proficiency, a school/district earns 100 percent in the achievement category. To recognize the work of schools and districts as students move toward proficiency, a half-credit is awarded for apprentice students. The lowest student performance level, novice, does not receive credit in the accountability model. Calculation rules were developed to prevent strongly performing students from masking or compensating for students still performing at the lowest levels. In order to receive bonus credit for distinguished students, the school must have more students performing at the highest level than at the lowest level. The Kentucky Board of Education (KBE) directed that a bonus for distinguished be added that does not mask or overcompensate for novice performance. To calculate the bonus, each percent distinguished earns an additional one-half point, and the percent novice earns a negative one-half point, so that when the distinguished and novice values are combined, the novice points may offset the distinguished bonus. If the novice performance completely offsets the distinguished bonus, no points are added to or subtracted from the achievement calculation. The bonus calculation for distinguished does not allow a school or district to score above 100 percent.

Gap - It is important to note that Kentucky uses two distinct metrics in its gap analysis: (1) Individual Gap Groups and (2) Non-Duplicated Gap Group. First, individual gap group scores for

all groups are produced and targets are set for each individual group, and schools are held accountable for improving those scores. For an explanation, see the discussion of this method under the section below titled Key Questions and Answers and within the section titled Setting AMO Goals for Each Subgroup within Section 2.B of this document. The other method used is to create a Non-Duplicated Gap Group metric. The Non-Duplicated Gap Group method is described in the section found immediately below.

Kentucky's goal is 100 percent proficiency for all students; therefore, for the Non-Duplicated Gap Group, discussion of gaps focuses on the distance from a gap group proficiency rate to the ultimate goal of 100% proficient. The Gap category of next-generation learners focuses specifically on student groups that perform traditionally below the achievement goal. Gap uses the same student test results as those included under Achievement. The distance from that goal or gap is measured by creating a Student Gap Group -- an aggregate count of student groups that have historically had achievement gaps. Student groups combined into the Student Gap Group include ethnicity/race (African American, Hispanic, Native American), Special Education, Poverty (free/reduced-price meals) and Limited English Proficiency that score at proficient or higher.

The percent of students performing at proficient and distinguished in the Non-Duplicated Gap Group is reported annually for each content area. To calculate the combined student Gap Group, **non-duplicated counts** of students who score proficient or higher and are in the student groups would be summed. No individual student counts more than one time, and all students belonging to included groups are counted once. **The "N" count (number of students reported) is based on total school population, not grade-by-grade enrollment, thus causing almost every school in Kentucky to have a focus on gap groups.**

A sample illustrating the Non-Duplicated Gap Group for high school is shown in the chart below.

DEMOGRAPHIC GROUP	READING 2009 STUDENT COUNT	READING 2009 PERCENT (PROFICIENT + DISTINGUISHED)		READING 2010 STUDENT COUNT	READING 2010 PERCENT (PROFICIENT + DISTINGUISHED)
Non-Duplicated Gap Group*	**279**	**36.20**		**279**	**35.13**
*African-American	163	34.97		154	25.97
*Hispanic	20	50.00		15	46.67
*Native American	0	0		0	0
*With Disability	66	12.12		52	19.23
*Free/Reduced-Price Meals	237	36.71		263	35.36
*Limited English Proficiency	19	21.05		26	3.85
Other Groups Report					
All Students	303	38.28		304	38.16
Male	175	32.00		165	31.52
Female	128	46.88		139	46.04
White	107	41.12		111	50.45
Asian	4			16	50.00
*Groups included in Gap					

Key Questions and Answers

1. *Does the model lose a focus on individual gap groups by creating a single Student Gap Group?*

No. The model actually fixes problems with a more traditional approach to gap groups. A major problem with using individual groups is the count of students. Small student counts allow a school to ignore small groups of students. The Kentucky model solves the problem by putting all gap groups into a single group. In the past, many schools would not have to worry about subgroups with small n-counts. By placing all the subgroup students into one group, the n-count increases for all schools.

From actual experience in 2012 and 2013, 99 percent of the schools in the state had a Student Gap Group; thus, the model actually increases the motivation for schools to improve the achievement of all students. In the high school sample chart found above, two groups, Limited English Proficient and Hispanics, could have been ignored in traditional models due to the n-counts, but in the single Student Gap Group model, all students would need to be targeted for growth. In the 2011 NCLB reports, only 21% of the schools had African American subgroups and only 25% of the schools had a Students with Disabilities (SWD) subgroup, but the percent of Kentucky schools with African Americans was 85% and the percent of Kentucky schools with SWD was 100%. The Student Gap Group that exists in 99% of the schools creates an incentive to increase achievement for all students. Students cannot be ignored.

In addition, the new model provides a single goal for schools. In the old model, there were up to 16 individual gap group goals. By reducing the goals from 16 to 1, the focus of the school can be targeted and managed in a more efficient way. Schools are not overwhelmed by the myriad of goals facing them; they focus on one single goal, and by raising that one goal, the achievement rises for the subgroup students.

2. *Will subgroups' scores be reported?*

Yes, all subgroup performance will be publically reported, and all subgroups will have Annual Measurable Objectives (AMOs Delivery) created through the Kentucky Board of Education's strategic planning process.

3. *Will students participating in the alternate assessment program be fully included in Kentucky's assessment and accountability system?*

Yes. Kentucky's alternate assessment students will be included in each component of the system. How alternate assessment students are included in the Next-Generation Learner categories of achievement, gap, growth, college/career readiness and graduation rate is described in the following paragraph.

Alternate assessment students complete attainment tasks for reading, mathematics, science, social studies and writing. Alternate assessment student performance levels -- Novice, Apprentice, Proficient and Distinguished -- describe student results. These performance levels are used to

include alternate assessment students in achievement and gap calculations. Growth is based on a student growth percentile (SGP). The SGP is calculated for each student using the prior year's score as the baseline. The percentile is in relation to all other students who took the alternate assessment during the previous and current years. In the area of college and career readiness, a checklist called the Transition Attainment Record (TAR) is used as the alternate for EXPLORE, PLAN and the ACT. A standard-setting process established a cut on the TAR as a career measure for alternate assessment students. In addition, KDE is working on a new career definition for alternate students that takes into account both academic and technical work readiness; this new project is scheduled to be implemented in the 2015-16 school year. Alternate assessment students receive an alternative high school diploma per changes to 704 KAR 3:305 (http://www.lrc.ky.gov/kar/704/003/305.htm). Kentucky follows the federal guidance on the calculation of graduation rate and alternate assessment students; the alternative high school diplomas do not count as graduates in the graduation rate formula.

Detailed Narrative on Kentucky's Assessment and Accountability System (Continued)

Growth - The Growth category uses a Student Growth Percentile (SGP). It compares an individual student's score to those of the student's academic peers. It recognizes schools and districts for the percentage of students showing typical or higher levels of growth. The scale for growth is determined at equal intervals with typical growth beginning at the 40th percentile. For elementary and middle schools, growth is based on annual reading and mathematics tests in grades 3-8. At high school, the same model of recognizing student performance along a scale uses the PLAN (grade 10) and ACT (grade 11) composite scores in reading and mathematics for comparison. Points are awarded for percentage of students showing typical or higher growth.

College/Career Readiness - The Commonwealth of Kentucky is focused on making college and career readiness a reality for every Kentucky student. To identify students as college- and career-ready, the Kentucky Board of Education (KBE) has approved indicators of readiness that include students meeting:
(1) the Kentucky Council on Postsecondary Education's Systemwide Benchmarks on the ACT in Reading (20), English (18) and Mathematics (19)

or
(2) the Kentucky Council on Postsecondary Education's College Placement Test Benchmarks

or
(3) career academic and technical benchmarks

The following chart represents the definition of College/Career Readiness approved by the KBE in August 2011.

Kentucky Department of Education Proposal: Career Measures Definition
College Ready, Career Ready, and College AND Career Bonus

College Ready: Must meet benchmarks on one of following:

College Ready
ACT
COMPASS
KYOTE

Career Ready: Must meet benchmarks for one requirement in Career Academic area and must meet one requirement in Career Technical area.

Career Ready Academic	Career Ready Technical
Armed Services Vocational Aptitude Battery (ASVAB)	Kentucky Occupational Skills Standards Assessment (KOSSA)
ACT Work Keys (Applied Math, Locating Information, and Reading for Information)	Industry Certificates

Bonus - College AND Career Ready: Must meet at least one from each area.

College Ready Academic	Career Ready Technical
ACT or COMPASS or KYOTE	KOSSA
Notes: (1) By meeting the college ready academic definition, the student does not have to take the additional tests of ASVAB or WorkKeys for the bonus area. (2) For accountability purposes, the bonus shall not allow the readiness percentage to exceed 100 percent.	Industry Certificates

The College/Career Readiness Rate (CCRR) is a percentage calculated by dividing the number of high school graduates who have successfully met an indicator of readiness for college/career with the total number of graduates. The indicators of readiness include student performance on the ACT, completion of college placement tests or attainment of Career-Ready Academic and Career-Ready Technical benchmarks. The KBE approved a half-point bonus to be added to the report for students who are considered both college- and career-ready.

In September 2010, a Readiness goal was established for schools, districts and the state to improve their 2010 Readiness percentages by at least 50 percent. The improvement goal was derived by subtracting the 2010 readiness percentage from the maximum of 100 percent readiness, then dividing by two. This value was then added to the 2010 percentage to establish a 50 percent improvement goal for 2015.

While reporting continues to show an improvement goal, the percentage of students demonstrating readiness (i.e., Readiness Rate) is included in next-generation learners. For the middle school level, college readiness is based on student performance on the EXPLORE assessment administered at Grade 8. The percentage of students meeting the ACT-established benchmarks for EXPLORE in reading (15), English (13) and mathematics (17) is reported. The percentage of students meeting the benchmark in each content area is averaged to generate a middle school college readiness percentage.

Graduation Rate **-** A graduation rate for each school and district is reported annually as a category of next-generation learners. The U.S. Department of Education (USED) has approved

Kentucky's use of the Four-Year Adjusted Cohort Graduation Rate. The Cohort rate went into effect and was used for the 2012-13 accountability calculations. Starting at the end of 2013-14, KDE will compute, along with the Four-Year Adjusted Cohort Graduation Rate, a Five-Year Adjusted Cohort Graduation Rate. For the 2013-14 school year, the Five-Year Cohort rate will be used for accountability calculations.

Overall Score Reporting for Next-Generation Learners - Individual student data collected from the assessments and college/career readiness and graduation rates generate a numeric value for each category of next-generation learners -- Achievement, Gap, Growth, College/Career Readiness and Graduation Rate. The value for each category is weighted to create a final overall score for next-generation learners. The following table illustrates the weights.

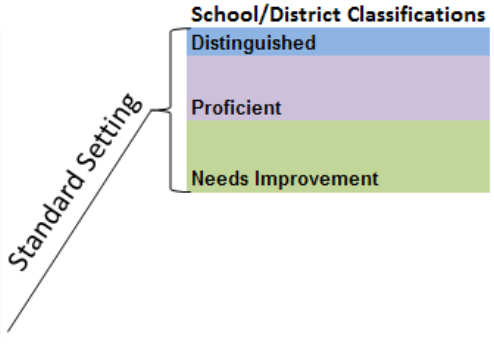
Grade Range	Achievement	Gap	Growth	College/Career Readiness	Graduation Rate	Total
Elementary	30	30	40	N/A	N/A	100
Middle	28	28	28	16	N/A	100
High	20	20	20	20	20	100

The KBE approved that students enrolled for a full academic year (a minimum of 100 instructional days) will be included in the calculations for Achievement, Gap, Individual Student Growth and Readiness for College/Career for a school and district. For Graduation Rate, all students enrolled and students earning diplomas will be included in the calculations. Next-Generation Learners will report a single number combining the categories.

KBE asked that, within each classification, an indicator be added to show the direction in which the performance of the school/district is moving. This is illustrated by the figure below.

Kentucky High School Sample

	Raw Score	School Weighted Score
Achievement Points Earned	67.5	13.5
Gap (Percent Proficient and Distinguished)	39%	7.8
Growth (Percent Typical or Higher)	49.50%	9.9
College/Career Readiness (Percent of Students Ready)	38%	7.6
Graduation Rate	83%	16.6
Total	N/A	55.4



Next-Generation Instructional Programs and Support

The second component of Unbridled Learning, next-generation instructional programs and support, is based on requirements from legislation enacted in 2009 that established Program Reviews as part of a new assessment and accountability model. A Program Review is: *"…a systematic method of analyzing components of an instructional program, including instructional practices, aligned and enacted curriculum, student work samples, formative and summative assessments, professional development and support services, and administrative support and monitoring."* (KRS 158.6453(1)(i))

Program Reviews are required in legislation for arts & humanities, writing and practical living/and career studies. The KBE expanded the legislative requirements by adding K-3 and world language Program Reviews. (See http://www.lrc.ky.gov/kar/703/005/230.htm for 703 KAR 5:230, Next Generation Instructional Programs and Support, for the Program Review requirements adopted by the Kentucky Board of Education in August 2011 with additional amendments made in October 2011.) K-3 Program Reviews will be added to the accountability model in 2014-15. World Language is scheduled for 2015-16; however, the implementation timeline of Program Reviews and adding them to accountability continue to be a work in progress as districts become more savvy about understanding the connections between the activity of conducting a program review and evaluation of teachers in program review courses.

The Program Reviews serve a number of purposes, which include:

- improving the quality of teaching and learning for all students in all programs
- allowing equal access to the 21st century learning skills that will assist all students in being productive citizens
- allowing student demonstration of understanding beyond a paper-and-pencil test
- ensuring a school-wide natural integration of the program skills across all content, beyond the program areas

The review of a program should be an ongoing, year-round, reflective process. Through careful review, schools will be able to identify strengths, which can be shared with other programs within the building. A careful review also will allow for the identification of weaknesses and areas of growth. It is to a school's advantage to communicate the Program Review process and documents to all staff. As staff members identify their roles in supporting school programs, they can contribute to the process of evidence identification and program improvement.

Next-Generation Professionals

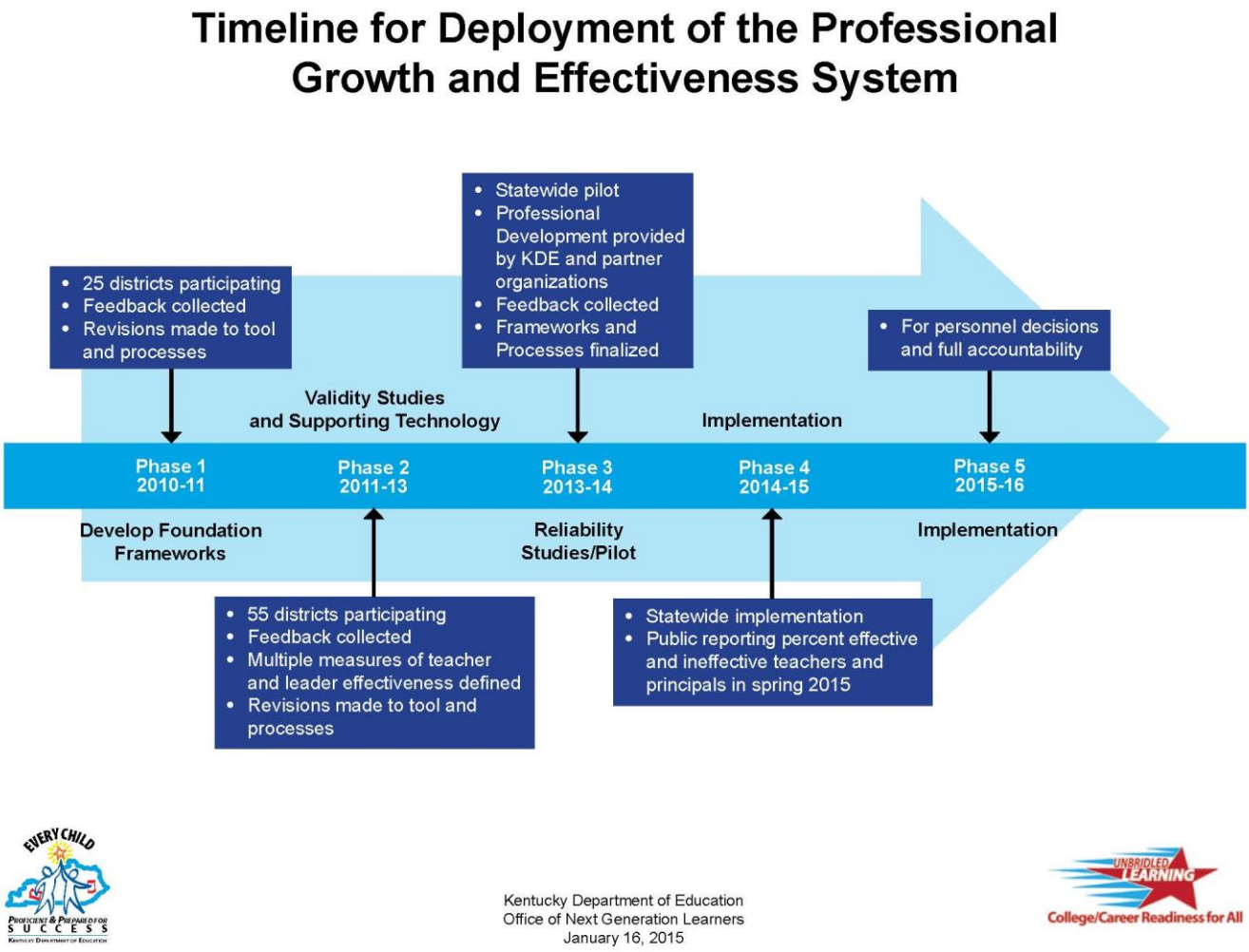
The third and final component of Unbridled Learning, next-generation professionals, recognizes that student success is supported by effective educators. The goals of this component are to equip educators with critical tools, including guidance, systems of support and a measurable model of educator effectiveness based on student achievement. Schools and districts need support to identify and recruit educators, ensure diversity, and retain and professionally grow an educator workforce of the highest quality to teach in Kentucky schools.

The vision for the Professional Growth and Effectiveness System (PGES) is to have every student

taught by an effective teacher and every school led by an effective principal. The goal is to create a fair and equitable system to measure teacher and leader effectiveness and act as a catalyst for professional growth. The system consists of multiple measures of student growth as well as components to measure leadership, professionalism, instruction, learning climate and assessment practices. The key strategies used to design and implement the system include collaboration with education partners and the intentional involvement of school districts and schools, along with support and guidance from steering committees.

Next-generation professionals reporting will share, at an aggregate level, the percentage of teachers and leaders at the accomplished level on Kentucky's new Professional Growth and Effectiveness System. The Kentucky Department of Education will not report individual teacher or leader evaluation data.

In the figure found below, the timeline for the deployment of the Professional Growth and Effectiveness System is reflected, also indicating when this component will be included in the state's accountability (spring 2016).



Overall Score for Unbridled Learning: College- and Career-Ready for All

Schools and districts receive reports for each component (Next-Generation Learners, Next-Generation Instructional Programs and Support, and Next-Generation Professionals) that provide component information. Then, an overall score for Unbridled Learning: College- and Career-Ready for All system is assigned to each school/district placing them in a classification (Distinguished, Proficient, or Needs Improvement). This combined score is compiled by weighting the three components in the following manner:

Next-Generation Learners	70%
Next-Generation Instructional Programs and Support	20%
Next-Generation Professionals	10%
Overall Score	100%

The Overall Score process is specified within 703 KAR 5:225, School and District Accountability, Recognition, Support and Consequences that was originally approved by the

Kentucky Board of Education in August 2011; however, it underwent revisions to align the regulation with the ESEA waiver requirements and secure additional constituent review and came back to the board in February 2012 for approval. Then, due to technical issues found in the regulation when it was filed with the Legislative Research Commission, the number and name of 703 KAR 5:222 was changed to 703 KAR 5:225, School and District Accountability, Recognition, Support and Consequences, and another public hearing was held that resulted in further changes to the regulatory language. The board approved those changes in June 2012.

Until the other components are completed, only the Next-Generation Learners component will be used to generate an overall score for accountability in the first year of the system. The following chart provides the overall score phase-in for the three components.

Overall Score Phase-In

Year	Component	Percentage of Overall
2011-12	**Next-Generation Learners**	**100%**
2012-13	**Next-Generation Learners**	**100%**
2013-14	**Next-Generation Learners**	**77%**
2014-15	**Next-Generation Instructional Programs and Support**	**23%**
2015-16	**Next-Generation Learners**	**70%**
	Next-Generation Instructional Programs and Support	**20%**
	Next-Generation Professionals	**10%**

The single overall accountability score is the trigger for recognition and support for schools and districts and the creation of Annual Measureable Objectives (AMOs). The overall number incorporates a robust set of success factors, but remains strongly focused on the performance and attainment of individual students, with 70 percent of the overall score derived from Next-Generation Learners. This single overall accountability number reflects far more than student performance on a single test, but is heavily weighted toward student achievement.

Key Questions and Answers

1. *Does the Kentucky model raise the "bar" for students?*

Yes, the Kentucky accountability model raises the expectations for students since it is aligned with college- and career-ready standards and includes emphasis on multiple indicators. See the illustration below.

Old Model	New Model
Standards Kentucky-Developed Standards **Indicators** Achievement Gap Graduation Rate	**Standards** College Readiness Standards (accepted by all Kentucky public colleges and universities) **Indicators** Achievement Gap Student Growth College/Career Readiness Graduation Rate Program Reviews Professional Evaluation

The new college- and career-readiness standards are more rigorous than the previous state-developed standards. The ultimate goal of the system is that every student is college- and/or career-ready. The new standards raise the bar for educators, students and parents in Kentucky.

2. *Will the weights of the system ensure that all students achieve the college- and career-ready standards?*

Next-Generation Learners is the component of the model that uses individual student achievement. This component is intentionally weighted at 70 percent in order to put leverage on all students meeting college- and career-readiness standards. In addition, within Next-Generation Learners, the high school components of achievement, gap, growth and college readiness all connect to the ACT, PLAN and end-of-course tests that link to college/career readiness standards. The Grade 3-8 tests are linked to the high school college/career standard. A school cannot make gains in the accountability system without improving the achievement levels of all students.

3. *Since there are so many indicators, can a school game the system?*

The weight on each component helps alleviate gaming of the system. Next-Generation Learners accounts for 70 percent of the Overall Score. This component contains the achievement scores, gap scores, individual student growth and college and career readiness rates. Each of these areas relies heavily on the academic tests in the system. In order to move the Overall Score number, schools have to raise achievement. Achievement stays in the forefront in this model. Schools need to concentrate on the Next-Generation Learners component to make gains in the system.

4. *Is the 40th percentile cut score for the Student Growth Percentiles (SGP) Model too low?*

Two reasons exist for choosing the 40th percentile: (1) Kentucky's choice of the 40th percentile acknowledges a type of confidence interval and it reflects the fact that there are SGPs below the 50th percentile that are statistically no different than 50 and (2) when simulation data was run,

students in grades 3-12 who scored at or above the 40th Student Growth Percentile showed an average of 5.8 scale score growth in mathematics and an average of 6.3 scale score growth in reading. Kentucky's scale score range is 20 points between Novice and Apprentice, Apprentice and Proficient, and Proficient and Distinguished. Students scoring above the 40th SGP are demonstrating 1/3 of the growth needed to change levels. On average, a student who reaches the 40th SGP would grow from Novice to Apprentice or Apprentice to Proficient in three years. This type of growth is more than adequate and it demonstrates that the 40th SGP is based on sound statistical data.

As part of the ongoing research project in the state's accountability model, the Kentucky Department of Education will conduct research into how the 40th percentile cut score correlates with student achievement. This research will start with the 2011-12 results and then culminate with the 2013-14 results. The results of the study will inform the decision concerning the setting of the 40th percentile. Since the 2013-14 scores will be available in the fall of 2014, the research is expected to be completed by the winter of 2015.

Detailed Narrative on Recognition, Support and Consequences

Kentucky's recognition, accountability and support system has expanded and matured since its inclusion in the initial ESEA flexibility waiver submission. While the primary systems used to identify Priority and Focus Schools have not undergone significant change, the web of supports initially envisioned to enhance the ability of teachers to individualize services to meet the needs of all students has expanded (http://education.ky.gov/school/Pages/default.aspx). Additional activities have been initiated across different sectors of the agency to try to increase the pressure on all instructional, administrative and support systems to achieve greater improvement in student performance.

History Since Initial Waiver

Prior to the submission of Kentucky's ESEA Flexibility Waiver application in the winter of 2011, KDE had been given a directive for widespread systemic change through the passage of Senate Bill 1 (2009), which changed the landscape of education in this state. Charging KDE to collaborate with stakeholders and higher education to revise and align existing academic standards, revise the statewide annual assessment system, and change the statewide accountability system, Senate Bill 1 required the state to take an entirely different path to the goal of all students graduating college- and career-ready. With new leadership at the helm of the agency committed to positive and lasting change, and the urgency created by the need to implement the General Assembly's vision, the new system, Unbridled Learning: College and Career Readiness for All, was born. At the time of development and submission of the initial ESEA Flexibility Waiver application, Kentucky was beginning to establish and implement the parameters of the revised system. While some elements of the accountability process were in place, with Priority and Focus Schools being identified and served, sufficient implementation time had not elapsed in order to allow the agency to put in place all of the elements of support and assistance necessary to assure that all of our students, including students with disabilities, English learners, and other students in the achievement gap, would be guaranteed the greatest opportunity to achieve college and career readiness.

Instructional Support/Leadership Networks (http://education.ky.gov/curriculum/docs/Pages/KLN.aspx and http://education.ky.gov/school/Pages/ISN.aspx)

In order to understand how much has been accomplished, it helps to review the landscape existing at that time and outline accomplishments to date. Following the early adoption of the Kentucky Core Academic Standards, Leadership Networks were created, consisting of teachers and leaders from every district; local and state higher education representatives; regional education cooperatives; and KDE Frankfort and field-based staff. The purpose of the Leadership Networks was to assure that teachers and leaders were correctly and consistently informed to equip them to meet the challenge of implementing the new standards. Their initial focus on creating common understandings of the rigor required by the new standards and assuring assessment literacy helped establish the consistent, statewide foundation necessary for creating excellence.

Leadership Network Support for Students with Disabilities and English Learners

Instructional Support Network educators working with students with disabilities and English learners (EL) have been engaged in the Leadership Networks from their inception. Each district was strongly encouraged to have special education and EL teacher participation, and special education directors have been encouraged to participate in the district leaders' network. The state's regional special education cooperatives have hired literacy and math specialists with special education expertise. These staff received additional training to develop expertise on the Kentucky Core Academic Standards (KCAS) in order to serve as a resource to support classroom teachers of students with disabilities across all regions of the state.

An updated action plan (Attachment 27 on page 142 of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45) developed for the specialists in the education cooperatives outlines strategies (such as Universal Design for Learning, Response to Intervention, curriculum development and design using the state's model curriculum framework, and assessment literacy strategies and accommodations for students with disabilities) KDE has implemented through targeting professional development in these topics to teachers who work with students with disabilities, English learners, and other at-risk students.

In preparation for the rollout of the alternate K-PREP assessment, KDE, in collaboration with the special education cooperatives and institutions of higher education, produced curriculum and instructional supports based on the Kentucky Core Academic Standards for the new reading, writing and math standards. The materials include podcasts, training materials and instructional tools to assist teachers in implementing the new standards with students with disabilities. See http://education.ky.gov/AA/distsupp/kprep/Pages/AltResources.aspx, http://education.ky.gov/AA/distsupp/kprep/Pages/AltTrainings.aspx and http://education.ky.gov/AA/distsupp/kprep/Pages/AltCommunications.aspx. Additionally, the Kentucky Department of Education continues to provide face-to-face workshops in addition to

the online trainings. A workshop entitled *Empowering English Language Learners for Success in an Ever Changing World* was presented in October 2013. The workshop was conducted by a WIDA-certified facilitator and the emphasis was on Kentucky Core Academic Standards in conjunction with the WIDA 2012 Amplified ELD Standards. (See Kentucky Department of Education EL Professional Development and Annotated Agenda for Certification at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=Pr7Wm8KsewsSrj1%2bEgtec6NsFW%2fN2LVB%2bk3oH6bkYzA%3d&docid=041c92cb11fc946eabb1cef43f3dd2655 for the objectives of the workshop and the sign-in sheet.)
The Instructional Support Networks continue to serve as communities of practice for participants to raise and resolve issues of implementation and support.

IEP Development Guidance (standards-based)

The *Kentucky Individual Education Program (IEP) Development Guidance Document* was developed as a *process* for writing standards-based IEPs. Kentucky first developed the guidance document in 2010 when the Kentucky Core Academic Standards (KCAS) for English/language arts and math were adopted. Since then, extensive revisions have been made to the document to provide **more support to IEP Teams** around the use of the KCAS to write IEPs. The document as well as an accompanying webinar is found at http://education.ky.gov/specialed/excep/Pages/IEP-Guidance-and-Documents.aspx.

Accommodations Guidance (under revision)

KDE is revising its guidance around accommodations in order to provide additional support to IEP Teams concerning decision-making rules that relate to the selection and use of accommodations. The guidance will include a revision to existing forms within the Student Information System that all districts use to determine if a student is eligible for accommodations on state assessments. It also will include questions IEP Teams will answer to explain their selection of assessment accommodations, as well as additional support to IEP Teams on how to monitor and evaluate the effectiveness of accommodations. The revised guidance will be available to districts for the 2014-15 school year.

While KDE is revising its guidance around accommodations in order to provide additional support to IEP Teams concerning decision-making rules as it relates to the selection and use of accommodations, the current form titled "Accommodations Determination Form" can be found at
https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=2VGmWJ1OIe38bXaOn9v3RbIDCat1xQ7caxsOaoyS1GU%3d&docid=09f04aed3bcf64ab18322eee7574221bc.

Realignment of Regional Technical Assistance and Support

In 2012, the KDE aligned the state's former 11 special education cooperatives to the eight regional educational cooperatives in an effort to facilitate a more efficient and effective model for regional and integrated service delivery. (See Special Education Service Regions at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesst

oken=tKoB%2fWSPwQaDWbZUlOoWUt1aCAB3J5F3F1nU6k1SQqA%3d&docid=030eea8cfa0bf4a3692c9195297194b30.) The KDE makes Individuals with Disabilities Education Act (IDEA) funds available to these regional cooperatives in order to deliver technical assistance and support for special education in their member districts.

The application to request available funding clearly focuses the cooperatives' special education services on the state's strategic priorities and around school/district accountability. The funds must be used for implementing KDE initiatives and activities for students with disabilities, and in support of strategic priorities related to College/Career Readiness, Graduation Rate, Proficiency and Achievement Gap, and additional initiatives as directed by KDE.

For the 2014-15 school year, in order to ensure that students with disabilities reach proficiency and graduate from high school ready for college and careers, each education cooperative will develop a Regional Systemic Improvement Plan (RSIP) to accelerate learning and close achievement gaps for students with disabilities. (See Regional Co-op Application for IDEA funds at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=uLKwvRtqJrD0DuVt8vcdtUAUPMcSwQFzsbz6X0TuZNA%3d&docid=0fb62677171234a99b372469cf8928ccf.)

Continuous Instructional Improvement Technology System (CIITS)

Parallel to the creation of these well-trained local networks, resources were being directed to ensure that teachers had the tools and resources necessary to effectively implement what they had learned. Realizing that teachers were asked to shoulder a great burden and that extensive supports would be necessary to achieve the required levels of success, Kentucky leveraged a part of its $17 million Race to the Top grant to provide the Continuous Improvement Instructional Technology System (CIITS, with description found at http://education.ky.gov/curriculum/ciits/Pages/default.aspx) to all teachers statewide. CIITS is an on-line platform that brings together standards, instructional materials, formative assessments, student performance results, educator evaluation and prescriptive professional learning into a single location for teachers available anytime and anyplace. CIITS allows, for example, teachers to access student information, plan standards-based instruction, develop formative assessments and choose targeted professional development. The system is currently registering more than one million log-ins per month.

The resources of PD 360 (http://www.schoolimprovement.com/products/pd360/) have been integrated into CIITS with an intentional focus on providing support to P-12 educators working with students with disabilities, ELLs and other diverse populations. A list showing a sample of some of the programs in PD 360 focused on special education, English learners, poverty, equity, race, differentiated instruction, RTI, etc. can be found in the document titled "PD 360 List" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=xrPwwL0HaRg0uX7vDY4pwDNTPEsE5HVKlKjEp58XZ1M%3d&docid=0aa3eb942754642389efece68b5fb593d. CIITS and PD 360 were part of the 2013 beginning of year training for district EL coordinators (http://education.ky.gov/specialed/EL/Pages/Data-Collection-Reporting-and-Monitoring-for-Immigrant-and-LEP.aspx). Videos, WebEx trainings, webinars and

resources for ELs can be found at http://education.ky.gov/specialed/EL/Pages/English-Learners-and-Immigrant--Resources.aspx along with e-mails that were sent to EL coordinators found in the middle of the page under the "Title III Professional Development" heading. Also, a link to a list of PD 360 videos related to English learners was distributed to district EL coordinators (http://education.ky.gov/specialed/EL/Documents/CIITS%20resources.pdf). Moreover, a group for KY EL educators has been set up in PD 360 to share resources and ideas. CIITS and PD 360 training (http://education.ky.gov/specialed/EL/Pages/Data-Collection-Reporting-and-Monitoring-for-Immigrant-and-LEP.aspx, 2013 beginning of the year training) has been provided to district ELL coordinators, who also have been provided a list of PD 360 videos and resources for ELLs.

With supports in place to ensure that teachers have the resources needed to provide differentiated instruction to meet the needs of the variety of students that populate classrooms, KDE turned to addressing the school and district administrative supports needed to ensure that the work being done by teachers was addressing the weaknesses identified and prioritized through data analysis and needs assessment.

Vertically Aligned Continuous Improvement Planning and Monitoring Model

KDE understands that in order to assure maximum levels of school improvement, it must lead by example and hold the agency, as well as schools and districts, accountable to the public for student performance. Thus, the accountability system is designed to provide continuous improvement goals and results for KDE, districts, and schools that are reported publicly via school, district and state report cards on the Kentucky Department of Education website.

Kentucky's accountability system under the ESEA waiver is a holistic, process-oriented way of doing business that has been designed to provide maximum instruction and support for schools and districts to remove previously-existing barriers to success. The process results in a continuous improvement model that encourages a collaborative partnership approach to school improvement that places primary emphasis on results, rather than on isolated, one-shot, on-site "gotcha" monitoring that creates an atmosphere of resentment and resistance from the local teachers and principals on whom we depend to address the needs, and improve the lives, of our students.

Upon release of the statewide assessment scores, the KBE sets state-level goals/performance targets for KDE in the areas of proficiency/achievement, gap, college and career readiness, and graduation rate. Districts and schools have aligned goals/performance targets in those areas. The goals are personalized yet consistent for the state, districts, and schools, requiring an approximately 50% increase in each of the four areas from the baseline year to the end of a five-year period. The district scores are based on the performance of their schools and the state score comprises the school and district scores.

Consolidated School Improvement Plans (CSIP) and District Improvement Plans (CDIP)

In the Kentucky system, the CSIP and CDIP are the linchpins driving continuous improvement. The planning process and the elements of the plan are prescribed by statute (KRS 158.649) and

regulation (703 KAR 5:225) and are required of all schools and districts in the state. Kentucky legislators have long been concerned about the performance of students in the achievement gap, so the achievement gap statute, which was in place prior to the waiver, already required specific attention to be paid to reducing achievement gaps. The accountability regulation provides additional structure, extends that structure to Focus and Priority Schools and includes additional requirements for Priority and Focus Schools that also is needed for ESEA Flexibility Waiver approval. The process is electronic, using the AdvancEd ASSIST platform, in order to reduce the paperwork and reporting burden on schools and districts. (Additional information regarding identification and consequences for Priority and Focus Schools is included in later sections.)

Schools and districts are required to develop their CSIPs and CDIPs using a process outlined in 703 KAR 5:225 (found at http://www.lrc.ky.gov/kar/703/005/225.htm) designed to generate goals and objectives based on a data-driven needs assessment. The plans must include specific objectives and strategies to assure progress in the four aligned Kentucky Board of Education goals. The ASSIST platform embeds these goals into the plan development process to ensure that they are addressed as well as to assure ease of use by schools and districts.

At this time, the comprehensive school and district improvement planning (CSIP/CDIP) process is fully implemented statewide with 100% of schools having completed plans in ASSIST. Because both the continuous improvement planning process outlined in 703 KAR 5:225 and the use of the electronic ASSIST platform were new to schools and districts, the roll-out of the training on the ASSIST platform allowed KDE the opportunity to embed training on a systems approach to school improvement planning concurrent with the delivery of training on the use of the technology. Training materials such as Continuous Improvement Planning Training 2013 (Coops) found at http://education.ky.gov/school/csip/Pages/CIP2013Train.aspx, WebEx presentations on the page titled Improvement Planning Video Connections at http://education.ky.gov/school/csip/Pages/IPVC.aspx, extensive technical assistance resources (Building Comprehensive School and District Plans at http://education.ky.gov/school/csip/Pages/BLD-CDSIP.aspx, and Improvement Planning and Special Education at http://education.ky.gov/school/csip/Pages/IPSE.aspx) were provided throughout and subsequent to the roll-out and are available using the links that are provided. KDE staff working with students with disabilities participated in the regional cooperative trainings and developed resources to assist schools and districts in addressing the needs of their students with disabilities and in the gap as they developed and revised their plans (Using Best Practices to address KCMP – Comprehensive Improvement Planning and Students with Disabilities at http://education.ky.gov/school/csip/Documents/04-Using%20Best%20Practices%20to%20Address%20KCMP.pdf and Improvement Planning and Special Education at http://education.ky.gov/school/csip/Pages/IPSE.aspx). Timeline information is provided at http://education.ky.gov/school/csip/Documents/Timeline%20for%20School%20Improvement%20Planning%20August%2012%2c%202013.pdf and details deadlines for specific activities leading to plan completion.

Prior to 2012, improvement planning for students with disabilities through the Kentucky Continuous Monitoring Process (KCMP) was not as intentionally aligned with district comprehensive planning, and focused largely on federal indicators related to compliance. In

2012, districts were advised that if they conducted improvement planning for students with disabilities as part of their comprehensive plan within ASSIST, they would not be required to do a separate KCMP.

Thus, while CSIPs/CDIPs are not new in our state, we have a renewed focus and intentionality around data-based planning for improvement, and around intentional planning for students with disabilities as part of comprehensive improvement planning, so that all students will be college/career ready.

CSIP/CDIP Monitoring

All of the school districts and Title I schools have been assigned a primary and backup Office of Next Generation Schools and Districts staff member as their contact to provide them whatever technical assistance is necessary to complete their plans appropriately. Regional training sessions on the planning process conducted by KDE staff and attended by school, district and educational cooperative personnel also have served as problem-solving forums to benefit local school and district staff, and learning opportunities that were beneficial in preparing the cooperative staff to serve as locally-based resources.

Because so much effort has gone into roll-out, Kentucky's focus is now turning to studying the effectiveness of the planning process and identifying areas where districts are still in need of support. A targeted review of plans by staff indicates that while compliance with plan development requirements are largely understood and have been met, the ability to use the process to go beyond compliance and move to a continuous improvement model leaves some room for improvement.

To that end, Kentucky has begun use of the CSIP/CDIP Plan Review Rubric to monitor the plans of all Focus/Other Title I Schools and Districts. The rubric breaks down the plan into seven sections and provides the purpose for each section, the types of information that should be included in each, and outlines four performance levels with a description of what would be necessary to attain each level. The rubric is posted on the KDE website at http://education.ky.gov/school/csip/Documents/KDE%20rubric%20for%20CSIP%20and%20CDIP.pdf so schools and districts can have access to it in preparing their plan prior to KDE's review.

Currently, for Focus/other Title I Schools, the KDE Office of Next Generation Schools and Districts primary contact reviews and provides feedback and technical assistance to the district regarding plan quality. As the staff contact for CSIPs/CDIPs is also the Title I point of contact, the staff contact has access to the amount of Title I and School Improvement Grant (SIG) funding that is available to the school/district and how the funding is currently being designated; thus, the contact can make recommendations regarding additional funding for which the school may be eligible, as well as suggest effective uses for existing funds. The rubric also is disseminated to Education Recovery staff working in Priority Schools for their use. Analysis of the rubric allows staff to determine whether the minimum regulatory requirements for the plan have been met, to identify the status of the previous year's plan activities, and to ascertain whether the current year's goals and objectives reflect the needs identified through the

data analysis and needs assessment processes. This information will help to assure that staff can provide or direct the school or district to additional resources or technical assistance that may be needed.

KDE Strategic Planning/Delivery

Schools and districts have CSIPs and CDIPs which are at the center of planning and executing their work, and KDE has a Strategic Plan, which provides us with the state-level goals referenced earlier in this section in the areas of achievement, gap, college and career readiness, and graduation rate. Other goals also are identified based on analysis of state-level assessment and other data.

In order to assure that KDE achieves its goals, the Delivery process was implemented. In the Delivery process, plans are organized around the broad goals. These plans include specific strategies to be undertaken by cross-agency teams which, if implemented with fidelity, should result in progress toward attainment of the goal. Progress is tracked on these strategies, and progress data is reviewed and used to revisit the strategies to determine if adjustment is needed to attain the targets. Delivery uses data analysis and problem solving to support and enhance the work of the cross-functional agency teams and the strategic planning processes. The Commissioner's Delivery Unit, the entity responsible for implementation of the Delivery process, continuously assesses KDE's capacity to deliver its most important goals, and prioritizes actions to strengthen capacity and achieve results.

Currently, KDE has three plans: Next Generation Learners, Next Generation Professionals, and Next Generation Support Systems. These can be found at http://education.ky.gov/CommOfEd/CDU/Pages/Delivery_Home.aspx. KDE's successful implementation of the goals and strategies will provide additional resources and supports to schools and districts in meeting the needs of students who are in one of the gap groups or are simply lower-achieving on the state assessment. Other activities specifically focused on improving the performance of English language learners and students with disabilities are found across all three Delivery Plans. Since these students generally make up a disproportionate number of the students in the gap, successful strategies must be implemented across several levels simultaneously. Planning must occur across various levels to allow for individual interventions to be effective at the student level. KDE's recent restructuring of its Delivery Plans supports this type of cross-level planning. In the Support System Delivery Plan, schools are held accountable for ensuring that the proper learning systems and management systems are in place to ensure all student gap groups are making progress. In the Next Generation Professionals Delivery Plan, great emphasis has been placed on the Professional Learning and Support strategy which will identify metrics for tracking teacher training in closing gaps in the classroom. The Human Capital Management strategy will identify metrics to ensure that the most effective teachers are working with the neediest children. Within the Integrated Methods for Learning strategy in the Next Generation Learners Delivery Plan, teachers are accountable for personalizing instruction to meet the needs of every child. The Kentucky System of Intervention (KSI), Kentucky's Response to Intervention (RtI) process, which is included in all three plans, provides identification of individual student needs and responses tailored to address their

learning issues. Intervention strategies for these groups of students will be monitored through the ASSIST tool to increase the likelihood of implementation fidelity.

Consolidated Monitoring

In an effort to reduce the impact on district time and services, KDE began coordinating the monitoring of its state and federal programs during the 2011-12 school year with a group of 14 school districts. Four state and federal programs engaged in the pilot year: Title I, Part A; Title II, Part A; IDEA and Preschool. Each program conducted monitoring in its normal manner in the selected districts, then submitted reports to each district with feedback, follow-up and support to ensure compliance and effectiveness. Consolidated Monitoring provides districts an opportunity to review state and federal programs with an eye toward effective implementation and collaboration. Aside from individual program reports, districts are provided consolidated reports that represent an opportunity for collaboration among the programs. Program monitors note effective practices identified during the monitoring visit as well as provide recommendations for addressing noted common concerns. These reports provide opportunities for programs to collaborate, streamline implementation and increase success. The Consolidated Monitoring Reports are posted on the KDE website at the end of the school year and the ones for 2012-13 can be found at http://education.ky.gov/federal/progs/scmi/Pages/2012-13_CMP.aspx by clicking on the names of the individual districts found at the bottom of the page.

In order to ensure compliance and inform program improvement, with a focus on improved student outcomes, monitoring for Title III was added to the Consolidated Monitoring process in 2014 as a pilot in three districts.

Additionally, districts are encouraged to:

- Submit practices that have been noted as effective to the KDE Best Practices and Sustainability website for review.
- Utilize the Consolidated School and District Improvement Planning tools in ASSIST to track their efforts to address any common concerns noted by the monitoring team.

This approach provides districts with a powerful process for sustainable continuous improvement. Currently, three school districts are serving as pilot districts for eventual inclusion of the Consolidated Monitoring process into the electronic ASSIST platform (Cumberland County, Russellville Independent and Paducah Independent).

Additional LEA Support and Capacity Building Activities

Leadership Development - NISL (http://www.nislonline.org/ and http://education.ky.gov/school/prischedrecov/Pages/National-Institute-for-School-Leadership-%28NISL%29.aspx)

One realization that occurred as Kentucky began implementation of the continuous improvement planning process was the large gap between the number of turnaround-savvy school leaders available and the number required to meet the state's need. With 40 Priority and 282 Focus Schools according to 2012-13 data, the need for expertise was great, and this was compounded

by the fact that the availability of such leaders did not always coincide with the locations having the greatest need.

In order to have an immediate impact on as many schools as possible and to begin to establish a statewide pipeline, KDE partnered with the National Institute of School Leadership to bring a research-based professional development program to Kentucky to train and support highly effective educational leaders to advance the pace of reform in the state. The program, LEAD-Kentucky, began in April 2013 with the training of the initial cadre of participants made up of KDE Education Recovery staff, university faculty and KDE staff. KDE will begin accepting applicants from across the state for the next cadre in June 2014. A cadre will be organized in each of the three education recovery regions and should be fully certified and available in June 2015. They can also serve as trainers for additional cadres. (See NISL Letter at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=i4k7LJAJorEwjl2mZau5FZmQQf5iv9j0iYVXRFjQgCk%3d&docid=08004a3e5755f4256a88148e2f1fc78f8.) This invitation to become highly effective educational leaders also has been extended across the state to local district directors of special education.

Models - Hub Schools (http://education.ky.gov/comm/news/Documents/R%2013-081%20Hub%20Schools.pdf)

Another realization was the need for models -- locations where teachers and leaders could go to see new methods of teaching and leading and interact with staff members that were successfully carrying out transformative change. In order for them to have credibility with their peers, KDE selected two Priority Schools that had made substantial gains in the last two years and designated them as Hub Schools. As a Hub School, each school will serve as a regional hub of learning for students and adults. The schools will share their best or promising practices with schools in their area of the state to support improvement. (See Kentucky Hub Schools at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=uDFSYoBplhrmA%2fN%2bm2sXdXZkUncpjzTLm07UDvrRvZY%3d&docid=03b8048b9fff74e678212ee431dd1320b.)

The goals of a Hub School are to:

- Create a system that focuses on aligned planning, communication, marketing, effectiveness measures, connections, and the target audience. The system will include the regional university, the regional education cooperative and others as a part of the system to ensure alignment and effectiveness to impact student learning within the region.
- Capture best or promising practices that have yielded results at the Hub School and other Priority Schools within the region to share with others.

A Hub School is designed to strengthen connections and address multiple needs within its geographic area. Each of these schools will specifically target work with Focus Schools, schools with the greatest overall achievement gaps or a particular student group with a large gap and/or high schools with graduation rates below 60 percent for two consecutive years. Education

recovery staff from KDE is assigned to each Hub School and will help facilitate hub activities and ensure they are not disruptive to the school/district learning processes.

Best Practices/Sustainability Website

The Kentucky Department of Education has established a Best Practices website to promote practices that motivate, engage, and provide measurable results in school district achievement, processes and learning in schools throughout Kentucky. This site collects, evaluates and reports practices that have proven effective in Kentucky communities with Kentucky students. The site can be found at http://education.ky.gov/school/bpsust/Pages/default.aspx and http://applications.education.ky.gov/bestpractices. The best practices are categorized based on the Kentucky AdvancED Standards:

- **Standard 1 -** Purpose and Direction: The school maintains and communicates a purpose and direction that commit to high expectations for learning as well as shared values and beliefs about teaching and learning.
- **Standard 2 -** Governance and Leadership: The system operates under governance and leadership that promote and support student performance and system effectiveness.
- **Standard 3 -** Teaching and Assessing for Learning: The system's curriculum, instructional design, and assessment practices guide and ensure teacher effectiveness and student learning across all grades and courses.
- **Standard 4 -** Resources and Support Systems: The system has resources and provides services in all schools that support its purpose and direction to ensure success for all students.
- **Standard 5 -** Using Results for Continuous Improvement: The system implements a comprehensive assessment system that generates a range of data about student learning and system effectiveness and uses the results to guide continuous improvement.

AdvancEd and the KDE together annually host a Continuous Improvement Summit (http://education.ky.gov/comm/news/Documents/R%2013-094%20Best%20Practices.pdf) in Louisville to broadly disseminate effective Kentucky practices and to recognize and reward schools and districts who have contributed the most effective practices with a $500 check that can be used toward school improvement.

Intervention Opportunities – RTI/Eagle Eye Transition Courses/Intervention Tab

Besides the Kentucky System of Interventions (http://education.ky.gov/educational/int/ksi/Pages/default.aspx), a Response to Intervention (RTI) framework that enables schools to quickly identify and provide individualized supports to struggling students, and Eagle Eye transition courses (See Eagle Eye at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=mZ%2bDfzSrp7mWXhlGaUNGA5cPq7Ou0ZajSU0XXRrn9U4%3d&docid=0a59093dbe46644baa0f32389fa190509.) that are designed to provide digital remediation opportunities for high school students who may not be academically ready to attend credit-bearing college courses

in a subject matter area, Kentucky also is piloting an Intervention Tab (http://education.ky.gov/educational/int/ksi/Pages/ksiIC_InterventionTab.aspx) in the Kentucky Student Information System (KSIS).

The Intervention Tab will describe and track the interventions being used with a particular student in a particular classroom and the educational outcomes of the intervention to determine the effectiveness of differing interventions with Kentucky students. For the 2014-15 school year, schools will be required to use the Intervention Tab with two differing groups of students: 1) in third-year Focus Schools, all novice students and 2) in high schools, all seniors who did not meet the Council on Postsecondary Education's ACT benchmarks. The inclusion of the tab in KSIS will allow reports to be generated by the Summer of 2015 to determine the effectiveness of the intervention and the circumstances surrounding its implementation.

Successful interventions will be entered into Kentucky's Best Practices website where they may be accessed by educators looking for promising practices that have been proven to work with Kentucky students.

State Systemic Improvement Plan (SSIP) for Students with Disabilities

As part of its Annual Performance Report (APR), Kentucky, along with other states, will submit to the U.S. Department of Education's Office of Special Education Programs (OSEP), on February 1, 2015, Phase 1 of a comprehensive and multi-year State Systemic Improvement Plan (SSIP) focused on improving educational results and outcomes for students with disabilities. Phase 1 includes data analysis, infrastructure analysis, identification of a focus area for improvement and the development of a theory of action, while ensuring stakeholder engagement throughout. (See pages 18-20 of OSEP Proposed State Systemic Improvement Plan at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=a7QbFqUyT4bGlHpvhuGQIodtqRFIgZf9o6VtXw66ScM%3d&docid=00bf0a2a53c8948ffbb133fbf6c075668.)

This plan moves toward the vision of Results Driven Accountability (RDA) and alignment of all components of an accountability system in a manner that best supports improving results for infants, toddlers, children and youth with disabilities, and their families. Kentucky has already begun work on the development of its SSIP. In December 2013, a team from OSEP was invited to visit and assist KDE in clarifying its thinking and focus as we move forward in the work to improve educational results and outcomes for all students. (See OSEP RDA Site Visit at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=7R4UKgaDp9pijaJVmQA38O0m8iV9V7f4D%2fSSKc7kXKs%3d&docid=0e441c6006bd4410491199c2cff0c28a3 and Post RDA Visit Letter at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=pWrQpt2Gd8Y1sTh9G8Tedw95aAUmiQxBd8NP5GR985g%3d&docid=010f15d71fcbc472f9769c7da8d6452c6.) Kentucky also is working with its OSEP-funded Regional Resource Center (RRC) and collaborating with its surrounding states in early thinking and work around development and implementation of the SSIP. (See Mid-South SSIP Forum at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesst

oken=fD%2bH6y231eeQYSUsuhIhlK2NEaAcL6YaVDkVSo7Hfrs%3d&docid=0599791f2e4eb4faaa37194cd67fe0090.)

Waivers

To assist in greater expansion of these practices to all schools in need of improvement, Kentucky uses waivers of the following provisions:

- identification of school districts and Title I schools for improvement, corrective action or restructuring if they fail to make AYP for the specified number of years
- limitations of participation in and use of Small Rural School Achievement and Rural and Low-Income Schools funds
- the requirement that a school have a poverty percentage of 40 percent or more in order to operate a school-wide program
- the requirement that 1003(a) funds may only be used for schools identified for improvement, corrective action or restructuring
- the restrictions on the use of rewards funding
- restrictions on the amount of funding that may be transferred from other programs into the Title I program
- the definitions and requirements regarding how 1003(g) funding may be used

These waivers allow Kentucky the flexibility to combine:

- 1003(a) funds
- the 20 percent of the local Title I allocation previously reserved for Supplemental Education Services (SES) and funding for school choice
- the regular Title I Part A and Title II Part A allocations
- any other available federal funds in accordance with the requirements of those programs
- any other available state and local resources

Further, Kentucky allows schools eligible to be identified as Priority and Focus Schools that are currently identified as Targeted Assistance Schools to become school-wide programs.

2.A.ii Select the option that pertains to the SEA and provide the corresponding information, if any.

Option A	**Option B**
☐ The SEA only includes student achievement on reading/language arts and mathematics assessments in its differentiated recognition, accountability, and support system and to identify reward, priority, and focus schools.	☒ If the SEA includes student achievement on assessments in addition to reading/language arts and mathematics in its differentiated recognition, accountability, and support system and to identify reward, priority, and focus schools, it must: **a.** provide the percentage of students in the "all students" group that performed at the proficient level on the State's most recent administration of each assessment for all grades assessed; **(Kentucky's most current assessment**

	information is loaded on the Kentucky School Report Card. Open this link to Kentucky's report cards: http://applications.education.ky.gov/SRC/. Click "View Card" under the State Report Card. Click on "Printer Friendly Report Card (PDF)". Open the PDF document. Pages 4-17 show tables with Proficient/Distinguished combined for all grades in reading and math. Additional pages show Writing, Science and Social Studies; and b. include an explanation of how the included assessments will be weighted in a manner that will result in holding schools accountable for ensuring all students achieve college- and career-ready standards.

Guidance Question: Did the SEA include student achievement on assessments in addition to reading/language arts and mathematics in its differentiated recognition, accountability, and support system and to identify reward, priority, and focus schools?

To locate the percentage of students in the "all students" group that performed at the proficient level on the state's most recent administration of each assessment for all grades assessed, follow these steps:

- Open this link to Kentucky's report cards: http://applications.education.ky.gov/SRC/.
- Click "View Card" under the State Report Card.
- Click on "Printer Friendly Report Card (PDF)".
- Open the PDF document. Pages 4-17 show tables with Proficient/Distinguished combined for all grades in reading and math.

Since major education-reform legislation was passed in 1990, Kentucky has been committed to students receiving a well-rounded educational experience. Schools and districts must provide for instruction beyond reading and mathematics and be accountable for student performance in multiple content areas. Kentucky's new assessment and accountability program requires summative or end-of-course testing in five content areas (reading, mathematics, science, social studies and writing). Each content area contributes equally in the Next-Generation Learner categories of achievement and gap. The category of growth, using a student growth percentile, requires testing of the content area for two years consecutively. Growth includes reading and mathematics results only. Reading and mathematics testing is required annually in grades 3-8. At high school, Kentucky requires PLAN at grade 10 and ACT at grade 11. The reading and mathematics tests in PLAN and ACT will be used in the growth calculations. The end-of-course tests are administered as students complete course work; therefore, students will take the tests throughout the high school experience.

The content areas of arts and humanities, practical living/career studies and writing are assessed using Program Reviews. In 2012, the Kentucky Board of Education also added two other Program Reviews, K-3 and World Language, to be phased in over time. The Program Review results are included in the Next-Generation Instructional Programs and Support component of Unbridled Learning. Each content-area Program Review contributes equally to the score of this accountability component. The three Program Review areas required in legislation (arts and humanities, practical living/career studies and writing) entered the accountability system in 2012-13 following a full-scale implementation pilot in 2011-12. However, the implementation timeline of other Program Reviews and adding them to accountability continue to be a work in progress as districts become more savvy about understanding the connections between the activity of conducting a program review and evaluation of teachers in program review courses.

2.B SET AMBITIOUS BUT ACHIEVABLE ANNUAL MEASURABLE OBJECTIVES

Select the method the SEA will use to set new ambitious but achievable annual measurable objectives (AMOs) in at least reading/language arts and mathematics for the State and all LEAs, schools, and subgroups that provide meaningful goals and are used to guide support and improvement efforts. If the SEA sets AMOs that differ by LEA, school, or subgroup, the AMOs

for LEAs, schools, or subgroups that are further behind must require greater rates of annual progress.

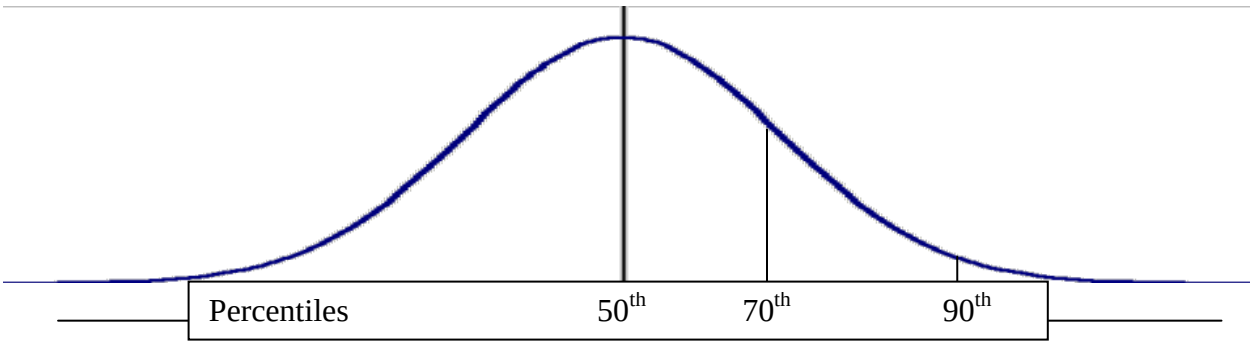
Option A	Option B	Option C
☐ Set AMOs in annual equal increments toward a goal of reducing by half the percentage of students in the "all students" group and in each subgroup who are not proficient within six years. The SEA must use current proficiency rates based on assessments administered in the 2010–2011 school year as the starting point for setting its AMOs. i. Provide the new AMOs and an explanation of the method used to set these AMOs.	☐ Set AMOs that increase in annual equal increments and result in 100 percent of students achieving proficiency no later than the end of the 2019–2020 school year. The SEA must use the average statewide proficiency based on assessments administered in the 2010–2011 school year as the starting point for setting its AMOs. i. Provide the new AMOs and an explanation of the method used to set these AMOs.	☒ Use another method that is educationally sound and results in ambitious but achievable AMOs for all LEAs, schools, and subgroups. i. Provide the new AMOs and an explanation of the method used to set these AMOs. ii. Provide an educationally sound rationale for the pattern of academic progress reflected in the new AMOs in the text box below. iii. Provide a link to the State's report card or attach a copy of the average statewide proficiency based on assessments administered in the 2010–2011 school year in reading/language arts and mathematics for the "all students" group and all subgroups. **(To view Kentucky's state, district and school report cards, go to http://applications.education.ky.gov/SRC/.)**

Guidance Question: Did the SEA describe the method it will use to set new ambitious but achievable annual measurable objectives (AMOs) in at least reading/language arts and mathematics, for the State and all LEAs, schools, and subgroups, that provide meaningful goals and are used to guide support and improvement efforts through one of the three options?

Kentucky chooses Option C – another method that is educationally sound and results in ambitious but achievable AMOs for all LEAs, schools and subgroups.

Note: Kentucky's model includes two types of Annual Measureable Objectives. First, Kentucky uses an Annual Measureable Objective Overall that uses the Overall Score in the model to determine annual goals. Throughout the document, the term AMO Overall will refer to this type of AMO. The AMO Overall is used in place of the term AYP. In addition, Kentucky has a set of AMO Delivery goals. AMO Delivery is the term used to refer to specific goals set for subgroup performance in order to track gap closure. Details about both types of AMO definitions occur in the following pages.

Overview of Accountability Categories and Annual Measurable Objective



Needs Improvement	Proficient	Distinguished
Progressing: Schools making AMO OVERALL		
Priority Schools		
Focus Schools - (1) 10% Gap Group		
Focus Schools – (2) Third Standard Deviation Model to Locate Individual Gap Groups		

Kentucky's model is a continuous improvement model requiring schools to increase achievement across time. The ultimate goal of the system is to move all schools to an Overall Score of 100.

The model uses a normative approach.

1. Each school/district receives a single Overall Score (explained in Section 2A).
2. The Overall Score places each school/district into a classification: Needs Improvement, Proficient or Distinguished.
3. The Overall Score will be used to create an annual improvement goal for all schools. The annual goal is called an Annual Measurable Objective Overall (AMO Overall).
4. Using the Overall Score, a mean and standard deviation is computed for each level (elementary, middle, high).
5. The goal in each cycle for below proficient schools/districts is to move one-third of a standard deviation in a five-year period. Each annual goal would be to move .07 of a standard deviation.
6. The Overall Score and AMO Overall status identifies schools for recognition and support.
    a. Priority Schools are the currently identified persistently low-achieving schools (PLAs).
    b. Focus Schools (Group 1) are the bottom 10 percent of all Title I schools using the Student Gap Group Score as the indicator.

c. Focus Schools (Group 2) uses the Third Standard Deviation Model to locate individual gap groups needing improvement. All schools from high-performing to low-performing may have gap groups needing improvement.
d. Schools of Distinction (Distinguished level), the highest performing schools are in the 95th percentile or higher of all schools on the Overall Score and have met their current year AMO.
e. High Performing (Distinguished level) schools are in the 90th percentile or higher of schools on the Overall Score and have met their current year AMO Overall.
f. High Progress Schools have the top 10 percent improvement over a two-year period and have met their current-year AMO Overall goal.

7. All schools making their AMO Overall goal are called Progressing. Schools falling outside the Proficient or Distinguished categories and not making AMO Overall would be called Needs Improvement.

Elementary School AMO Example
Mean of Overall Score = 68 Standard Deviation = 10 Annual Goal = .7 (which means a growth of 3.5 points over five years or a growth of approximately one-third of a standard deviation from the starting point)

8. Prior to making the AMO Overall goal and being placed into a category, all schools need to meet a 95% participation rate for all groups of students being tested, and the high schools need to meet their individualized graduation goal.
9. Progressing is an additional designation that is added to a school/district performance classification of distinguished, proficient or needs improvement to indicate that the school has met its AMO Overall goal, student participation rate for the all students group and each subgroup, and has met its graduation rate goal.

Detailed Narrative of the Accountability Categories and Annual Measurable Objective

The new Kentucky accountability measure is built upon the concept of a continuous improvement model. Continuous improvement models are used by major corporations (i.e., Toyota) and major educational reform groups (i.e., Baldrige Performance Excellence Program). The goal of continuous improvement is to improve the system of education constantly and forever by improving the quality of student achievement. By using a continuous improvement model, Kentucky is able to set realistic, statistically-based goals that are achievable, but constantly stretch schools to continually improve. The goal of continuous improvement is to reduce the variation in school performance by moving the entire group of schools to higher and higher performance. As schools reach a performance level, the group goal is shifted to stretch the goal to a higher level. Over time, goals continually increase based on group performance, and as the low-end schools improve, variability is decreased. The ultimate goal is reaching the score of 100 in the Overall Score.

Method - As described in section 2A, the new Kentucky accountability model creates a single Overall Score from the three major components. Those three components are:

(1) Next-Generation Learners, which incorporates achievement scores (reading, mathematics, science, social studies and writing), gap scores, individual student growth, college/career readiness

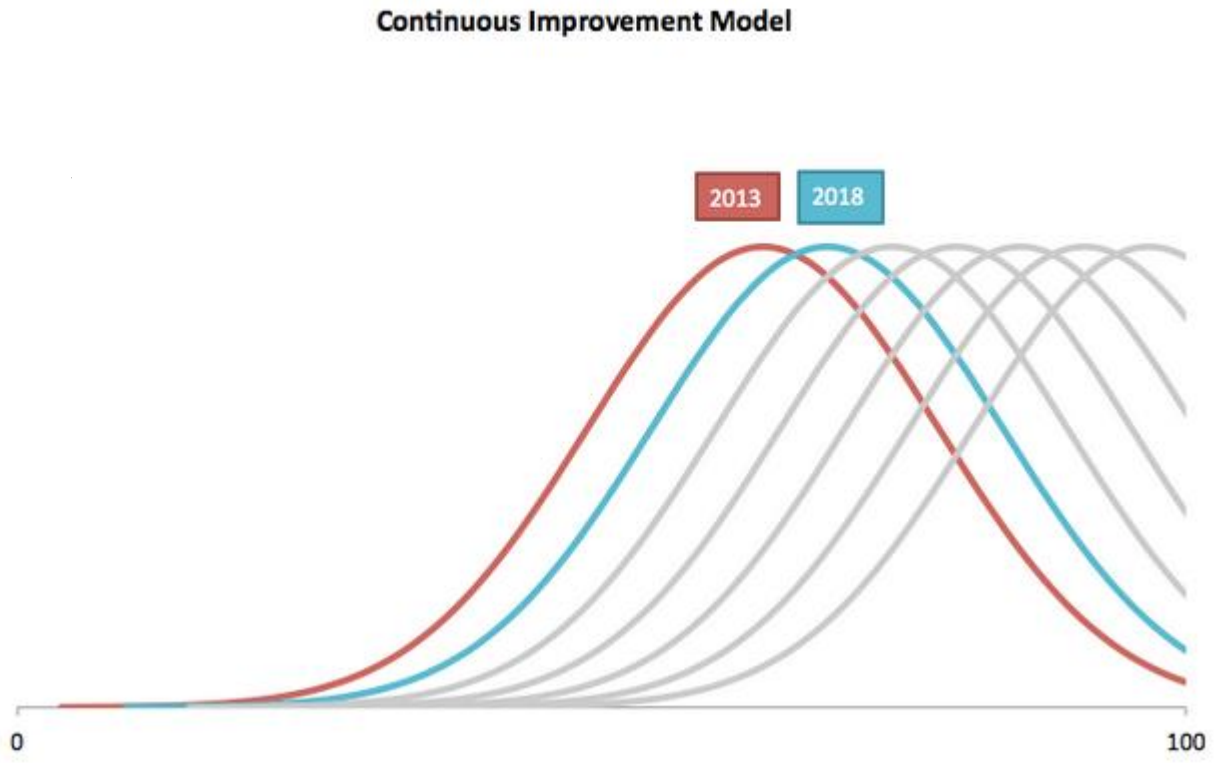
and graduation rate
(2) Next-Generation Instructional Programs and Support, which incorporates Program Reviews in the areas of arts/humanities, practical living/career studies, writing, K-3 and world languages
(3) Next-Generation Professionals, which incorporates measures of teacher and leader effectiveness

The Overall Score broadens the concept of school success to include a multifaceted, balanced set of indicators.

The Overall Score is used to create the distribution of schools in the state. The 70th percentile is the Proficient level, and the 90th percentile is the Distinguished level. All schools falling under the Proficient level are called Needs Improvement Schools. The top 5 percent are Kentucky Schools of Distinction and are described in the Rewards Section. Schools already designated as persistently lowest-achieving schools (PLAs) pursuant to Kentucky state law (KRS 160.346) are the Priority Schools. All schools, both Title I and non-Title I, have an AMO goal.

Using the Overall Score, Kentucky's continuous improvement model computes, by level, an average state score and standard deviation. The standard deviation rate for each level will be divided by five to generate a growth goal for that period of years. The Annual Measurable Objective Overall (AMO Overall) requires a school to gain .07 of a standard deviation for each year in the five-year period, thus equaling an approximate growth of one-third of a standard deviation in the five-year period. Originally, this model was created using only simulation data; however, a review of the 2012-13 AMO data reveals the model worked extremely well. The AMO Overall for schools below Proficient was set at 1.0 (the actual standard deviation computation was rounded upward to a whole number). Schools falling above the Proficient cut were required to make a .5 gain, or half the gain of the Needs Improvement schools. The outcome of the first year of AMO Overall use showed that approximately 50% of the schools in Kentucky made their AMO Overall goal and 50% did not make their AMO Overall gain. Fifty percent of the schools was considered a reasonable goal that challenged schools to improve, but rewarded schools when they showed improvement. The AMO Overall goal will be recomputed each year as the different components of the model become active. Another feature is to set the acceptable level of Proficient performance at the 70th percentile; this score line provides an acceptable zone for schools scoring at the top end of the distribution. The 70th percentile was intentionally chosen because it places schools in approximately the top 30 percent of the distribution and it provides a score that educators, parents and the public can understand.

Schools scoring below the Proficient level need to achieve the full AMO Overall Score described above. Proficient or higher scoring schools need to achieve one-half of the state AMO Overall goal. Using this method, the lower-achieving schools must improve at a higher rate than the top-scoring schools. See the figure below for an illustration of the model.



Percent of Students Scoring Proficient or Higher

Illustration Explanation: The above chart shows the incremental improvement nature of the model. Each cycle moves the percent of proficiency upward for all schools toward the ultimate goal of 100% proficient for all students. The AMO Overall is created each year dependent on the distribution of scores, but the ultimate goal is continuous improvement. Every school in the state has an AMO Overall goal.

In addition, annual data runs occur to monitor the shifting of the average and standard deviations**.** After the 2012-13 school year, the analysis of the standard deviation model showed that approximately 50% of the schools and districts made their AMO Overall and 50% did not make the AMO goal. This 50/50 split was intentionally designed and worked in the first year of using an AMO Overall calculation.

This model accomplishes several important goals. First, since it is based on a distribution and continuous improvement model, low-scoring schools have achievable goals because there are many, many schools above them that show the scores are obtainable. Second, all schools have a standard deviation target based on a statistical model, thus creating a fair, achievable goal. Third, as the schools increase their scores, the goals are re-set at the end of the five-year period for the group, thus ensuring that all schools are constantly and forever increasing their performance. There is no end date in this model; it continues with the ultimate goal of 100 percent on the Overall Score as the target. As it continues, the group average will rise, the standard deviation will decrease, and schools continue on an ever-increasing path toward excellence.

The table below provides a visual description of the AMO Overall goals. (Option C, item i.)

AMO GOALS - BASED ON 2012-13 RESULTS

Level	Combined Overall Score	Standard Deviation	2014 AMO Overall for schools below Proficient	2014 AMO Overall for schools at or above Proficient	Proficient (70th Percentile)
Elementary School	64.2	8.9	1.0	0.5	69.4
Middle School	62.0	8.5	1.0	0.5	66.8
High School	66.8	7.4	1.0	0.5	70.1

Phase-In of Components **–** The three major components of Unbridled Learning: College- and Career-Ready for All phase in over a multi-year period. In 2011-12, the Next-Generation Learners component became operational. In 2012-13, the Next-Generation Instructional Programs and Support component was added, and finally, the Next-Generation Professionals component will be added in 2015-16. The AMO Overall goals described above provide a clean baseline and goal for the end of each school year. As a new component is added, the baseline average and standard deviation is computed, and a new annual goal is developed. After the last component is added in 2015-16, the model is complete, and the baseline and goals can be computed for a new goal.

All schools, Title I and non-Title I, are eligible to be Reward, Priority or Focus Schools. All schools are placed on the same distribution scale; however, the final reports show Title I and non-Title I Reward, Priority and Focus Schools.

Locking the Goal for Five Years

Until all three components of the Unbridled Learning: College- and Career-Ready for All system are phased into the model, annual baselines and goals will be set. Once all three components are operational in 2015-16, the distribution will be calculated to locate the 70th percentile (Proficient) and the 90th percentile (Distinguished). The raw score associated with these cut points will then be locked for a five-year period. By locking the goal lines at the raw score, all schools will be allowed to have a consistent five-year goal that will not change. At the end of the five-year period, the distribution will be recalculated, and a new set of cut points will be determined. Then, those cuts will be locked for a five-year period. With full implementation of the model, schools are not faced with an annual redistribution of scores, but have a solid goal to work toward.

For Option C, item iii., follow these steps:

- Open this link to Kentucky's report cards: http://applications.education.ky.gov/SRC/.
- Click "View Card" under the State Report Card.
- Click on "Printer Friendly Report Card (PDF)".
- Open the PDF document. Pages 4-17 show tables with Proficient/Distinguished combined for all grades in reading and math.

Participation Rate

Kentucky calculates test participation rates for each school. The goal for test participation rate is at least 95% of the total population and of all groups of students. Making or missing the goal will be used in conjunction with the school's AMO Overall. If the school makes its AMO Overall but misses its test

participation goal, for the All Students group or any subgroup, then the school is considered to have missed its AMO Overall. This model was used in the prior No Child Left Behind (NCLB) system and was a leverage point to improve high school graduation rates.

Graduation Rate

Each high school is provided an annual graduation goal for all students. Making or missing the goal is used in conjunction with the school's AMO Overall. If the school makes its AMO Overall but misses its graduation goal, then the school is considered to have missed its AMO Overall. This model was used in the prior NCLB system and was a leverage point to improve high school graduation rates.

Kentucky uses the Adjusted Cohort Graduation Rate for all graduation calculations. For the Overall Score calculation, the state will use the 5-year Adjusted Cohort Graduation Rate starting in the 2013-14 school year; however, for all calculations dealing with obtaining annual goals, the state will use the 4-year Adjusted Graduation Rate.

All groups' graduation rates are publically reported. The table below shows the 2012-13 state data. Individual schools would receive a unique set of goals similar to the chart below :

Graduation Rate: State 2012-13 4-Year Adjusted Cohort Graduation Rates

	Baseline 2013	**AMO Target**	**2013-14 Goal**	**14-15 Goal**	**15-16 Goal**	**16-17 Goal**	**17-18 Goal**	**…**	**2022 Goal**
All Students	86.1%	1.3%	87.4%	88.7%	90.1%	91.4%	92.7%	…	98%
White	87.6%	1.2%	88.8%	89.9%	91.1%	92.2%	93.4%	…	98%
African-American	78.4%	2.2%	80.6%	82.8%	84.9%	87.1%	89.3%	…	98%
Hispanic	79.8%	2.0%	81.8%	83.8%	85.9%	87.9%	89.9%	…	98%
Native American	79.2%	2.1%	81.3%	83.4%	85.5%	87.6%	89.6%	…	98%
Asian	87.7%	1.1%	88.8%	90.0%	91.1%	92.3%	93.4%	…	98%
With Disability	52.3%	5.1%	57.4%	62.5%	67.5%	72.6%	77.7%	…	98%
Free/Reduced-Price Meals	85.4%	1.4%	86.8%	88.2%	89.6%	91.0%	92.4%	…	98%
Limited English Proficiency	63.7%	3.8%	67.5%	71.3%	75.1%	78.9%	82.8%	…	98%

*Annual target is derived by subtracting the baseline from 98 percent and dividing the result by 9. This allows for lower-performing schools/districts to have different target goals than higher-performing schools/districts. The minimum group size for calculating a graduation rate is 25. The table found above shows the yearly goals through 2017-18 to establish the pattern but does not show the goal every year after 2017-18 to 2022 due to available space on the page. The intent, however, is for the pattern to continue till the goal of 98% is reached in 2022.

Setting AMO Delivery Goals for Each Subgroup

Besides having the AMO Delivery goal for each school described in the sections above, it is critical to understand that each year, the Kentucky Board of Education (KBE), though its strategic planning process, will set AMO delivery goals for each subgroup at the state, district and school level. Each subgroup will have an individual AMO Delivery, which will be reported annually in the School/District Report Card and will call for an intervention plan to raise the achievement of the subgroup. The KBE Strategic Plan and Annual Targets will provide a reporting system that is parallel to the state accountability system.

Utilizing the single AMO Delivery score enables districts and schools to simplify reporting for parents and communities. Simplifying the reporting will help alleviate the confusion caused by the current NCLB reporting. However, Kentucky does not want to lose the focus on raising the achievement of subgroups. The Focus School methods (see Section 2E) include the required location of 10 percent of the schools with gap scores and through the consultation process the Third Standard Deviation Model (see Section 2Ei) was added that will capture any district or school subgroup that performs three standard deviations below the ALL group proficiency average for the state. This will allow Kentucky to capture more schools in the Focus School category than the 10 percent requirement. Also, this will allow Kentucky to capture high-performing schools that may have one or more subgroups performing significantly below the state average.

Our continuous improvement processes, based on the Delivery model, set annual targets for reading and mathematics as well as for science, social studies and writing for the state, districts, schools and subgroups based on a model similar to Option A, Section 2B of the ESEA waiver. The subgroup performances at the state, district and school levels are reported as part of the annual progress toward the goal. The goal shall be reducing by half within five years the percentage of students in each subgroup scoring in the non-proficient category. The state applies consequences to the Delivery Goals. The state uses the AMO Delivery scores to determine the type of assistance a school will receive under the Focus support. Districts incorporate the AMO Delivery targets into their local accountability and evaluation models. In addition, the KDE uses the AMO Delivery Goals as part of its ongoing evaluation of schools and in determining the type of programs needed to improve gap group achievement. The Commissioner of Education has built the AMO Delivery Goals into his annual evaluation. In addition, the annual School Report Card publishes all AMO Delivery scores for public accountability and builds the data into its Data Sets posted on the web for stakeholder research. The annual state report cards will provide this level of detail on progress toward goal. To access Kentucky's state, district and school report cards, use the following link: http://applications.education.ky.gov/SRC/. An example of what will be reported is found in the table below.

District/School AMO Delivery Example for Groups

	Baseline Proficiency	AMO Delivery Target	2011-12 Goal	12-13 Goal	13-14 Goal	14-15 Goal	15-16 Goal
All Students	50%	5	55%	60%	65%	70%	75%
White	50%	5	55%	60%	65%	70%	75%
African-American	34%	6.6%	40.6%	47.2%	53.8%	60.4%	67%
Hispanic	40%	6%	46%	52%	58%	64%	70%

Native American	30%	7%	37%	44%	51%	58%	65%
With Disability	40%	6%	46%	52%	58%	64%	70%
Free/Reduced-Price Meals	20%	8%	28%	36%	44%	52%	60%
Limited English Proficiency	34%	6.6%	40.6%	47.2%	53.8%	60.4%	67%
College/Career	30%	7%	37%	44%	51%	58%	65%
Proficiency Gap	40%	6%	46%	52%	58%	64%	70%
Overall Gap	30%	7%	37%	44%	51%	58%	65%

*Annual target is derived by subtracting baseline from 100 percent and dividing result by 2 and then by 5. This allows for lower-performing schools/districts to have different target goals than higher-performing schools/districts.

+Gap groups must have a minimum of 25 students to be reported; however, all students in any ESEA gap group would be reported in the overall gap group.

Key Questions and Answers

1. What does the state accountability AMO Overall data look like for a single school in 2012-13?
Example:

District	School	Achievement Score	Gap Score	Growth Score	College or Career Readiness Score	Graduation Rate Score	Overall Score	Percentile Rank on Overall Score	AMO Overall Goal for Year 1
Bullitt County	Bullitt East High School	12.9	6.9	12.1	13.9	17.9	63.7	87	64.7

2. Why choose a normative model?

First, the normative model works extremely well with a continuous improvement model. The goal for all schools is the Overall Score of 100, but the intent of the model is to create incentives for all schools to move toward 100. It also allows for more realistic goals for all schools. The AMO Overall goal is to move one-third of a full standard deviation over a five-year period for the lower-achieving schools. The goals will be seen as achievable because the goals come from Kentucky schools obtaining those scores.

Second, the new Overall Score contains so many data points (achievement, gap, growth, college readiness, graduation rate, Program Reviews and teacher/leader evaluation) that it is difficult to imagine how a criterion-referenced cut score could be obtained. Not only are there many indicators, but each indicator contains multiple data.

3. Why choose one-third of a standard deviation over a five-year period as the goal?

Feedback received from the Council of Chief State School Officers' pre-peer review session group warned that moving a full standard deviation in a five-year period seemed overly ambitious. With this warning in

mind, Kentucky Department of Education staff took the ESEA Waiver Request to our Technical Advisory Panel called NTAPPA (the National Technical Advisory Panel on Assessment and Accountability) and its members raised the same concern about the goal. NTAPAA's members said they had not seen test results move at this rate. Even though Kentucky's system does have a variety of indicators besides test scores, the majority of the model (70%) comes from assessment results. With the warnings from the informal peer review group and NTAPAA, Kentucky ran simulation data from the current testing system to discover the impact of various standard deviation goals. The data simulation shows that the initial selection of 20% annual growth would result in greater than 50% of all schools not making AMO.

A discussion was subsequently held by Kentucky Department of Education leadership staff to determine where an appropriate growth goal could be set. It was decided that the best location would be where approximately a little over half the schools would make their AMO Overall Goals. If 50% of the schools could make their AMO Overall goals, it would mean the other 50% would have a high number of schools to use as models and it would illustrate that the goal could be achieved. It also sets a high bar to reach.

Based on the rationale above, Kentucky proposed that the best spot for setting the annual standard deviation goal for improvement would be at .07 for low-scoring schools and .035 for schools scoring above proficient. After the 2012-13 data reports, KDE analyzed the model and the results indicated the model worked extremely well. Approximately 50% of Kentucky schools made their AMO goals and 50% did not make their goals. The 50/50 balance was the intended goal.

Each year, KDE will conduct ongoing research into all aspects of the model as it evolves and make changes based on the research results. The AMO Overall model worked extremely well and the model will continue, but it will be reviewed each year.

4. *Is moving one-third of a standard deviation in five years significant?*

Yes. If all schools move one-third of a standard deviation in five years, the average of all schools significantly rises and pushes the average score for all schools closer to 100. At the end of five years, the averages and standard deviations are re-computed, and continuous improvement moves forward on the march to the score of 100.

5. *Why reset the goal every five years?*

A normative model uses relative standing between schools for the initial classification. If a one-year distribution is used, that distribution changes every year, and schools have a moving target that is dependent on how other schools perform. By locking the goal for five years, targets become stable. The performance of other schools does not affect the school/district improvement goal or the ability to reach the goal. By locking the goal for five years, the normative model gains criterion features. At the end of five years, the goal is re-set with a new distribution, but once again the goal is locked for another five-year period. This model provides for continuous improvement over time.

6. *Why choose the 70th percentile for the proficient line?*

The 70th percentile allows approximately one-third of the top-scoring schools to be chosen as Proficient Schools. This cut point sets a high bar for performance. Many stakeholders and the public have

previously-formed perceptions of percentiles and their link to grades. The 70th percentile allows them to correlate the scores with traditional grading.

7. *In Kentucky's model, what is the difference between Annual Measurable Objective (AMO) and Adequate Yearly Progress (AYP)?*

Each school will receive a single AMO Overall goal each year. By making the AMO Overall goal, the school has successfully achieved the federal definition of AYP. AMO Overall and AYP are synonymous terms in the Kentucky model and only AMO Overall is used in communication with stakeholders.

8. *Are schools in the Needs Improvement category distinguishable from each other?*

Kentucky's model keys on a percentile score being assigned to each school and district. Even though 69% of the schools will fall in the Needs Improvement category, at least for the first year, the percentile score attached to the school will clearly label schools along the continuum of the first percentile to the sixty-ninth percentile. The Needs Improvement category, by virtue of the percentile score, does make all schools distinguishable within that label.

9. *What research issues have surfaced after the first two years of implementing the model?*

Overall the model has worked exceptionally well and been well-received by educators and the public. All data is reported in the Kentucky School Report Card found at http://applications.education.ky.gov/SRC/.

A few issues listed below are areas under discussion.

a. The AMO Overall calculation worked extremely well in the first two years. The method for setting the AMO Overall hit the simulation target (50% making AMO Overall and 50% not making the AMO). However, the AMO Overall of 1 point causes some concern since it indicates improvement over time will be slow in this model. The model incorporates numerous factors that interact in various ways. Unlike a simple achievement model, this model creates focus on a variety of important indicators, but the improvement rates, at least in the first year, are slow. In addition, as other major components are added (Next Generation Instruction and Support and Next Generation Professionals) there is a concern that the AMO Overall may be affected by the scoring of the two new components. Some stakeholders point out that a one point gain seems extremely low; however, the statistics show the one point rate provides a balanced approach between realism and aspirations.
b. The Third Standard Deviation Model located 223 schools with groups of students who are severely underperforming in the state as a whole. The model identified an extremely high number of groups labeled as "students with disabilities." This was a positive outcome, but there have been two problems noted with the model: (1) it has been difficult to explain the model to educators and to help them set a goal for their students and (2) an over-identification of the students with disabilities group and under-identification of other groups occurred. KDE is creating a new model using the lowest 5% of each group to identify Focus Schools; however, that model and discussion of these issues will occur with the Kentucky Board of Education in October 2014.
c. The Growth component (Student Growth Percentiles, [SGP]) works exactly as advertised and creates a need to address the individual needs of all students wherever they fall on the achievement spectrum. However, since it is a normative model, it is difficult to use the SGP to create individual

goals for students. Schools can create an individual goal; however, due to the annual normative comparisons of the model, the student who attains his/her goal is not guaranteed of making higher growth. Growth scores varied in the first two years of the model and principals have pointed out that it feels like a moving target. Growth constitutes 40% of an elementary school score in the Next Generation Learner component and a variation in 40% of a score is worrisome.

10. *What is the Kentucky Department of Education's (KDE) plan to address issues that arise with the model?*

At the end of the third year of data (2013-14), KDE pledged to the Kentucky Board of Education to review the model and seek out possible changes to address any issues of concern. In statistical worlds, there is a belief that three and four years of trend data are important to collect before making any major changes. The extra years allow for anomalies in the data to settle out. In the fall of 2014, it is the intent of KDE to bring forth suggested changes to the model, if the data warrants. Prior to the presentation to the Kentucky Board of Education, stakeholder groups will be consulted for input. KDE also will consult with the United States Department of Education prior to, during, and after any changes are made.

2.C REWARD SCHOOLS

2.C.i Describe the SEA's methodology for identifying highest-performing and high-progress schools as reward schools.

Guidance Question: Did the SEA describe its methodology for identifying the highest-performing and high-progress schools as reward schools?

There will be two types of Reward Schools: High-Performing and High-Progress. Below, an overview is presented followed by a section titled Specific Methodology for Reward Schools. Reward schools will be identified each year.

<u>High-Performing Schools</u>

Within the category of High-Performing Schools, there will be two levels of schools: School of Distinction and High-Performing.

- Kentucky Schools or Districts of Distinction will include Kentucky's highest performing schools or districts that score at the 95th percentile or higher on the Overall Score.
- Kentucky High-Performing Schools or Districts will include schools/districts scoring at the 90th percentile or higher.

Schools will not qualify as High-Performing if they have been identified as Kentucky Priority or Kentucky Focus Schools.

Method for High-Performing Schools - Both categories will be calculated using the Overall Score by level. The Overall Score will be ranked annually from low to high. By level, the

scores will be computed to determine both the Schools of Distinction and the High-Performing Schools for that year per the criteria cited above.

High-Progress Schools

Schools showing the highest progress will be labeled High-Progress Schools. High-Progress Schools will begin to be identified in Year 2 of the model in order to have two years of data to show improvement.

Method for High-Progress Schools - The Overall Score from Year 1 will be compared to the Overall Score of Year 2. The difference between those two scores will then be rank-ordered from top to bottom. Title I schools in the top 10 percent will be called High-Progress Schools. The top 10 percent of non-Title I schools also will be identified.

Priority and Focus Schools may be identified as High-Progress if they meet the eligibility requirements.

Specific Methodology for Reward Schools - School/district rewards categories are:

- **High-Performing School/District**
  - meets its current year AMO Overall, student participation rate and graduation rate goal
  - has a graduation rate above 60 percent for the prior two years
  - scores between the 90th and 94th percentile on the overall score
  - for a district – does not have any schools categorized as Focus Schools or Priority Schools
- **School/District of Distinction**
  - meets its current year AMO Overall, student participation rate and graduation rate goal
  - has a graduation rate above 60 percent for the prior two years
  - scores at the 95th percentile or higher on the overall score
  - for a district – does not have a school categorized as a Focus School or Priority School
- **High-Progress School/District**
  - A Title I or Non-Title I school that:
    - meets its current year AMO Overall, student participation rate and graduation goal
    - has a graduation rate above 60 percent for the prior two years
    - has an improvement score indicating the school is in the top 10 percent of improvement of all elementary, middle, or high schools as determined by the difference in the two most recent calculations of the overall score
  - A district that:
    - meets its current year AMO Overall, student participation rate and graduation goal
    - has a graduation rate above 60 percent for the prior two years
    - has an improvement score indicating the district is in the top 10 percent of improvement of all districts as determined by the difference in the two most

recent calculations of the overall score

[2]High Progress Schools may have a second Rewards or Assistance classification: High Performing School, School of Distinction, Priority School, or Focus School.

[3]High Progress Districts may have a second Rewards or Assistance classification: High Performing District, District of Distinction, Priority District, or Focus District.

For High Performing Schools, Kentucky has set the 90th percentile as the cut score to be considered for this category. In order to be fair to all schools, the cut score would be applied to all schools regardless of their Title I or Non-Title I status. If a Title I school falls at or higher than the 90th percentile on the Overall Score, it would be labeled appropriately. Based on the table above, the Kentucky Reward Schools meet the definitions of the ESEA waiver requirements.

AMO Overall and Graduation Rate Requirement for High-Performing and High-Progress Schools

Additionally, High-Performing and High-Progress Schools must meet their current-year AMO Overall goal, and each high school's graduation rate must be above 60 percent for the prior two years.

Progressing Category

In addition, any school that meets its annual AMO Overall also will be called a Progressing School. Progressing labels were applied in 2012-13 based on two years' worth of data.

Needs Improvement Category

The Needs Improvement category includes all schools below the Proficient line.

2.C.ii Provide the SEA's list of reward schools in Table 2. **(See Attachment 9 of the Appendix at** https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45**)**.

2.C.iii Describe how the SEA will publicly recognize and, if possible, reward highest-performing and high-progress schools.

Guidance Question: Did the SEA describe how the SEA will publicly recognize, and if possible, reward highest performing and high-progress schools?

703 KAR 5:225, School and District Accountability, Recognition, Support and Consequences is the regulation that describes the rewards or recognition schools and districts are eligible to receive. It was originally approved by the Kentucky Board of Education in August 2011 as 703 KAR 5:222, Categories for Recognition, Support and Consequences; however, it underwent revisions to align the regulation with the ESEA waiver requirements and secure additional constituent review and came back to the board in February 2012 for approval. Then, due to

technical issues found in the regulation when it was filed with the Legislative Research Commission, the number and name of 703 KAR 5:222 was changed to 703 KAR 5:225, School and District Accountability, Recognition, Support and Consequences, and another public hearing was held that resulted in further changes to the regulatory language. The board approved those changes in June 2012.

The elements for rewards and recognition are as follows:

> "Each recognized school or district shall be authorized to use a KDE-approved web logo and other promotional materials as may be designated by KDE reflecting the category of recognition earned. Subject to availability of funds, financial rewards may be used in conjunction with other recognition activities, including funding for special professional growth opportunities or support to enable recognized schools or districts to partner with and mentor a lower-performing school or district. Kentucky High-Performing Schools and Districts of Distinction shall receive special recognition as determined by the Commissioner."

The Kentucky Department of Education has received substantial input from stakeholders into the design of the recognition and rewards processes outlined in the regulation. Throughout the developmental process, educators, administrators and other stakeholders were specifically asked to consider the question of how the rewards could be the most meaningful for schools and districts, and they were asked to provide their suggestions for rewards and recognition to be included in the regulation. Considerable discussion ensued around whether the rewards section of the regulation should be more or less specific. The original version of the regulation included a reference to specific types/colors of flags that would be provided to schools at different recognition points. After discussion, it was determined that stakeholders preferred a less specific and more general approach, which would allow sufficient flexibility to adjust the rewards as additional ideas came forward from the field.

As Kentucky moves forward with implementation of the recognition and rewards processes outlined in the accountability regulation, staff will continue to collect and analyze data and obtain the input of teachers, principals, administrators and other stakeholders to assess the relative effectiveness of various types of recognition and rewards practices. The Kentucky Department of Education will continue to work with stakeholders to develop and refine rewards and recognition practices that will be meaningful to staff, while also identifying, magnifying and incentivizing the desired results.

Key Questions and Answers

1. *Does the list of reward schools align with the definition of these schools provided in the ESEA Flexibility Document?*

In order to find Reward Schools, the Overall Score is used. The Overall Score uses some indicators outside the traditional achievement area. For instance, gap scores, individual growth, college/career readiness and graduation rate play a role in the Overall Score. The 2013 results are found in the chart below:

Number of Schools and Districts by Rewards Category[1]										
	Year	High-Performing School - 90th Percentile			School of Distinction - 95th Percentile			High-Progress School[2]		
		Title I	Non-Title I	Total	Title I	Non-Title I	Total	Title I	Non-Title I	Total
Elementary	2012	24	13	37	20	20	40	n/a	n/a	n/a
	2013	13	6	19	23	7	30	67	9	76
Middle	2012	8	8	16	11	7	18	n/a	n/a	n/a
	2013	9	4	13	7	2	9	23	11	34
High	2012	3	5	8	1	10	11	n/a	n/a	n/a
	2013	3	11	14	2	9	11	8	17	25
Total Schools	2012	35	26	61	32	37	69	n/a	n/a	n/a
	2013	25	21	46	32	18	50	98	37	135
	Year	High-Performing District 90th Percentile			District of Distinction 95th Percentile			High-Progress District[3]		
		Title I	Non-Title I	Total	Title I	Non-Title I	Total	Title I	Non-Title I	Total
Districts	2012	6	0	6	7	1	8	n/a	n/a	n/a
	2013	0	0	0	3	0	3	17	0	17

The overall score associated with School of Distinction:

- Elementary: 72.5; Middle: 68.2; High: 67.7; District: 65.2

[1]School/district rewards categories are:

- **High-Performing School/District**
  - meets its current year AMO Overall, student participation rate and graduation rate goal
  - has a graduation rate above 60 percent for the prior two years
  - scores between the 90th and 94th percentile on the overall score
  - for a district – does not have any schools categorized as Focus Schools or Priority Schools
- **School/ District-of Distinction**
  - meets its current year AMO Overall, student participation rate and graduation rate goal
  - has a graduation rate above 60 percent for the prior two years
  - scores at the 95th percentile or higher on the overall score
  - for a district – does not have a school categorized as a Focus School or Priority School
- **High-Progress School/District**
  - A Title I or Non-Title I school that:
    - meets its current year AMO Overall, student participation rate and graduation goal
    - has a graduation rate above 60 percent for the prior two years
    - has an improvement score indicating the school is in the top 10 percent of improvement of all elementary, middle, or high schools as determined by the difference in the two most recent calculations of the overall score
  - A district that:
    - meets its current year AMO Overall, student participation rate and graduation goal
    - has a graduation rate above 60 percent for the prior two years

- ❖ has an improvement score indicating the district is in the top 10 percent of improvement of all districts as determined by the difference in the two most recent calculations of the overall score

[2]High Progress Schools may have a second Rewards or Assistance classification; High Performing School, School of Distinction, Priority School, or Focus School.

[3]High Progress Districts may have a second Rewards or Assistance classification; High Performing District, District of Distinction, Priority District, or Focus District.

For High Performing Schools, Kentucky has set the 90th percentile as the cut score to be considered for this category. In order to be fair to all schools, the cut score would be applied to all schools regardless of their Title I or Non-Title I status. If a Title I school falls at or higher than the 90th percentile on the Overall Score, it would be labeled appropriately. Based on the table above, the Kentucky Reward Schools meet the definitions of the ESEA waiver requirements.

2.D PRIORITY SCHOOLS

2.D.i Describe the SEA's methodology for identifying a number of lowest-performing schools equal to at least five percent of the State's Title I schools as priority schools.

Guidance Question: Did the SEA describe its methodology for identifying a number of lowest performing schools equal to at least five percent of the State's Title I schools as Priority Schools?

Kentucky Priority Schools initially included all the schools identified as persistently low-achieving (PLA), as defined by Kentucky Revised Statute 160.346.

Districts that have an Overall Score in the bottom 5 percent for all districts that have failed to make AMO for the last three consecutive years shall be Priority Districts. (2.D.iii.c)

2.D.ii Provide the SEA's list of priority schools in Table 2. **(See Attachment 9 of the Appendix at** https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45**.)**

2.D.iii Describe the meaningful interventions aligned with the turnaround principles that an LEA with priority schools will implement.

Guidance Question: Are the interventions that the SEA described aligned with the turnaround principles and are they likely to result in dramatic, systemic change in Priority Schools?

Priority Schools

Since Priority Schools are defined as those schools already identified as persistently low-achieving (PLA) by state statute, those schools have received supports and consequences as required by KRS 160.346 (http://www.lrc.ky.gov/KRS/160-00/346.PDF) and 703 KAR 5:180 (http://www.lrc.ky.gov/kar/703/005/180.htm). Among those requirements is the necessity to choose one of the four school intervention options -- external management, restaffing (turnaround), school closure or transformation. Each of those options contains the relevant elements of the turnaround principles included in the 1003(g) School Improvement Grant guidance. Included among those elements is removal of the current school leadership unless the commissioner determines otherwise based on findings in the required formal review process. (2.D.iii.a)

Kentucky has an extensive, successful and highly regarded process by which it identifies and intervenes in Priority Schools and Districts. Upon identification as a Priority School through the assessment scores, the school and its district are required to undergo a formal review process to determine whether the leadership of the school/district has the capacity to lead the intervention process. As Kentucky's method of school governance includes a school-based decision making council, a determination is also made as to whether the council has the capacity to continue in its governance role or whether its authority should be delegated elsewhere. This examination of school governance to evaluate effectiveness in accelerating student learning is an innovative component of the model.

The intervention process is managed through the Kentucky Department of Education's (KDE's) District 180 program. The agency has collaborated with three different state universities to collaborate and provide support for each region's Priority Schools. These universities are located in eastern, western and central parts of the state, which allow the schools to access university faculty and educational cooperative staff that serve those areas. Priority Schools are supported with Education Recovery staff that are highly trained and have extensive experience in turnaround of low-achieving schools. Education Recovery Directors are responsible for the oversight of all identified schools and districts in the geographic area. Priority Schools are assigned an Education Recovery Leader, who becomes the lead administrator working with the principal to implement the recovery. Education Recovery Specialists in reading and math are hired to work specifically with teachers to assist them in building the skills and capacities to dramatically improve student achievement.

The Education Recovery staff begins by putting in place a number of strategies to assure that interventions are begun as quickly as possible. Once the application for School Improvement Grant funds has been approved, training begins immediately with the provision of professional development on the turnaround process for all school personnel. Recovery staff facilitates a short term, 30-60-90-day planning process to determine and prioritize activities that must be accomplished immediately. While this is taking place, capacity building begins with targeted professional development based on needs identified through the formal review process. Turnaround Teams are formed with university faculty, experienced consultants from educational cooperatives, staff from the district central office, Education Recovery staff and KDE staff designing and delivering professional development and working with the teams. The teams work

on problems of practice and methods for facilitating successful professional learning communities.

In addition to the immediate interventions outlined above, Priority Schools make additional, longer-term plans through the Comprehensive School Improvement Plan (CSIP) process. In working through this planning process, the district assists the school in using a variety of relevant sources, including a valid and reliable measure of teaching and learning conditions to inform the needs assessment that forms the basis for revisions to the CSIP. The school also must document meaningful family and community involvement in selecting the intervention strategies that will be included in the revised CSIP.

The school's CSIP is required to include the support that the district will provide throughout this process. KDE's commitment to building district capacity is essential for the meeting of desired outcomes in these schools.

Consistent with requirements for all schools in each support category, the CSIP of a Priority School must contain a number of common elements:

- curriculum alignment to ensure the instructional program is rigorous, research-based, based on student needs and aligned with the Common Core Standards
- provision of time for collaboration on the use of data to inform assessment strategies, monitor and modify instruction, and support proficient student work
- professional development to address the goals of the plan
- parental and community communication and engagement
- attendance improvement and dropout prevention
- activities to target the underperforming areas in achievement, gap, growth, college/career readiness and gap.
- activities to target weaknesses identified in Program Reviews
- activities to target areas of need identified through teacher and leader evaluation measures
- school safety, discipline and non-academic factors such as student social, emotional and health needs
- design of the school day/week/year to maximize teacher collaboration and student learning time
- technical assistance that will be accessed

If identified for a second time, the superintendent and school-based decision making council shall review, revise (in accordance with 704 KAR 5:225, Section 9) and agree upon the CSIP, which will be posted to the school's website. If identified for the third or more consecutive time, in addition to the requirements in the sentence above, the CSIP shall be electronically submitted to the KDE and the school must:

- participate in a set of improvement strategies resulting from an accreditation process
- if directed by KDE, accept the assignment of a mentor/partner
- accept ongoing resources throughout the year as assigned or approved by KDE

One of the factors contributing to the success of the District 180 Education Recovery process is

that it provides a consistent, proven framework for allocating human capital and fiscal resources to troubled schools, while allowing maximum flexibility for the intervention staff to personalize the methodologies based on the needs of the school, continually revisit and update their data and, on that basis, immediately revise or abandon practices failing to generate the desired results. The continuing involvement of highly-skilled Frankfort-based and local Education Recovery staff over the course of the identification of a school as Priority ensures continuous high-intensity monitoring and assistance tailored to specific needs. One example of the types of activities undertaken by the Education Recovery staff is facilitating monitoring meetings between the school and the district to ensure up-to-date knowledge and active involvement of district staff in the improvement activities being undertaken by the school. The conversation centers on the completion of a template outlining levels of implementation of the elements of the improvement model being used by the school (transformation, restaffing, etc.). These occur approximately every four to six weeks depending on the need. (See School Monitoring and District Monitoring Templates at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=Ssvx%2blCuBvFWgqLEaBIvtJpJi4eRIH2%2flBgZhcsLmJo%3d&docid=00d4f6ee503da4edead167ac2a658e45d.)

Because of the difficulty of institutionalizing change, and since the major focus of the accountability and support systems to address the needs of low-achieving schools is building on and sustaining continuous improvement, one element included in staff monitoring of Priority Schools is the development of sustainability goals. Schools that are nearing the exit of Priority status must develop a sustainability goal that explains how progress will be maintained after their exit. The sustainability goal must address the seven areas (stakeholder involvement, student engagement, collaboration, equity, personalization, continuous improvement, and systems alignment) that research has shown to be present in effective schools and detail how progress will be maintained in each component.

Priority Districts

The district also is required to revise its Comprehensive District Improvement Plan (CDIP) using a variety of relevant sources including a valid and reliable measure of teaching and learning conditions to inform the needs assessment that forms the basis for the revisions. The CDIP is posted to the district's website, includes the support to be provided to the school(s) and addresses the following:

- curriculum alignment within the schools, assuring there is alignment with the common core standards
- evaluation and assessment strategies to continuously monitor and modify instruction to meet student needs and support proficient student work
- professional development to address the goals of the plan
- parental and community communication and engagement
- attendance improvement and dropout prevention strategies
- activities to target the underperforming areas in achievement, gap, growth, college/career readiness and gap
- activities to target weaknesses in Program Reviews

- activities to target areas of need identified through teacher and leader evaluation measures
- technical assistance that will be accessed

The district's CDIP is required to include the support that the district will provide throughout this process.

If identified for a second time, in addition to the items described above, the CDIP will be reviewed, revised and posted on the district's website. If identified for the third or more consecutive time, in addition to the requirements in the previous sentence, the district must:

- participate in a set of improvement strategies resulting from an accreditation process
- if directed by the KDE, accept the assignment of a mentor/partner
- accept ongoing resources throughout the year as assigned or approved by KDE

KDE monitors implementation of the plan and provides guidance based on progress reports, data reviews and on-site observations.

In order to meet criteria to be a Priority District, the district must have an overall score in the bottom 5% of all overall scores for all districts that have failed to meet their AMO for the last three consecutive years. At this time, no districts will be eligible to meet those criteria during the duration of this waiver. The first time Priority Districts will be identified will be after the 2014-15 school year. This provides three years of AMO Overall scores to match the definition above. To exit the Priority District status, a district would need to be above the bottom 5% overall score and meet its AMO Overall for three consecutive years. New Priority Districts would be identified annually if the district meets the criteria listed above.

Schools and districts will be provided with examples of interventions that they may wish to choose from to address the required components in the CSIP/CDIP. Some examples of the required CSIP/CDIP components and suggested interventions are:

1. **Redesigning the school month, day or year to include additional time for student learning and teacher collaboration:**
    - This may include adding time to the school day, adding days to the school year, changing the master schedule to look for additional time, changing the school calendar to provide additional time, reducing transition time to classes, and reviewing the school schedule to look for additional sources of time that might be found.

2. **Using data for continuous improvement in teaching and learning:**
    - Must at a minimum provide time for collaboration on the use of data; use professional learning communities to review specific data; review a multiplicity of types of data to examine the impact of each on student achievement (teacher and student attendance, truancy, student discipline infractions, positive behavior interventions); provide faculty-wide input to determine data interests/needs; provide for faculty-wide review of data to determine areas needing further professional development; examine formative or interim assessments for the

purpose of improving instruction; and disaggregate data by subgroups to assist in determining appropriate targeted interventions.

3. **Ongoing mechanisms for family and community engagement:**
   - Establish organized parent groups; hold public meetings to review school performance and assist with developing the CSIP; use parent, teacher and student surveys to determine areas of strength and weakness; continue use of Family Resource/Youth Services Centers (FRYSCs) and other local support providers to help meet student and family needs; continue to use the School-Based Decision Making (SBDM) process for engaging parents in the activities of the school; work with adult education providers to offer parent education classes; and collaborate with parent groups representing students with disabilities, students with Limited English Proficiency and other gap groups to receive their input and ascertain the needs of individual students.

4. **Establishing a school environment that improves safety and discipline and addressing other non-academic factors that impact student achievement such as students' social, emotional and health needs:**
   - Hiring a school resource officer; initiating programs such as a Positive Behavior Intervention System or other systems designed to limit negative student behaviors; introducing a school-wide anti-bullying program; receiving an audit from the Center for School Safety and implementing the recommendations from it; beginning collection and analysis of data on a number of the non-academic factors that impact student achievement; using information from the Kentucky System of Interventions to address school environment concerns; and continuing use of the FRYSCs and other local providers to help meet broader student and family needs.

The implementation of the variety of practices to be implemented to address the needs of Priority Schools and Districts will increase the quality of instruction to all students, improve the effectiveness of leadership and teaching in those schools, decrease achievement gaps and improve student achievement for all groups of students. (2.D.iii.b)

<u>Practices to Improve Student Achievement for English Language Learners, Students with Disabilities and Lowest-Achieving Students and Graduation Rates for All Students</u>

In keeping with the belief that "all children **can** learn, and each child **will** learn", Kentucky has intentionally embedded the activities and strategies to address the needs of students with disabilities and English language learners into the Unbridled Learning: College- and Career-Ready for All agenda, and has sought to ensure the needs of those students are included throughout all aspects of the work to increase student achievement. Students with disabilities and English language learners are included in the performance data used to identify schools and implement interventions, and are included in both the proficiency and gap reduction components of the accountability system index. They have been included in regular school and district improvement processes in order to ensure they receive the same level of attention through the same planning processes as the rest of the school. This promotes the concept of inclusion and

ensures the integration of strategies and activities that may be beneficial to all students.

Examples of how Kentucky has intentionally embedded activities and strategies to address the needs of students who are English learners are:

- Provided WIDA ELD standards with webinars (*English Language Development Standards in Action: Differentiation*) in June 2013 under State/District Webinars at http://www.wida.us/downloadLibrary.aspx. Also, KDE has indicated on its website that: "The World-Class Instructional Design and Assessment (WIDA) **English Language Proficiency Standards for English Language Learners in Kindergarten through 12th Grade** serve as Kentucky's NCLB-**required** English language proficiency standards. This statement is found at http://education.ky.gov/specialed/EL/Pages/English-Learners-and-Immigrant--Resources.aspx under the heading "English Language Proficiency (ELP) Standards" and via e-mail to Kentucky EL coordinators, it was indicated that all staff members working with English learners are to use the WIDA standards (http://education.ky.gov/specialed/EL/Documents/ELD%20standards%20and%20AMAO%20information.pdf).
- Scheduled introduction to WIDA ELD standards webinar for April 2014 (See the attachment titled "Kentucky Department of Education EL Professional Development" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=pJbmGzejxzU4oC7EoLIeQ4cVCMrf90VvRwDGuZI0yrY%3d&docid=0ffa1a5da89ff4da582aa683e4f0182e3.) It also will be archived on the WIDA website library.
- Provided face-to-face workshops entitled Empowering English Language Learners for Success in an Ever-Changing World in October 2013 (See attachment titled "Annotated Agenda for Certification" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=Pr7Wm8KsewsSrj1%2bEgtec6NsFW%2fN2LVB%2bk3oH6bkYzA%3d&docid=041c92cb11fc946eabb1cef43f3dd2655 for the objectives of the workshop and the sign-in sheet.)
- Provided WIDA workshops on data analysis in November 2013 (See attachment titled "Data Analysis Workshop: Focus on Classrooms" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=SdwJf0sXOvM7Wkpf1ECvBL6a8fNt9NJzKGrQccERaAk%3d&docid=0d8d655e7fb874ddf9b864c66dc12b1ee.)
- Provided two-day workshops to understand how to connect WIDA standards and ACCESS assessment and scores (See attachment titled "WIDA Retreat Focus on Schools & Districts" at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=dfxsE2b6H%2brSIMl%2bLNwlhuSOUIq5b0j5QOXpTQg2Ggs%3d&docid=0c48c88e9818a4eb4b91a36c82807ca7f.)
- Encouraged EL teacher participation in regional Instructional Support Networks (ISN), and encouraged the same participation in the District Leadership Network

Examples of how Kentucky has intentionally embedded activities and strategies to address the needs of students with disabilities are:

- Developed the Kentucky Individual Education Program (IEP) Development Guidance document to support of standards-based IEPs found at http://education.ky.gov/specialed/excep/Pages/IEP-Guidance-and-Documents.aspx
- Started the process to revise guidance around accommodations to provide additional support to the IEP teams on the selection and use of accommodations (Will be available for the 2014-15 school year)
- Aligned Special Education Cooperatives to the eight Educational Cooperatives to facilitate a more efficient and effective model for regional and integrated service delivery (See Special Education Service Regions at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=tKoB%2fWSPwQaDWbZUlOoWUt1aCAB3J5F3F1nU6k1SQqA%3d&docid=030eea8cfa0bf4a3692c9195297194b30.)
- Encouraged special education teachers' participation in regional Instructional Support Networks (ISN), and encouraged the same participation in the District Leadership Network
- Invited local district directors of special education (DoSE) across the state to participate in LEAD-Kentucky, a program designed to produce highly effective educational leaders

In addition to the above activities, Kentucky has more intentionally focused its efforts on data-based planning for improvement for students with disabilities and English learners as part of the comprehensive improvement planning process. Specifically, Kentucky is monitoring continuous improvement needs for students with disabilities through the development and implementation of a comprehensive State Systemic Improvement Plan (SSIP), focused on improving educational results and outcomes for students with disabilities. This is moving toward the vision of Results Driven Accountability (RDA) and aligning all components of an accountability system in a manner that best supports Kentucky in improving results for infants, toddlers, children and youth with disabilities, and their families. (See pages 18-20 of OSEP Proposed State Systemic Improvement Plan at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=a7QbFqUyT4bGlHpvhuGQIodtqRFIgZf9o6VtXw66ScM%3d&docid=00bf0a2a53c8948ffbb133fbf6c075668.)

In December 2013, Kentucky invited a team from OSEP to visit and assist the agency in clarifying KDE's thinking and focus as the agency moves forward in the work to improve educational results and outcomes for all students. (See OSEP RDA Site Visit at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=7R4UKgaDp9pijaJVmQA38O0m8iV9V7f4D%2fSSKc7kXKs%3d&docid=0e441c6006bd4410491199c2cff0c28a3 and Post RDA Visit Letter at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=pWrQpt2Gd8Y1sTh9G8Tedw95aAUmiQxBd8NP5GR985g%3d&docid=010f15d71fcbc472f9769c7da8d6452c6.)

As identified schools begin the accountability process, the formal review in the District 180 Education Recovery process identifies areas of strength and weakness relative to the instructional needs of these students and other students in the gap, and the planning process for Priority Schools and Districts is the method used to address those needs. Education Recovery staff's job specifications (See Educational Recovery Specialist/Educational Recovery Leader MOA at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=pdYOpPaNsj25SQGpHMYzrvUh2Tn%2bUZGRH%2fRgRU4JTlc%3d&docid=05486b69742e64beb9c397fd6ed9ac255) include that they are able to assist teachers in all classrooms in developing and implementing effective and research-based instructional strategies that address the specific needs of all students, including students with disabilities, English learners and students in the achievement gap. These skills are a prerequisite for anyone seeking to serve as Education Recovery staff in a Priority School. As Education Recovery staff work with building-level staff on developing their 30-60-90 day plans, the data that is used to build the plans focuses on student-level data for all students but specifically on those with the greatest needs. As the plan's name indicates, these plans are under continuous revision during the first 90 days to ensure that the needs of the lowest-achieving students are met. (See 30-60-90 day plan at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=7Z85kLzwbRGnpfSn3SS3glLqCR%2fCGmx2OBgASxSMLpI%3d&docid=02d6f3f4930fd480683cbb1265c467985 for an example of one of these plans.) Quarterly Reports from these schools are submitted through the district to KDE to document progress to date on successful implementation or revision of their plans, including progress of the students in these groups. (See Greenup County High Quarterly Report at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=f3gt0xiPRUxR8yeKH5HnCwA7jBZeNp2RbMGjzOZgESw%3d&docid=04b4676e4030f47b19455020a2035d92a for an example of this kind of report. Kentucky's Delivery Plans (http://education.ky.gov/CommOfEd/CDU/Pages/Delivery_Home.aspx) provide additional methods to assure the success of these students, in addition to the strategies and activities that are identified through the Education Recovery process.

Some of the strategies included in the Next Generation Support Systems Plan (http://education.ky.gov/CommOfEd/CDU/Pages/Delivery_Home.aspx) include the use of the electronic ASSIST tool to guide the planning process for strategies and activities to be used with students in subgroups. The tool is used to consolidate and increase the likelihood of implementation fidelity through data goals and frequent monitoring of the plan. Specific questions to address the instructional needs of students in the gap subgroups are asked and additional data on these groups is collected to ensure their inclusion in the school's planning process. Based on the needs identified through the data collection, the Kentucky Department of Education assists local school districts to ensure that professional development is identified and delivered, including training on different collaboration models to support students with disabilities and training on how to implement differentiated instructional strategies that will reach these students. Education Recovery staff receive specific training on strategies for closing the gaps, which include measures to address these two groups of students. Their experience and expertise are used as a resource to assist staff working with other schools who are struggling to find "what works" to reach students in the gap.

The *"Guidelines for Closing the Gap for All Students"* (http://education.ky.gov/CommOfEd/adv/Documents/CRACGC%20Guidelines%20for%20standard%20printer.pdf), a stakeholder-developed guidance document to help schools and districts that are looking for additional methods to approach gap closure, has been published and widely distributed. Because of the intensive stakeholder guidance in developing this document, it reflects suggestions for ensuring community engagement in the process of identifying and addressing gap issues.

Other activities that have been implemented include:

- providing assistance and support to districts in assuring additional digital learning environments and opportunities designed to engage disenfranchised students through the development and dissemination of the Kentucky Digital Guidelines (http://education.ky.gov/school/diglrn/Documents/KY%20Digital%20Guidelines%20v4.0.pdf);
- implementation of the Kentucky System of Intervention (KSI) (Kentucky's Response to Intervention, RtI process found at http://education.ky.gov/educational/int/ksi/Pages/default.aspx), which provides individual identification of student needs and responses tailored to address their learning issues; and
- Monitoring through the ASSIST tool (http://education.ky.gov/school/csip/Pages/ASSIST-Tech.aspx) to increase the likelihood of implementation with fidelity.

Additional strategies are included in the three Delivery Plans that can be found at http://education.ky.gov/CommOfEd/CDU/Pages/Delivery_Home.aspx.

The additional flexibility that the waiver provides allows districts to target federal funds to focus on achievement gap subgroups.

Strategies to address graduation rates for all groups of students are included in the Kentucky Department of Education Next Generation Learners Delivery Plan (http://education.ky.gov/CommOfEd/CDU/Pages/Delivery_Home.aspx).

2.D.iv Provide the timeline the SEA will use to ensure that its LEAs that have one or more priority schools implement meaningful interventions aligned with the turnaround principles in each priority school no later than the 2014–2015 school year and provide a justification for the SEA's choice of timeline.

Guidance Question: Is the SEA's proposed timeline for ensuring that LEAs that have one or more Priority Schools implement meaningful interventions aligned with the turnaround principles in each Priority School no later than the 2014-15 school year reasonable and likely to result in implementation of the interventions in these schools?

Kentucky has identified as Priority Schools those previously identified as persistently lowest-achieving schools (PLAs) using the 2009, 2010 and 2011 assessment data. The Priority Schools, due to their previous identification as PLAs, have already been implementing

interventions required through School Improvement Grants (SIGs), which are aligned with the turnaround principles. Since the Priority Schools are identified by the state statute defining PLAs (KRS 160.346), the Kentucky Department of Education (KDE) has already begun the process to implement meaningful interventions in schools identified with 2009, 2010, and 2011 assessment data. The rationale behind the choice of these implementation timelines is to assure that intervention processes to benefit students are put in place as soon as possible.

2.D.v Provide the criteria the SEA will use to determine when a school that is making significant progress in improving student achievement exits priority status and a justification for the criteria selected.

Guidance Question: Did the SEA provide criteria to determine when a school that is making significant progress in improving student achievement exits priority status?

In order to exit Priority status, the Cohort 3 schools or districts must meet AMO Overall goals for three consecutive years and must no longer be identified by the applicable percent calculation of being in the lowest 5 percent. This exit goal is the reverse of the calculation that moved the school into the Priority category. By meeting the AMO Overall as described in section 2.D.i. above, the school has made a gain of 21 percent of the standard deviation goal. By moving that far in a three-year period, the school has shown it has made progress and is improving. In addition, the school needs to score at or above a 70 percent graduation rate for three years in a row*. (2.D.iii.c.)

When an existing Priority School exits the status, a new Priority School is chosen using the Priority School criteria for a replacement.

Cohorts 1 and 2 were identified and served as persistently low-achieving (PLA) schools prior to being designated as Priority Schools under the waiver. Cohort 1 schools were PLAs under the old system for two years (2009-10 and 2010-11), and Cohort 2 schools were PLAs under the old system for one year (2010-11). 2011-12 scores do not count in the calculations because they served as the baseline year for the new accountability system when targets were set for 2012-13. Cohort 3 schools were identified in 2012-2013 under the new system. For Cohort 1 and 2 schools/districts, the exit criteria uses the original system definition for school years 2009-10 and 2010-11 and schools were required to:

- make their AMO Overall goal for three years,
- have a graduation rate greater than 60 percent*, and
- be above the bottom 5th percentile in math/reading combined.

For school year 2012-13, all three cohorts used the new system definition:

- make their AMO Overall goal for three consecutive years,
- have a graduation rate equal to or greater than 70 percent, and
- be above the bottom 5 percent in overall performance.

*Since Cohort 1 and 2 use scores from the AFGR and the new Cohort rate, the 60% rate is used for their exit because that was the rate set for AFGR. Cohort 3 would use the new Cohort Rate in all three years; therefore, Cohort 3 must have a graduation rate equal to or greater than

70 percent for three years in a row.

Key Questions and Answers

1. *Does the list of priority schools align with the definition of these schools provided in the ESEA Flexibility Document?*

Kentucky chose the Waiver option of using the currently identified Persistently Low-Achieving (PLA) Schools as the new Priority Schools. Based on 2012-13 data, forty PLA/Priority Schools were identified, are receiving services, and have made the choice to use one of four turnaround models. Note: Originally, Kentucky identified 41 Priority Schools; however, one school, Monticello High School, closed leaving 40 Priority Schools.

Priority Schools	Total Number of Schools	Title I Schools	Non-Title I Schools
Total number of schools	1148	818	330
Total number of priority schools required to be identified	n/a	41	n/a
Total number of schools on list generated based on overall rating that are currently-served Tier I or Tier II SIG schools	40	24	16
Total number of schools on list generated based on overall rating that are Title I-eligible or Title I-participating high schools with a graduation rate less than 60 percent over a number of years	4	3	1
Total number of schools on list generated based on overall rating that are among the lowest-achieving five percent of Title I schools	30	20	10

*Based on 2012-13 NCLB Data

2.E FOCUS SCHOOLS

2.E.i Describe the SEA's methodology for identifying a number of low-performing schools equal to at least 10 percent of the State's Title I schools as "focus schools."

Guidance Question: Did the SEA describe its methodology for identifying a number of low-performing schools equal to at least 10 percent of the State's Title I schools as focus schools?

<u>Focus Schools:</u>

There are three ways to become a Focus School:

(1) The Student Gap Group Score is ranked for all schools in the state. The schools in the lowest 10 percent of the student group gap scores by level are called Focus Schools. The list will identify the lowest 10 percent of all schools in the state. All schools, both Title I and non-Title I, are eligible to be Focus Schools. (If necessary, the list is increased until at least 10 percent of the Title I schools are included as Focus Schools.)

OR

(2) Kentucky recognizes the importance of individual gap groups; therefore, individual group data is not lost in the model. All schools with individual gap groups underperforming in the third standard deviation below the mean (called Third Standard Deviation Model) are called Focus Schools. The calculation is done by comparing each individual gap group to the average of all students in the state. This calculation is the AMO Delivery goal for each subgroup in the state.

OR

(3) Any high school with a graduation rate below 60 percent for two years in a row is a Focus School.

Method for Calculating Focus Schools: Third Standard Deviation Model

By level, (elementary, middle and high), the state average for proficient/distinguished in each subject area (reading, mathematics, science, social studies and writing) is computed. In addition, a standard deviation by subject area for all students is computed. For each subject area, the third standard deviation below the mean of all students is the cut score to determine if an individual subgroup becomes a Focus Group. If an individual subgroup by level and subject falls below the third standard deviation cut score, that subgroup places the school into the Focus School category. Across the level, the subgroup needs at least 25 students. Detailed Focus School data by group and subject will be posted to the School Report Card in 2014. Currently, the file is on the KDE Open House site.

Focus Districts:

Districts that have a Student Achievement Gap Group Score in the bottom 10 percent of Student Gap Group Scores for all districts are identified as Focus Districts.

Key Questions and Answers

1. *Has Kentucky gone beyond the minimum requirements for Focus Schools?*

Yes. By adding a Third Standard Deviation Model, there is an AMO Delivery goal around individual gap groups. The Third Standard Deviation Model allows Kentucky to locate individual subgroups across all schools in each subject area that need to be targeted for improvement. When reporting scores to the public, Kentucky lists the individual subgroups that triggered the school to be placed into the Focus Schools category as well as shows the performance for all subgroups in the school.

2. *Does the model catch low-performing subgroups in high-performing schools?*

Yes. A Third Standard Deviation Model calls for locating individual underperforming subgroups in all schools. The Third Standard Deviation Model looks for individual subgroups that are underperforming compared to the average of the “all” students group by at least three standard deviations. This means any individual subgroup in any high-, middle- or low-performing school may be targeted as a Focus School for interventions. In 2012-13, there were

223 schools listed as Focus Schools due to the Third Standard Deviation Model.

2.E.ii Provide the SEA's list of focus schools in Table 2. **(See Attachment 9 of the Appendix at** https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45**.)**

2.E.iii Describe the process and timeline the SEA will use to ensure that its LEAs that have one or more focus schools will identify the specific needs of the SEA's focus schools and their students and provide examples of and justifications for the interventions focus schools will be required to implement to improve the performance of students who are the furthest behind.

Guidance Question: Did the SEA describe the process and timeline it will use to ensure that each LEA identifies the needs of its Focus Schools and their students and provide examples of and justifications for the interventions the SEA will require its Focus Schools to implement to improve the performance of students who are furthest behind?

Overview of Determining Focus School Needs

Kentucky's accountability system ensures that school districts identify the specific needs of their Focus Schools and their students, and furthermore, that they take appropriate steps to intervene to improve the performance of students who are the farthest behind.

A central tenet of Kentucky's support and monitoring activities for all of its schools and districts centers on the Comprehensive School/District Improvement Planning process. Comprehensive School/District Improvement Plans (CS/DIP) are developed through a process that is described in greater detail in 2.F., Incentives and Supports for Other Title I Schools. The Improvement Plans for Focus and Priority Schools/Districts differ from those required of the remainder of Kentucky's schools/districts in that they require the plans to include additional requirements (outlined specifically below) related to their gap issues and to indicate how they will address these additional requirements.

To ensure the local education agency (LEA) is involved in identifying the needs of its Focus Schools, and ensuring that it implements appropriate, timely and effective interventions, Kentucky requires activities of both the Focus School and its district. The district is required to assist the school throughout the needs assessment process using data from a variety of sources and to work with the school throughout the development of the plan. The Kentucky Department of Education (KDE) regularly convenes a statewide Raising Achievement/Closing Gaps Council that has developed a guidance document that schools and districts must use to inform the direction of their plans, and the council remains available to provide additional, evolving resources in this area as these develop.

As a result of this collaborative effort, the school's plan includes the support to be provided by the district, and the district reviews the completed plan to assure that the resources to implement the plan are available. Plans are posted on the school's website to ensure widespread

dissemination and promote transparency throughout the process.

As a part of KDE's oversight of Focus Schools and Districts, the Office of Next Generation Schools and Districts (ONGSD) monitoring staff, through the CSIP/CDIP plan review process, are able to direct Focus Schools and Districts (and other Title I schools) to resources to assist them with the instructional needs of the specific type of student population that continue to remain in the achievement gap. (See KDE Focus School Assignments at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=WCBtgp0lbB33ePgrNayLul0tUo62G%2fWeTJcpfO32bkM%3d&docid=070859b66364b40ea91b844cb76818838.) These resources can assist the schools and districts as they address the needs of these students groups in their plans as follows:

- Targeted professional development, instructional resources coded to standards, model lessons, and culturally responsive instructional delivery methods are all available to every teacher through the Continuous Improvement Instructional Technology System (CIITS at http://education.ky.gov/curriculum/ciits/Pages/default.aspx), along with the ability to maintain them in a private workspace.
- The KDE Hub Schools (See Kentucky Hub Schools at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=uDFSYoBplhrmA%2fN%2bm2sXdXZkUncpjzTLm07UDvrRvZY%3d&docid=03b8048b9fff74e678212ee431dd1320b.), those previously identified as Priority Schools that turned their schools into high-performers, serve as hubs of learning for other schools in need of proven strategies that work with Kentucky students.
- Best practices that have been vetted and appear on the KDE Best Practices website (http://applications.education.ky.gov/bestpractices). These are practices from Kentucky educators who are available to explain and discuss factors contributing to success, targeted audience, etc.
- Local Instructional Leadership Network and Education/Special Education Regional Educational Cooperatives technical assistance staff are available to provide direct assistance.
- Other interventions discovered through the on-going work of Education Recovery staff in Priority Schools are shared.

The regulatory framework found in 703 KAR 5:225 (http://www.lrc.ky.gov/kar/703/005/225.htm) requires the early and continued involvement of LEAs in working with their Focus Schools. LEAs have been expected to be responsible for the compliance of their schools, with additional, more intensive oversight by KDE coming into play through the plan monitoring process if the strategies outlined in the comprehensive plan do not appear to be achieving sufficient gap closure to allow the school to exit from the Focus category within a two-year timeline. Analysis of school and district student achievement data and a desire for more immediate improvement prompted KDE to take a more direct supervisory role and put into place the additional supports and pressures on the system outlined in the narrative found under the Recognition, Support and Consequences section of this waiver document.

Additionally, KDE's most recent review of the 2012-13 Focus School data did not reflect the level of gap reduction expected. To this end, KDE will begin monitoring Focus Schools' usage of the extensive professional development and instructional resources available in PD 360

(http://www.schoolimprovement.com/products/pd360/) through CIITS (http://education.ky.gov/curriculum/ciits/Pages/default.aspx). The data will be analyzed and shared with the local school districts in order to focus professional development planning. A statewide rollout to schools and districts that provides more hands-on experience in the use of this resource is being initiated to ensure that all teachers, especially in Focus Schools with high concentrations of students in the gap, are trained and understand how to best use this valuable resource that is being made available for them.

KDE also is initiating the Intervention Tab (http://education.ky.gov/educational/int/ksi/Pages/ksiIC_InterventionTab.aspx) to track which interventions are being used in schools and to determine their effectiveness. The tab is student-specific and will track the use of both purchased and teacher-developed interventions and their levels of success with students, based on their individual needs. The Intervention Tab is being introduced in the 2014-15 school year and data will be available to provide reports by summer of 2015. The tab will be piloted in 2014-15 with all students scoring novice in third year Focus Schools and all high school seniors that failed to meet the Council on Postsecondary Education's ACT benchmarks.

There are several means by which KDE ensures that local school districts implement interventions that target the reasons which caused a school's identification as a Focus School and ultimately address the learning needs of students. As previously noted, 703 KAR 5:225, Section 9 (10) requires the Comprehensive District Improvement Plan (CDIP) for a district with a Focus School to include the support to be provided to the Focus School by the district, and the Comprehensive School Improvement Plan (CSIP) for the Focus School to reflect the support to be provided to it by the district. KDE staff use the CSIP/CDIP Plan Review Rubric to monitor the plans of all Focus Schools and their districts, and all Focus Districts. The plan review rubric identifies the reasons schools were identified as Focus Schools so that staff can evaluate whether the strategies and activities the schools have outlined in their plans will be sufficient to address the reasons the school was identified in the Focus category, and conversely, whether the supports to be provided by the district will ensure that interventions are implemented that target the reasons the school was identified.

Another mechanism KDE uses to ensure implementation of interventions that target the reasons schools were identified as Focus Schools is through the superintendent assurance process, which is part of the CDIP. The superintendent assurance process requires local superintendent to conduct discussions with the local board of education about the schools' and the district's performance on the four student achievement goals (Proficiency, College and Career Readiness, Achievement Gap and Graduation Rate) included the CSIP/CDIP. The discussion must include whether or not the district has met its district target (composed of the combined school targets), progress made toward those targets, and the superintendent's vision and strategy for moving the work forward through the Comprehensive District Improvement Plan process. The response to each question in the assurance process certifies that the superintendent has reviewed all the required information and has discussed these items with the local school board. The board meeting minutes must reflect the conversations and outcomes to ensure district involvement down to the school level. Evidence of these conversations is required to be uploaded to the Kentucky Department of Education through ASSIST for review and provision of additional

assistance as warranted.

KDE also uses the Closing the Achievement Gap Diagnostic Process to assure that LEAs implement interventions addressing the reasons each Focus School was identified. The Closing the Achievement Gap Diagnostic requires schools to identify their gap groups, describe the school's climate and culture, describe barriers preventing them from closing the gap, provide specific examples of how the district and school collaborate to ensure the achievement gap is addressed, the process to review the CSIP and the progress in closing the gap. The Diagnostic, which is submitted electronically through the ASSIST platform, requires the schools to include goals, measurable objectives, strategies and activities and indicate how they will be monitored to ensure the strategies/activities are fully implemented. They must address how teaching and learning conditions will be positive and foster success for students and teachers.

The schools complete the Diagnostic in ASSIST and submit the completed document to the district for review/approval. The district then had the opportunity to either re-open the Diagnostic and provide feedback to the school as to changes that need to be made to the response and analysis OR the district may approve the submission by the school. This then serves as a final submission to KDE for review to assure that the strategies and activities are designed to address the gaps that have been identified through analysis of school and district data and that warranted the school's identification.

By processing this Diagnostic in this manner, the district is required to be involved with the work and the process. It ensures the district is engaged in each school's performance and how individual schools are addressing gap closure.

District and school level reports from these initiatives will be provided to the district (in addition to the schools) as additional tools for monitoring school improvement and student success by school. These types of interventions reflect KDE's desire to take a deeper look at root causes and successful practices and provide this data to districts for use in monitoring and planning. Additional uses of this data may be considered.

Relative to Focus Districts, KDE has designated two full-time former school administrators to be responsible for monitoring the seventeen identified Focus Districts. A process has been developed using a template (See Focus District Monitoring at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=%2btsUtGVTl6UMZ2jXGkGkzJD9cFRe4XEm%2feODUpaVeZU%3d&docid=02c1b52abdec24a8691ab08b05bd56c31.) to begin a conversation with the superintendent and central office staff that results in a report indicating status in a number of areas such as curriculum alignment, consolidated planning, gap closure plans, professional development, teacher evaluation, and reports from professional learning communities. The completed reports are reviewed by Frankfort-based staff to determine the status of the district in addressing the needs of the gap groups that were responsible for their initial identification.

Process – Focus Schools

The initial step in the accountability process is notification by the commissioner of education of

a school's status as a Focus School. Within 90 days, each identified Focus School must review and revise their Comprehensive School Improvement Plan (CSIP) and post it on the appropriate website. The revisions require the use of a variety of relevant sources, including a valid and reliable measure of teaching and learning conditions to inform the needs assessment that forms the basis for the revisions. The needs assessment and the revised plan are informed by guidance from the Commissioner's Raising Achievement/Closing Gaps Council (CRACGC).

CSIPs for Focus Schools must contain:

- curriculum alignment to ensure the instructional program is rigorous, research-based, based on student needs and aligned with the Common Core Standards
- provision of time for collaboration on the use of data to inform assessment strategies, monitor and modify instruction, and support proficient student work
- specific strategies to address the within-school gaps in achievement and/or graduation rates between the highest-achieving subgroup and the lowest-achieving subgroup
- professional development on the goals of the plan
- parent and community engagement
- attendance improvement/dropout prevention strategies
- activities to target the underperforming areas in achievement, gap, growth, and college/career readiness
- activities to target weaknesses in Program Reviews
- activities to target areas of need identified through teacher and leader evaluation
- school safety, discipline and non-academic factors such as student social, emotional and health needs
- design of the school day to maximize learning time
- technical assistance that will be accessed

If Focus Schools remain in that category for three consecutive years, they must revise the CSIP as specified in Section 9 of 703 KAR 5:225, within 90 days of receiving notice from the commissioner of education of their status. The superintendent and the council must review, revise and agree upon the CSIP, which will then be posted on the school's website. If this occurs for a fourth consecutive year, they must follow the same process described in the previous sentence, and electronically transmit the CSIP to KDE within ninety (90) days of receiving notice from the commissioner of education. The CSIP also will be posted on the school's website and these additional requirements will apply and the school must:

- participate in a set of improvement strategies resulting from an accreditation process
- if directed by the KDE, accept the assignment of a mentor/partner
- accept ongoing resources through the year as assigned or approved by KDE

Process – Focus Districts

The initial step in the accountability process is notification by the commissioner of education of district's status as a Focus District. Within 90 days, each identified Focus District must review and revise their CDIP and post it on the appropriate website. The revisions require the use of a variety of relevant sources, including a valid and reliable measure of teaching and learning conditions to inform the needs assessment that forms the basis for the revisions. The needs

assessment and the revised plan will be informed by guidance from CRACGC. The CDIP will be posted to the district website, include the support to be provided to the school(s), and address the following:

- curriculum alignment within the schools, assuring there is alignment with the Common Core Academic standards
- evaluation and assessment strategies to continuously monitor and modify instruction to meet student needs and support proficient student work
- specific strategies to address gaps in achievement and graduation rates between the highest-achieving student performance group and the lowest-achieving student performance group(s)
- professional development to address the goals of the plan
- parental and community communication and engagement
- attendance improvement and dropout prevention
- activities to target the underperforming areas in achievement, gap, growth, and college/career readiness
- activities to target weaknesses in Program Reviews
- activities to target areas of need identified through teacher and leader evaluation measures
- technical assistance that will be accessed

The district's CDIP is required to include the support that the district will provide throughout this process.

If Focus Districts remain in that category for three consecutive years, they must revise the CDIP, as specified in Section 9 of 703 KAR 5:225, within 90 days of receiving notice from the commissioner of education of their status and post it on the district website. If this occurs for a fourth consecutive year, they must, in addition to the requirements in the previous sentence:

- participate in a set of improvement strategies resulting from an accreditation process
- if directed by the KDE, accept the assignment of a mentor/partner
- accept ongoing resources through the year as assigned or approved by KDE

Timelines

Kentucky continues to identify Focus Schools/Districts based on the results of the annual, statewide assessment.

2.E.iv Provide the criteria the SEA will use to determine when a school that is making significant progress in improving student achievement and narrowing achievement gaps exits focus status and a justification for the criteria selected.

Guidance Question: Did the SEA provide criteria to determine when a school that is making significant progress in improving student achievement and narrowing achievement gaps exits focus status?

Focus Schools - 10% Model: In order to exit the Focus Schools category in the 10 percent model, the student gap group would need to be above the lowest 10 percent category, show improvement and meet AMO Overall for two years in a row. By moving the groups out of the

lowest-performing gap groups, the school has demonstrated an intentional focus on and success with improving the achievement of the gap group students.

Focus Schools – Third Standard Deviation Model: In order to exit the Focus Schools category in the Third Standard Deviation model, the individual subgroup that triggered the school's placement in the category would need to rise above the third standard deviation cut score and show improvement. Additionally, the school would need to meet AMO Overall for two years in a row.

Focus Schools – Graduation Rate: If the school is a Focus School due to graduation rate, the school must have a graduation rate higher than 70 percent and meet AMO Overall for two years in a row to exit this status.

Focus Districts also would need to be above the lowest 10 percent category to exit this status.

There is no regulatory limit on the number of Focus Schools; however, due to the amount of KDE resources needed to support Focus Schools, no new schools are identified until a school exits the Focus status. When an existing Focus School exits Focus status, a new Focus School is chosen using the Focus School criteria for a replacement.

Key Questions and Answers

1. *Does the list of Focus Schools align with the definition of these schools provided in the ESEA Flexibility Document?*

Kentucky's Focus School identification method, due to the 10% rule, the third standard deviation model, and the graduation rate, locates a number of schools beyond the requirements of the Waiver definitions. All schools would be provided services for improvements, but the lowest scoring Title I schools would receive priority. See the chart below for the 2012-13 Focus Schools. Based on the table, the list of Focus Schools aligns with the ESEA definitions.

Number of Schools and Districts by Assistance Category[1]			
	Year	Priority School	Focus School
Elementary	2012	0	103
	2013	0	102
Middle	2012	9	106
	2013	9	105
High	2012	32	76
	2013	31	75
Total Schools	2012	41	285
	2013	40	282
		Priority District	Focus District
Districts	2012	n/a	17
	2013	n/a	17

[1]Schools previously identified remain in their status for a minimum of two consecutive years (2012 and 2013) over which time they must demonstrate sustained improvement to exit. This is why the number of schools in each assistance category has remained the same for the past two years, except for reconfigured schools. Focus Districts are based on 2013 data. Kentucky had 951 Title I schools in 2012-13 with 177 of those schools labeled as Focus (18.6%).

TABLE 2: REWARD, PRIORITY, AND FOCUS SCHOOLS

Provide the SEA's list of reward, priority, and focus schools using the Table 2 template. Use the key to indicate the criteria used to identify a school as a reward, priority, or focus school.

TABLE 2: REWARD, PRIORITY AND FOCUS SCHOOLS -- SEE ATTACHMENT 9 OF THE APPENDIX AT https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45 **FOR KENTUCKY'S LIST OF SCHOOLS.**

Table 2: Reward, Priority and Focus Schools (2011-12)

Level	Number of Schools	Title I Schools	All Schools - Reward	Title I Schools - Reward	All Schools - Priority	Title I Schools - Priority	All Schools - Focus	Title I Schools - Focus	All Schools - w/Graduation Rate <60%	Title I Schools - w/Graduation Rate <60%
Elementary	733	653	77	44	0	0	103	97	n/a	n/a
Middle	333	234	34	19	9	9	106	68	n/a	n/a
High	230	61	19	4	32	15	76	14	0	0
All Levels	1296	948	130	67	41	24	285	179	0	0

Table 2: Reward, Priority and Focus Schools (2012-13)

Level	Number of Schools	Title I Schools	All Schools - Reward	Title I Schools - Reward	All Schools - Priority	Title I Schools - Priority	All Schools - Focus	Title I Schools - Focus	All Schools - w/Graduation Rate <60%	Title I Schools - w/Graduation Rate <60%
Elementary	730	649	110	89	0	0	102	95	n/a	n/a
Middle	331	234	50	37	9	9	105	67	n/a	n/a
High	231	68	44	12	32	18	75	15	0	0
All Levels	1292	951	204	138	41	27	282	177	0	0

2.F PROVIDE INCENTIVES AND SUPPORTS FOR OTHER TITLE 1 SCHOOLS

2.F Describe how the SEA's differentiated recognition, accountability, and support system will provide incentives and supports to ensure continuous improvement in other Title I schools that, based on the SEA's new AMOs and other measures, are not making progress in improving student achievement and narrowing achievement gaps, and an explanation of how these incentives and supports are likely to improve student achievement and school performance, close achievement gaps, and increase the quality of instruction for students.

Guidance Question: Does the SEA's differentiated recognition, accountability, and support system provide incentives and supports for other Title I schools that, based on the SEA's new AMOs and other measures, are not making progress in improving student achievement and narrowing achievement gaps? Are those incentives and supports likely to improve student achievement, close achievement gaps, and increase the quality of instruction for students?

Kentucky's accountability system is designed to identify and support those schools and districts that are struggling, reward those schools/districts that have proven their ability to improve student achievement and provide support for both Title I and non-Title I schools that are not identified in either category.

As mentioned earlier, Kentucky's support and monitoring activities for all schools and districts center around the development, revision and monitoring of the Comprehensive School Improvement Plan (CSIP) or Comprehensive District Improvement Plan (CDIP). Schools that have been identified as Focus or Priority Schools/Districts have specific process and content requirements for development of the CSIP/CDIP relative to their status. All other schools and districts are required to complete a plan, but the requirements are not as prescriptive as those for the Focus Schools and Districts.

To explain in more detail, the CSIP/CDIP process requires a needs assessment to be completed that includes parents, students and community involvement in the development process. Committees analyze and use the data to determine the school's or district's needs. That data is synthesized into causes and contributing factors, translated into needs and then prioritized. Goals, objectives, strategies and activities are developed to address the priority needs. The strategies and activities to address the goals must be research-based, proven to be effective or noted as instructional best practices. Each strategy receives a person responsible, timeline and funding source. The process requires a review of the previous year's plan to evaluate its effectiveness, which is used to inform the development process for the new plan and includes a plan for ongoing public communication.

For the past several years, Kentucky has been working with AdvancEd to implement its electronic ASSIST (Adaptive System of School Improvement Support Tools), found at http://education.ky.gov/school/csip/Pages/ASSIST-Tech.aspx, system statewide in order to streamline, simplify and make more transparent both the planning and reporting process for schools and districts, and the monitoring process for KDE. Simultaneously, KDE has been ratcheting up both the resources and the expectations that schools and districts must achieve consistently higher levels of performance through a continuous improvement framework.

ASSIST reduces the number of plans required of schools and districts, better aligns the state's data collection and practices with those of the U.S. Department of Education and ensures the use of a more comprehensive plan allowing districts to track resources used and results realized from implementation of electronic plans. It provides schools and districts with a template for their plans, the ability to upload additional compliance data and a method for monitoring completion of school and district strategies in the plan.

Connecting Title I schools to the ASSIST process provides a support and intervention component, as the system requires a data analysis procedure that will lead to identification of the root causes leading to low student performance among subgroups. This will enable schools to create a strategic plan that directly addresses the root causes and to effectively monitor the implementation and the impact of the plan.

An additional benefit of this collaboration is the development of an electronic state education agency monitoring process that will flow from the school and district planning processes. The online tools allow school districts to upload a number of compliance documents, send them electronically to KDE and receive feedback. It provides the state education agency a centralized location for all monitoring documents and activities, and it is anticipated that ASSIST will reduce or eliminate some monitoring activities that had in the past been performed on-site.

At this point 100% of Title I schools (including Priority and Focus Schools) and all schools/ districts have completed their plans in ASSIST and have a greater understanding of the rationale and benefits of improvement planning and their contribution to achievement of a continuous improvement system. Extensive professional development was necessary as both the planning process outlined in 703 KAR 5:225 (http://www.lrc.ky.gov/kar/703/005/225.htm), and the electronic platform were new to school and district personnel. Extensive web-based professional development, regional trainings, new materials and resources and individualized telephone support were necessary to assure successful completion of the plans. Webcasts and web-based documents remain available to provide detailed information and models on how to write goals, objectives, strategies and activities that vertically align with the overall state goals and performance targets (http://education.ky.gov/school/csip/Pages/default.aspx). Timeline information is provided that details deadlines for specific activities leading to plan completion (http://education.ky.gov/school/csip/Documents/Timeline%20for%20School%20Improvement%20Planning%20August%2012%2c%202013.pdf).

All Title I schools and the districts in which they are located have been assigned a primary Office of Next Generation Schools and Districts staff member as their contact to provide them whatever technical assistance is necessary in completing their plans appropriately. (See Title I Districts by Consultant at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=F9DOYds2fOHXNsmMM5GPUDVFjky5KpWs7ZDcrOBb83I%3d&docid=03e83283d6e1f4d03a12e0c0db759427e.) Regional training sessions on the planning process have been conducted by Office of Next Generation Schools and District staff and attended by school, district and educational cooperative personnel. These problem-solving forums benefited local school and district staff learning the planning process and trained educational cooperative staff to serve as locally-based resources. Upon submission of the plans, monitoring staff will be

reviewing all school and district plans against a rubric developed to evaluate plan sufficiency and quality. Staff will provide recommendations for strengthening the plans and leveraging available fiscal resources. (See the rubric athttp://education.ky.gov/school/csip/Documents/KDE%20rubric%20for%20CSIP%20and%20CDIP.pdf.)

KDE continues to increase the supports/resources available to schools and districts to help them assure all students are on the path to graduate college and career ready. Examples of these supports have been outlined in Section 2.A.i

In order to incentivize schools that are not making progress in improving student achievement and closing achievement gaps, Kentucky also includes in its accountability system a provision that denies rewards and recognition to any otherwise-eligible school that fails to meet its AMO target.

2.G BUILD SEA, LEA, AND SCHOOL CAPACITY TO IMPROVE STUDENT LEARNING

2.G Describe the SEA's process for building SEA, LEA, and school capacity to improve student learning in all schools and, in particular, in low-performing schools and schools with the largest achievement gaps, including through:

i. timely and comprehensive monitoring of, and technical assistance for, LEA implementation of interventions in priority and focus schools;
ii. holding LEAs accountable for improving school and student performance, particularly for turning around their priority schools; and
iii. ensuring sufficient support for implementation of interventions in priority schools, focus schools, and other Title I schools identified under the SEA's differentiated recognition, accountability, and support system (including through leveraging funds the LEA was previously required to reserve under ESEA section 1116(b)(10), SIG funds, and other Federal funds, as permitted, along with State and local resources).

Explain how this process is likely to succeed in improving SEA, LEA, and school capacity.

Guidance Question: Is the SEA's process for building SEA, LEA, and school capacity to improve student learning in all schools and, in particular, in low-performing schools and schools with the largest achievement gaps, likely to succeed in improving such capacity?

The Kentucky Department of Education's (KDE's) monitoring and accountability process is specifically designed to build capacity at the state and local levels and to ensure that, following an intervention process, schools and districts would have a greater understanding of the organization and practices necessary to run a successful school centered around student achievement. As previously discussed, the foundation of the process is the work of the department's District 180 program and the intensive intervention strategies the program employs with the Priority Schools and Districts to radically improve struggling schools. This process was originally developed to meet the requirements from the U.S. Department of Education for addressing the needs of persistently lowest-achieving schools and has been successfully implemented for the previous two years with those schools. Based on analysis of the statewide

assessment results from participating schools, the process continues to be extremely successful in increasing student performance and improving the schools' capacity. Staff monitoring Focus Schools and other non-rewards schools will have the ability to access the information and resources used with these schools in order to build capacity with the schools and districts under their purview.

The improvement process in Focus Schools with its requirement for gap-specific targeted planning and implementation also is designed to make sure that capacity is built at both the district and school levels. The plan development, resources available through the electronic planning and monitoring ASSIST (Adaptive System of School Improvement Support Tools) tools, combined with interaction with the KDE monitoring staff and the extensive array of tools and resources at schools' and districts' disposal unites to ensure that successful practices are learned and incorporated into the ongoing work of the school and district. Equity and gap closure is a core value in Kentucky's reform agenda and is evidenced throughout this waiver request.

KDE plans to take advantage of all opportunities available to consolidate and target federal funding sources to assure sufficient support can be provided to successfully implement the interventions outlined in this application.

Priority Schools

The District 180 program provides educational recovery services that focus on the Priority Schools and Districts identified for school improvement to provide supports and raise expectations for students in the lowest-achieving schools and allow more of these students to graduate college- and career-ready. The agency has collaborated with three different state universities to work together and provide support for each region's Priority Schools. These universities are located in eastern, western and central parts of the state, which allow the schools to access university faculty and educational cooperative staff that serve those areas. Priority Schools are supported with Education Recovery staff that are highly trained and have extensive experience in turnaround of low-achieving schools. Education Recovery Directors are responsible for the oversight of all identified schools and districts in the geographic area. Priority Schools are assigned an Education Recovery Leader, who becomes the lead administrator working with the principal to implement the recovery. Education Recovery Specialists in reading and math are hired to work specifically with teachers to assist them in building the skills and capacities to dramatically improve student achievement.

Once a school/district has been identified, intervention efforts begin with the assignment of Education Recovery staff. Specific school improvement training is provided to all staff to begin the process. The planning process, which is facilitated by the Education Recovery staff, identifies areas in need of additional attention. Capacity building begins with the delivery of targeted professional development, including the use of Turnaround Teams, a collaborative effort with representatives from KDE, Education Recovery staff and the school. These schools are required to have short-term 30-, 60- and 90-day plans and have access to the planning and monitoring component of ASSIST. These initial plans address the immediate activities that will occur and the expenditure of school improvement funds to support the activities.

Kentucky is fortunate in having extensive experience in identifying and successfully intervening in low-achieving schools and districts. For approximately 20 years, Kentucky has had an accountability mandate by virtue of state law and a requirement to identify and further train the most skilled educators in the state. Therefore, cadres of highly-trained, experienced individuals who are knowledgeable about the elements that make a school successful are continually available. Research-based strategies and activities, proven practices and extensive resources have been collected and maintained. The implementation work of the District 180 program provides a framework for addressing the needs of other low-achieving schools and the District 180 in-house and contract staff serve as advisors and resources to other Frankfort-based staff working with Priority Schools/Districts and other low-achieving schools and districts.

Focus/Other Title I Schools/Districts

The Focus/Other Title I Schools or Districts are monitored by specifically assigned KDE staff as they oversee the revision and implementation of the improvement plans. All of the school districts and Title I schools (including Focus Schools) have been assigned a primary Office of Next Generation Schools and Districts staff member as their contact to provide them the level and extent of technical assistance necessary to assure that their plans are completed appropriately and that their questions or concerns regarding implementation can be answered. (See Title I Districts by Consultant at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=F9DOYds2fOHXNsmMM5GPUDVFjky5KpWs7ZDcrOBb83I%3d&docid=03e83283d6e1f4d03a12e0c0db759427e.) Focus Schools are also assigned a backup contact in addition to their primary staff member assignment. (See KDE Focus School Assignments at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=WCBtgp0lbB33ePgrNayLul0tUo62G%2fWeTJcpfO32bkM%3d&docid=070859b66364b40ea91b844cb76818838.)

In order to shift the focus of plan review from compliance to continuous improvement, Kentucky has begun use of a CSIP/CDIP Plan Review Rubric (http://education.ky.gov/school/csip/Documents/KDE%20rubric%20for%20CSIP%20and%20CDIP.pdf) to monitor the plans of all Priority, Focus and other Title I schools and districts. The rubric breaks down the plan into seven sections and provides the purpose for each section, the types of information that should be included in each, and outlines four performance levels with a description of what would be necessary to attain each level.

Staff is currently piloting use of the rubric with plans submitted by local schools and districts in December 2013 and will be providing feedback and technical assistance regarding plan quality. Next year (2014-15), KDE will disseminate the rubric to each school/district to allow them to do a self-assessment of their plan prior to submission.

The rubric will allow KDE staff to determine whether the minimum regulatory requirements for the plan have been met, identify the status of the previous year's plan activities, and ascertain whether the current year's goals and objectives reflect the needs identified through the data analysis and needs assessment processes. This information will help to assure that KDE staff can

provide or direct the school or district to additional resources or technical assistance that may be needed.

Holding School Districts Accountable

In addition to the above monitoring requirements, KDE has a requirement to review and approve all submissions as part of 703 KAR 5:225 and to monitor implementation of district plans and provide necessary guidance based on information gathered from sources including, but not limited to, progress reports from the district, data reviews and on-site observations. State and local accountability is outlined in this proposal and while KDE holds districts accountable, there also is a clear expectation for districts to hold their schools accountable.

The automated ASSIST system provides the state agency with monitoring capacity arising out of the school and district planning processes. It allows school districts to upload a number of compliance documents, send them electronically to KDE and receive feedback. It provides the state agency with a centralized location for all monitoring documents and activities and should reduce the number and frequency of on-site visits required. The purpose for implementation of ASSIST is to make school district reporting requirements less burdensome on schools/districts and to streamline and make state agency monitoring efforts more efficient.

The planning and monitoring tools in the AdvancEd ASSIST system have now been in place for the past several years and are a critical part of the state's automated planning/monitoring system for schools. Schools and districts have made a successful transition to the on-line platform and are extremely supportive of the reduced paperwork and reporting resulting from the system's use. Local users are highly complementary of the ease of use of the platform in the CSIP/CDIP processes, both in plan development and tracking of expenditures. KDE monitoring staff have found the consistency and central location of local data most helpful as they use the newly-developed rubric to evaluate plan quality and recommend targeted resources and technical assistance.

As with any major improvement effort, Kentucky will monitor implementation, evaluate the effectiveness of the intervention process, and make mid-course adjustments as needed to assure the success of the accountability measures outlined above.

Sources of Funding

Kentucky plans to use the following federal funding streams to support implementation of its differentiated accountability, consequences and support system:

- 1003 (a) funds will be targeted toward academic achievement and building capacity in Priority and Focus Schools.
- Any present or future 1003(g) funds will be awarded to eligible Priority Schools.
- Transfer of funds from other eligible federal sources will be allowed, within specific guidelines.
- Districts will have the option to designate future 21st Century Community Learning Centers funding to support extended learning opportunities occurring within the school day as well as during non-school hours or periods when school is not in session.

- Title I, Part A "set-asides" will be used to support school improvement activities, especially in Focus and Priority Schools.
- Schools receiving assistance under RLIS or SRSA will be encouraged to direct this funding toward their lowest-performing schools – Priority and Focus Schools.
- Title II highly-qualified teacher funding will assist in supporting elements of the system relative to teacher retention, recruitment and capacity building.
- Priority and Focus Schools that do not meet the 40% poverty guidelines for eligibility to operate a school-wide program will be allowed to become school-wide programs if other requirements are met.
- Kentucky will allow the use of Title I funding for rewards in Reward Schools.

Specific Uses of Federal Funds

Federal funds will be used to deepen the work of the District 180 Education Recovery process relative to Priority Schools and extend the results of this work to Focus Schools and other schools in need of assistance. Funds will be utilized in a targeted way to build capacity for change and improvement in Priority Schools and to develop replicable systems in Priority/Focus Schools in order to address low achievement and achievement gaps. Removal of restrictions on the use of these funding sources will allow the state to direct substantial resources to the schools with students having the greatest need.

Schools will receive 1003(a) funding based on a per-pupil amount. The funding will be used to implement strategies to address school-specific, data-identified needs. These include:

- Formal review processes to determine school and district status and leadership capacity to successfully implement reform
- Additional staffing (Educational Recovery staff) to support the turnaround processes taking place within the school/district with the goal of building sustainable systems and capacity
- "Turnaround school" training events and follow-up from those events to assure consistent and accurate understandings
- Activities to support teacher capacity-building, recruitment, and retention
- Development and successful implementation of the ASSIST (Adaptive System of School Improvement Support Tools) planning and monitoring tool, which will be central to the Comprehensive School and District Improvement Plan process used in Priority, Focus, and Other Title I schools
- Identification of KDE staff contacts to provide additional support to Focus Schools in individualizing their school plans and differentiating follow-up based on their needs as identified through the ASSIST planning and monitoring tool (See KDE Focus School Assignments at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=WCBtgp0lbB33ePgrNayLul0tUo62G%2fWeTJcpfO32bkM%3d&docid=070859b66364b40ea91b844cb76818838.)
- Use of consolidated monitoring, including reviews of federal and state programs such as alternative school and early childhood programs
- Development of digital and blended learning opportunities, including digital transitional and other coursework to assist students in becoming college- and career-ready

- Provision of support to increase access to college and career readiness for non-traditional students
- Establishment and maintenance of a Best Practices website that allows the submission, evaluation and public posting of best practices by Kentucky educators and administrators
- Designation and support of Hub Schools that capture best or promising practices and connect with other schools (emphasizing Focus Schools) in the region, to serve as a lab of support and a hub of learning activity for adults and students
- Implementation of LEAD-Kentucky – partnering with the National Institute of School Leadership (NISL) to bring a research-based professional development program to Kentucky to train and support a cadre of highly effective educational leaders
- Implementation of the Institute for Performance Improvement (IfPI) – joining a cohort of pilot states focusing on training aligned with national improvement standards and credentialing school improvement personnel as Certified School Improvement Specialists (CSIS)

KDE also plans to take advantage of the financial flexibility allowed through the waiver to effectively support implementation of the interventions in the lowest-achieving schools.

Support to Assure Successful Interventions

Kentucky is committed to assuring that appropriate support is available to ensure the successful implementation of the intervention strategies within the accountability system, and the building of state and local capacity through that process. In addition to the funding made available through flexibility waivers, Kentucky will leverage the use of currently-existing state and other grant funding sources, and current levels of Kentucky Department of Education (KDE) staffing to support the successful implementation of the accountability system.

As Kentucky has implemented the District 180 Education Recovery process for the last several years to serve persistently low-achieving schools, KDE is confident in the ability of the agency to support the process. Since the financial crisis that began in 2008, Kentucky has been fortunate enough to have a Governor and General Assembly that believe education is key to the state's economic future and have made it a top priority. As a result, K-12 education in Kentucky has successfully been shielded from the worst of budget cuts, even as other agencies and programs suffered double-digit reductions. In an unprecedented show of solidarity, all major Kentucky education partners joined together to make restoration of education funding levels to 2008 levels their highest legislative priority for the upcoming 2014-16 biennium which resulted in significant funding increases for P-12 education.

Granting of the ESEA waiver request is vital for Kentucky to be able to creatively combine sources of federal and state funding to effectively support implementation of interventions by schools and local education agencies. It is also central to successful implementation of the state agency's system. Kentucky will be able to use 1003(a) funds to support District 180 education recovery activities in Priority Schools and the comprehensive planning process in Focus Schools, which will provide greater assistance to a more targeted number of schools than previously allowed. Expanding the use of the 30% set-aside of 1116 (b) (10) funds previously used to provide supplemental education services or transportation (up to 20%) and professional

development (10%) will allow additional funds for use at the local level to support implementation of KDE-approved professional development and other school-specific needs as identified through the comprehensive planning process. Eliminating the 40% poverty requirement for Priority and Focus Schools to operate school-wide programs, if needed, will assure more thoughtful, comprehensive, and cohesive local interventions. Allowing greater flexibility to transfer funding from other programs into the Title I program will provide additional financial support to be redirected to improvement activities, and will encourage greater integration of the planning process to ensure that the needs of all programs can be addressed and the combined funding can be most effectively leveraged.

The additional federal funding flexibility afforded by the waiver will continue to guarantee that KDE's systems of support are sufficiently robust to result in highly effective local practices and that sufficient staff support is available to ensure successful local deployment.

Quality of Vendors

Questions have arisen regarding the means by which states assure that external staff hired to assist with implementation work are of sufficient quality and experience. Kentucky has a number of protections designed to ensure that this is occurring. First, the state must abide by bid law requirements. Under these laws, procurements involving technical or complex requirements are bid competitively through negotiations or by formal Request for Proposal (RFP). Both require a formal bid process through an open solicitation and an award made consistent with requirements of the Model Procurement Code. The RFP process allows program staff the ability to set specific qualifications and require specific evidence of those qualifications, such as curriculum vitae of the staff responsible for the work, previous work of a same or similar type that has been recently completed and lists of references that may be contacted. These are evaluated against the requirements listed in the RFP to determine the winning proposal. If no satisfactory candidate has applied, the agency is not required to select a proposal and can rebid the process, if desired.

PRINCIPLE 3: SUPPORTING EFFECTIVE INSTRUCTION AND LEADERSHIP

3.A DEVELOP AND ADOPT GUIDELINES FOR LOCAL TEACHER AND PRINCIPAL EVALUATION AND SUPPORT SYSTEMS

Select the option that pertains to the SEA and provide the corresponding description and evidence, as appropriate, for the option selected.

Option A	Option B	Option C
If the SEA has not already developed any guidelines consistent with Principle 3, provide:	☐ If the SEA has already developed and adopted one or more, but not all, guidelines consistent with Principle 3, provide:	X☐ If the SEA has developed and adopted all of the guidelines consistent with Principle 3, provide: i. a copy of the guidelines the

i. the SEA's plan to develop and adopt guidelines for local teacher and principal evaluation and support systems by the end of the 2011–2012 school year; ii. a description of the process the SEA will use to involve teachers and principals in the development of these guidelines; and iii. an assurance that the SEA will submit to the Department a copy of the guidelines that it will adopt by the end of the 2011–2012 school year (see Assurance 14).	i. a copy of any guidelines the SEA has adopted (Attachment 10) and an explanation of how these guidelines are likely to lead to the development of evaluation and support systems that improve student achievement and the quality of instruction for students; ii. evidence of the adoption of the guidelines (Attachment 11); iii. the SEA's plan to develop and adopt the remaining guidelines for local teacher and principal evaluation and support systems by the end of the 2011–2012 school year; iv. a description of the process used to involve teachers and principals in the development of the adopted guidelines and the process to continue their involvement in developing any remaining guidelines; and v. an assurance that the SEA will submit to the Department a copy of the remaining guidelines that it will adopt by the end of the 2011–2012 school year (see Assurance 14).	SEA has adopted (704 KAR 3:370 found on the Kentucky Board of Education's online materials site under Agenda Item XII. by clicking here) and an explanation of how these guidelines are likely to lead to the development of evaluation and support systems that improve student achievement and the quality of instruction for students; ii. evidence of the adoption of the guidelines (found on the KDE website by clicking here); and iii. a description of the process the SEA used to involve teachers and principals in the development of these guidelines.

Guidance Question: Has the SEA developed and adopted guidelines consistent with Principle 3?

Kentucky selected Option C above.

<u>Overview of Developing and Adopting Guidelines for Local Teacher and Principal Evaluation and Support Systems</u>

The Kentucky Board of Education (KBE) set the vision to have every student taught by an effective teacher and every school led by an effective principal. Specifically, the development of a comprehensive professional growth and effectiveness system became one of the critical pillars of the state's Unbridled Learning strategic initiatives. The strategic plan of the Kentucky Board of Education and the Kentucky Department of Education (KDE) includes a specific goal to create a fair and equitable system to measure teacher and leader effectiveness. The system consists of multiple measures including student growth, professional practice, artifacts and evidences, student voice, peer observations, teacher self-reflection and classroom observations. The principal effectiveness system incorporates the Val-Ed 360 process and use of the Teaching, Empowering, Leading, and Learning Kentucky (TELL Kentucky) Working Conditions Survey data to support school improvement planning.

The development of Kentucky's Professional Growth and Effectiveness System includes the principles found in this ESEA waiver request proposal. The development and adoption of guidelines, the process for implementation, policy development and the proposed monitoring and technical guidance are outlined below but will continue to be informed by ongoing, current research in the field that has been used to inform Kentucky's journey toward educator effectiveness.

Detailed Narrative on Developing and Adopting Guidelines for Local Teacher and Principal Evaluation and Support Systems

Background

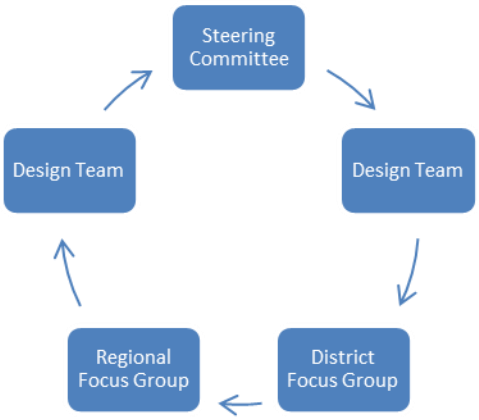
In the fall of 2010, recognizing the need for stakeholder involvement and the will to develop and implement a new evaluation system, Kentucky Commissioner of Education Terry Holliday created two statewide steering committees charged to "provide guidance and oversight on the design, development and deployment of the Teacher and Principal Professional Growth and Effectiveness System." The key strategies to design and implement the effectiveness system include collaboration with education partners and the intentional involvement of school districts and schools. Teacher and Principal Effectiveness Steering Committees were formed, representing the Kentucky Association of School Administrators, Kentucky School Boards Association, Kentucky Education Association, Jefferson County Teachers Association, Council on Postsecondary Education, colleges and universities, Education Professional Standards Board, parents, teachers, principals and superintendents from participating volunteer districts.

Membership on the steering committees has evolved over the past three years, in an effort to meet the steering committees' requests and ensure feedback from the volunteer districts that are piloting the system is accurately communicated to the steering committees. Teacher and principal perspectives are a pivotal part of the efforts underway. For more information about the steering committees go to http://education.ky.gov/teachers/PGES/Pages/Committees.aspx, http://education.ky.gov/teachers/HQT/Pages/Principal-Steering-Committee.aspx, and http://education.ky.gov/CommOfEd/adv/Pages/Teacher-Effectiveness-Steering-Committee-.aspx.

In July 2010, Commissioner Holliday shared the proposed implementation plan with the state legislature's Interim Joint Committee on Education. Representatives from the steering

committees, specifically education partners, pledged their support and promised active participation in the development of the professional growth and effectiveness system. The 2010 Interim Joint Committee presentation and the minutes can be found at the following links respectively: http://education.ky.gov/CommOfEd/pres/Pages/default.aspx and http://www.lrc.ky.gov/minutes/educat/100712OK.HTM.

The background work began in 2009 with the passage of Senate Bill 1 (2009), which challenged reform for college and career readiness moving forward. In addition, the Teacher and Principal Effectiveness Framework was developed as the state's first deliverable related to this work. As the work has progressed, the Kentucky Department of Education (KDE) staff, working alongside the Steering Committees' members, initiated a process to fully engage volunteer districts and schools in the early development work. The process became known as the focus group cycle. This cycle began with the steering committees providing guidance and direction to volunteer districts through a group of facilitators known as the Integrated Design Team (IDT). The IDT led district and regional focus group meetings through an iterative process involving the development of standards, domains and descriptors as part of the overall effectiveness framework. The data gathered through this process were synthesized and presented to the steering committees for recommended guidance and decision making as outlined in the diagram below.



Framework Development

In 2010, in an effort to jump-start the identification of the characteristics of effective teaching practices, participating volunteer districts began the year using a rubric of teacher effectiveness that was the result of Wallace Foundation work guided by the Kentucky Department of Education (KDE) from previous years. The rubric served as a baseline for the Teacher Effectiveness Steering Committee and the volunteer districts. Edvantia (evaluation experts provided through the Appalachia Regional Comprehensive Center (ARCC)) provided technical assistance to KDE throughout the development process. Specifically, Edvantia consultants played an instrumental role in sharing the process for validity and reliability relative to the rubric design.

The Teacher Effectiveness Framework 2.0 had a horizontal layout, with the "accomplished" expectation nearest the standard (one of the recommendations from the steering committee). There also were changes in the language of the descriptors that were clearer and more concise, avoiding words such as "regularly" or "occasionally." The Wallace Foundation rubric had a numbering scale from 1-8 that caused concern for many members of the steering committee. After discussing options with the volunteer districts, and without consensus on the inclusion or removal of the numbers from the focus groups, the design team revised the number scale to two scales of 1-3 for both "accomplished" and "developing" in an effort to appease both sides of the issue. Questions still remained about the numbers, and these were discussed at length during the December 3, 2010, steering committee meeting. These questions focused on how the numbers on the framework would be used to help with teacher growth, and it was clear that the steering committee did not want to use the numbers as a "score card." These concerns and guidance were shared with the Integrated Design Team (IDT) and ultimately with the volunteer districts to gather their feedback in regard to the inclusion of numbers and their use.

Similar to the development of the Teacher Effectiveness Framework, the Principal Steering Committee charged a core group of stakeholders to develop the initial framework. Working with IDT members, principals, superintendents, university education leadership staff, and members of the Kentucky Association of School Superintendents and Kentucky Association of School Administrators developed the first draft of the principal effectiveness framework. The work was further influenced by Dr. Joseph Murphy and the Continuum for Principal Preparation and Development. Dr. Murphy provided a thorough introduction to the Val-Ed 360 principal evaluation instrument and a crosswalk with the Interstate Leadership Licensure Consortium (ISLLC) Standards. A link to that crosswalk can be found at http://www.valed.com/documents/ISLLC_VALEDcrosswalk.pdf. Through the 2010-11 school year, volunteer districts continued to pilot and provide feedback to the steering committee on progress.

The March 22, 2011, steering committee meetings provided an opportunity to review the changes that were made as a result of the feedback from volunteer districts in the Teacher and Principal Effectiveness Framework 2.1 and discuss insights on the framework that were gained by sharing it with Dr. James Stronge at an - ARCC sponsored Community of Practice meeting in Charlotte, North Carolina. Some of the insight gained from Dr. Stronge included ideas such as reviewing the standards and domains to make sure we were thorough but concise, inclusion of student growth in the framework (also a recommendation from teachers and administrators in the volunteer districts), elimination of numbers and making sure descriptors from each level built upon one another. With those recommendations in mind, the Integrated Design Team worked to develop a domain and standard related to student growth and achievement.

This work was shared with the steering committees to gather feedback on how it could be improved and included in the Teacher and Principal Effectiveness Frameworks. The steering committees were split into smaller groups to take more in-depth looks at specific domains of the framework. They also provided insight into the inclusion of the student performance domain. Minor changes were recommended to the first three domains of the framework. Suggestions for the student performance domain included the elimination of the school-wide measures descriptor and refinement of the language of the student growth and gap descriptors. Based on the feedback

from the steering committees, versions 3.1of the teacher and principal frameworks were created. (See 3.1 at http://education.ky.gov/KBE/meet/Documents/December%202011%20Teacher%20Effectiveness%20Framework.pdf and http://education.ky.gov/KBE/meet/Documents/December%202011%20Principal%20Effectiveness%20Framework.pdf. (Note: 3.1 versions were piloted with a change made following the pilot dropping off student growth as a domain and making it a separate measure. See **Framework for Teaching Evaluation Instrument** and **Principal Performance Standards** for the most current versions).

In collaboration with ARCC and Edvantia, KDE arranged for Dr. James Stronge to work with the steering committee members, volunteer districts, Integrated Design Team members and university partners on April 13 and 14, 2011, in Louisville, Kentucky. The two-day workshop included presentations from Dr. Stronge about teacher effectiveness, rubric development, professional development, measuring student growth and achievement, and teacher and principal evaluation.

In July 2011, KDE again solicited the involvement of school districts, expanding the opportunity to an additional 25 districts. With a total of 50 volunteer districts, the next phase of this work focused on implementation of the effectiveness frameworks by exploring and defining the multiple measures. Additionally, these districts informed the steering committees on the processes and protocols, instrumentation development and the use of student growth data in the assessed and non-assessed areas. During the volunteer field test period, KDE worked closely with the Bill and Melinda Gates Foundation and the Center for Leadership and Technology to address the implementation of the Teacher of Record definition. The list of volunteer districts can be found at http://education.ky.gov/teachers/HiEffTeach/Documents/PGES Field Test Districts List.doc. (See Attachment 22, Guiding Questions Synthesis Report for Teacher Steering Committee Year 1 Field Test September 15, 2011, of the Appendix at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=ppKeoBomLx6XZ6HvQSyxdc3vUslX0WcNClqfIeuIiBo%3d&docid=068e563090e884ed89384389bdefc3b45.)

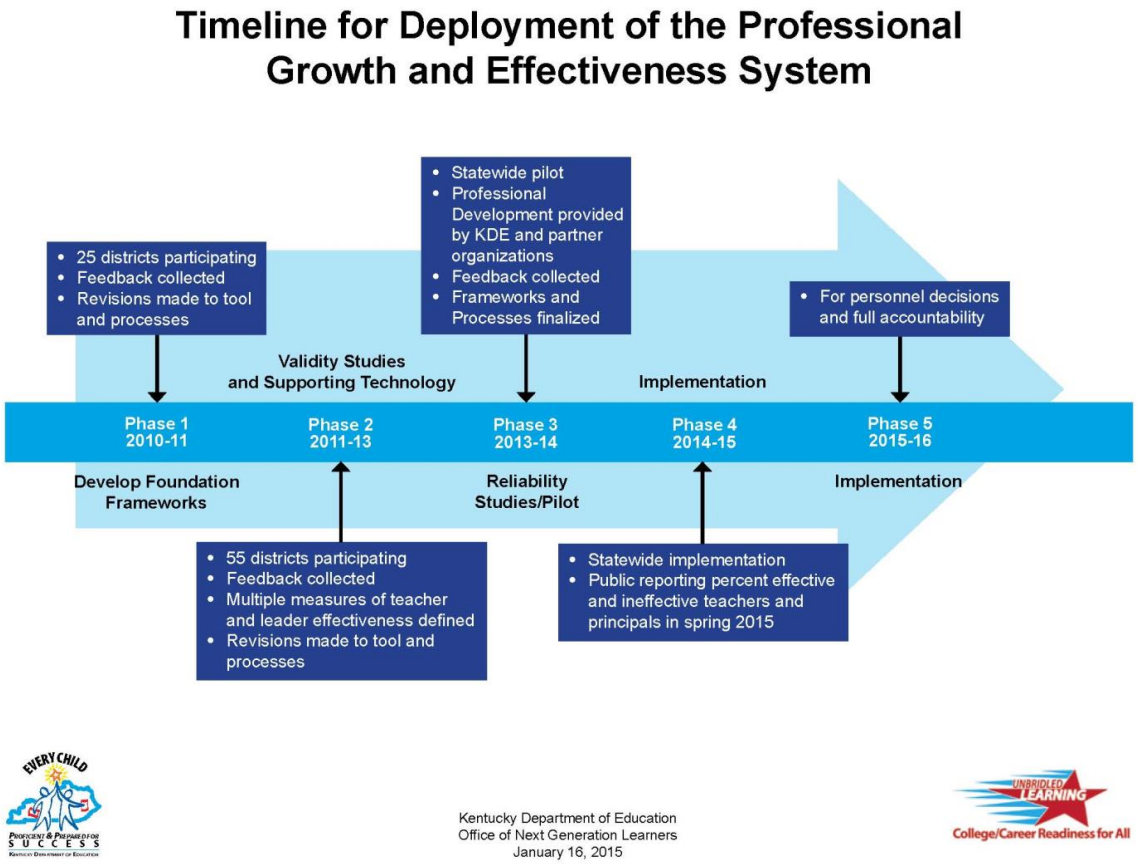
In collaboration with university partners and with knowledge gathered from volunteer districts, the Kentucky Teaching Framework was found to be invalid. The Teacher Effectiveness Steering Committee then studied current research related to teacher effectiveness. As a result, the Charlotte Danielson's Framework for Teaching (FfT) (2011) was recommended and supported by the Teacher Steering Committee in May 2012 (http://education.ky.gov/teachers/HiEffTeach/Documents/05-31-2012teacherwebinar2.pdf). This was piloted in 2012-13.

The framework consists of four domains: Planning and Preparation, Classroom Environment, Instruction, and Professional Responsibilities. Kentucky added a fifth domain, Student Growth. Adaptations were made to the Danielson FfT to include the headings for each category: *Ineffective, Developing, Accomplished, and Exemplary*. A crosswalk was created to connect the Danielson FfT to the Kentucky Teacher Standards. The KDE facilitated a pilot to assist 50 volunteer districts to explore the use of the Danielson FfT and to experience the use of multiple

measures. Based on feedback from the volunteer districts, the steering committees made a recommendation to refine the multiple measures used to determine teacher effectiveness.

Simultaneously with the teacher effectiveness process overhaul, the principal standards, version 3.1 of the framework, created by Dr. James Stronge, was developed based on school districts' and the steering committees' feedback. The framework included seven standards: Instructional Leadership, School Climate, Human Resource Management, Organizational Management, Communication and Community Relations, Professionalism and Student Growth. This version was piloted and following the pilot, it was refined with the student growth domain dropped off because it became a separate measure. See **Principal Performance Standards** for the most current version).

The revised detailed timeline for implementation of the Professional Growth and Effectiveness System is represented by the figure below:



This revised timeline reflects the implementation schedule approved by the U.S. Department of Education on January 30, 2014.

2012-13 Field Test.

As background to the timeline depicted above, the preparation for the field test began in November 2011. KDE, in collaboration with the Bill and Melinda Gates Foundation and with technical guidance from Edvantia, developed and implemented training on the 3.1 Danielson FfT effectiveness framework and observation protocols and began inter-rater reliability assessments. The 50 volunteer districts were asked to identify teachers that represented all grade levels and content areas, specifically with the criteria identifying all content areas including:

- English/language arts and mathematics teachers;
- Non-tested area teachers (i.e., arts and humanities and practical living and career studies); and
- Critical focus areas such as special education and teachers of English language learners.

The intentional approach to the selection of field test participants provided data collection opportunities across all grade levels and content areas while engaging teachers through the use of multiple measures to determine effectiveness. This methodology allowed KDE to determine if the process, protocols, and instrumentation were appropriate in non-tested areas specifically, and the field test allowed the department to gauge how the process, protocols, and instrumentation should be modified for special education teachers and ELL specialists. The timing was especially appropriate with language arts and math since Kentucky adopted the Kentucky Core Academic Standards and initial implementation occurred in those subjects during this same timeframe. Statewide networks of teachers in language arts and mathematics used Rick Stiggins' work on deconstruction of standards to enable districts to build curriculum. These relevant content activities were key in building interest and focus in the pilot districts for implementation and assessment. To see the work of the Leadership Networks over the last three years, please see the links for Year-At-Glance below:

Year One: http://education.ky.gov/school/Documents/Month%20by%20Month-2010-11.pdf
http://education.ky.gov/school/Documents/Month%20by%20Month-2010-11.pdf
Year Two: http://education.ky.gov/school/Documents/2011-12%20Networks%20Year-at-a-Glance.pdf
Year Three: http://education.ky.gov/school/Pages/Leadership-Networks---Deliverables.aspx

Participants in the field test had local and state assessment data to inform instructional practices and student growth needs. In the state non-assessed areas, the state is in the process of implementing program reviews that will require teachers to use state and national standards to identify and develop common assessments as an evidence for the student growth multiple measure. In addition to the program reviews, non-assessed area teachers will demonstrate proficiency via a goal setting process to measure student growth throughout the year. Kentucky's common framework defines effective teaching for all teachers, as recommended in the TQ Research and Policy Brief: Challenges in Evaluating Special Education Teachers and English Language Learner Specialists (July 2010), and will capture the aforementioned evidence through

the evaluation process. These program reviews can be found at http://education.ky.gov/curriculum/pgmrev/Pages/default.aspx.

The training was administered in stages regionally to ensure high participation and saturation of the needed content. The collaboration with the Gates Foundation provided the opportunity to deploy the Measuring Effective Teaching validation engine to ensure observation protocols and instruments met the inter-rater reliability expectations. Principals and supporting educators, including educators who work with SWDs and ELLs, participated in the formative and summative evaluation process. They also met inter-rater reliability expectations. Extensive training and preparation with volunteer districts addressed evaluator consistency as well as the accuracy of the observation instruments and protocols. Additionally, Strategic Data Fellows working with KDE conducted correlation studies on the multiple measures and student growth to inform the decisions that still needed to be made about the effectiveness system (i.e., weighting of each measure, including student growth in the overall system); however, those results were inconclusive due to the small sample size.

Beginning in February 2012, KDE conducted a field test of the effectiveness system. The goal of the field test was to assess inter-rater reliability, refine processes for the implementation, and test the definitions for Teacher of Record (TOR) to ensure appropriate linkages were made with the statewide teacher/student growth measures. To support field test districts, several resources were created such as a field test implementation plan, field test expectations, guidelines on how to enter data into the Continuous Instructional Improvement Technology System (CIITS), webcasts and newsletters. The link to the field test materials is http://education.ky.gov/teachers/HiEffTeach/Pages/PGES-Field-Test-Districts-.aspx.

As part of the conversation around teacher of record, the steering committee recommended that two subcommittees be set up to address local student growth and teachers of students with disabilities, English learner, and non-assessed area teachers. The steering committee members who had background in these areas served on the steering committees along with other teachers from across the state representing these areas. The March 26, 2012 minutes recommending the creation of the subcommittees can be found at http://education.ky.gov/teachers/HiEffTeach/Pages/Steering-Committees.aspx. The recommendations of those committees can be found at http://education.ky.gov/teachers/HiEffTeach/Pages/Steering-Committees.aspx in the blue box on the right side of the page.

Kentucky was one of three Gates Integration States identified to participate in a partnership grant to establish a comprehensive Teacher of Record (TOR) definition. The partnership led by the Center of Education Leadership and Technology (CELT) supported the work underway to ensure the critical elements were in place to establish initial student and teacher data linkages. Some work had begun on this topic in the summer of 2011. The KDE launched the CIITS system including instructional materials, Kentucky Core Academic Standards, and key professional development resources. Approximately 10 early adopting districts began testing teacher and student rosters, protocols, and procedures to determine system accuracy and common practices for teacher assignment and scheduling. (See TOR Phase Two Districts at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesst

oken=OwD8LLiJsmn7LD4K9sXxgBivYAN8D5Bw%2f2sw008wzok%3d&docid=06d4186d812394481987af26df2921895.) The initial implementation provided opportunities to identify gaps, establish system business requirements to ensure statewide consistency, and delineate the unique linkages between students and teachers at each school level. Furthermore, before the end of February 2013, pilot districts received state assessment data from the accountability model that was in a format to check the teacher/student data linkages.

The CELT provided a framework to guide Kentucky's development process. The phases included: student and teacher roster business requirements and data verification, teacher role group definitions (contributing educators), and definition of development and refinement for pilot year implementation. The first step was establishing the purpose and intent of the definition, roles within the system, how educators contribute to student growth, and ultimately how the definition offered the flexibility needed to establish primary and contributing educator impact on student learning. During the field test phase of the professional growth and effectiveness system, Kentucky further expanded the roster verification process to inform how primary and contributing educators are linked to students.

Kentucky continued to refine the TOR definition to meet the recommended characteristics provided by CELT. The characteristics include:

- Be flexible to cover all grade levels, pre-K through 12.
- Accommodate teacher assignment changes and turnover during the course of the semester or year.
- Be supportable by current systems and data collection methods.
- Be clear and understandable for all stakeholders.
- Be applicable to all teachers and cover all courses and subjects including virtual (online) courses.
- Accommodate multiple (contributing) educators for a given subject/course (e.g., pullouts).

Kentucky's definition for guiding the work was field tested in the spring of 2013 and the functionality was fully implemented in summer 2013.

Results of the field test further defined the guiding principles of effectiveness, including decisions that will need to be made about instrumentation for teachers of students with disabilities and ELL specialists. The findings from the field test and correlation studies to be conducted were shared with the two statewide steering committees and submitted for review to the Kentucky Board of Education at its August 2012 meeting (http://portal.ksba.org/public/Meeting.aspx?PublicAgencyID=4388&PublicMeetingID=7521&AgencyTypeID=1, Agenda Item VIIIA). Field test data was shared with the teacher steering committee at its September 2012, January 2013 and February 2013 meetings. A link to those steering committee minutes can be found at http://education.ky.gov/teachers/HiEffTeach/Pages/Steering-Committees.aspx.

During the 2012-13 school year, 28 principals from 15 districts participated in the field test for the Principal Professional Growth and Effectiveness System (PPGES). Principals represented elementary, middle, high and specialty schools, including alternative schools and

career/technology schools. The KDE partnered with the Kentucky Association of School Administrators to provide a consultant for each school. Field test participants utilized the *Kentucky Principal Professional Growth and Effectiveness System Pilot Handbook* for support and guidance. (See Principal Pilot Handbook at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=9nWXlXZlb%2bPZbsfqA%2fBY6konGAdlItsc4DdpaYcXgTM%3d&docid=0df7f35cd66b74f559744c3313b3b331a.) Consultants conducted multiple site visits to each school and provided just-in-time support for the field test participants. Field test participants engaged all aspects of the PPGES including student growth goal setting; professional growth planning; data review from Val-Ed 360°; superintendent site visits; mid-year conferencing; The Teaching, Empowering, Leading and Learning (TELL) Kentucky Working Conditions Survey; and end-of-year conferencing. (See Field Test Participants 2012-13 at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=OKen8A6zjgFIpPmMMgmGnlxSwhyS3nnur6NGgvt5jNo%3d&docid=03bdb5c44d2d84e54bbd864bf15f260bd.)

In April 2013, field test principals and superintendents participated in a feedback survey based on their experiences in the field test. Selected principals and superintendents also participated in focus group feedback. Results were shared with the Principal Effectiveness Steering Committee to inform on-going decisions. (See Initial Findings from PPGES Field Test at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=A9Dk9BE9XBUlz7ghLCvyQd1sdBBy1rMI89S5XqhNIE0%3d&docid=0b0dbfd828d9c4eac80073609b412b707).

Pilot Year Implementation

The data collected during the field test informed the preparation and training design for the statewide pilot year implementation. In order to prepare superintendents and district leadership teams, KDE began a messaging campaign for all districts through the Leadership Network infrastructure in March 2012. Preliminary information was shared to help the districts learn about the process for the statewide pilot beginning in the fall of 2012. This work session specifically addressed:

- Purpose and intent of the professional growth and effectiveness system (what it is and why);
- Expectations within the field test; and
- Championing change and building capacity for the statewide pilot and implementation.

For information about how this was incorporated into the Leadership Network, see the link to the Year-at-a-Glance Year Three: http://education.ky.gov/school/Pages/Leadership-Networks---Deliverables.aspx.

Districts that were engaged in the field testing served as model sites for statewide implementation. In June 2012, district leadership teams engaged in two initial days of professional development to launch the statewide rollout. As a follow-up, district teams continued to meet monthly to maintain implementation throughout the pilot year phase. During these sessions, the KDE supported a similar rolling implementation approach throughout the

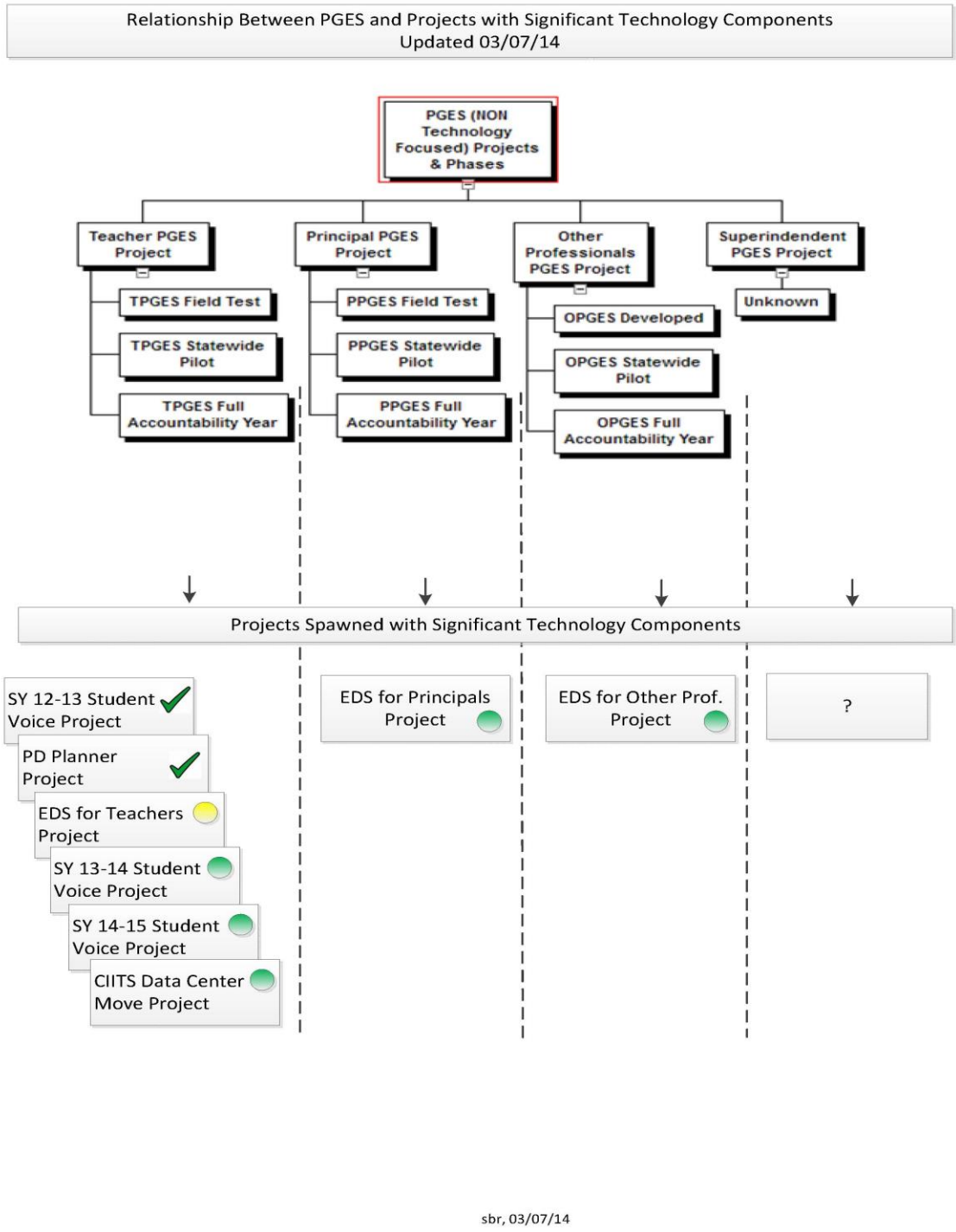
2012-13 school year. Local districts had the flexibility to stagger the implementation, bringing a few schools on line throughout the year. The goal of this approach was to ensure the local districts had the capacity to implement with fidelity. By March of 2013, local districts using this approach were to have all schools trained and implementing the Professional Growth and Effectiveness System. Other districts chose a system-wide implementation approach. The size and capacity of the districts dictated which of the aforementioned approaches were used.

In 2013-14, the professional growth and effectiveness system (PGES) is being piloted statewide to ensure inter-rater reliability and support school district capacity to implement the system. All 173 school districts are participating in the pilot implementation. Districts selected schools and appropriate staff based on selection criteria. There are 5,358 participants from 173 districts in the PGES statewide pilot. The participants include 3,973 teachers, 1,212 administrators and 173 superintendents statewide. In order to collect feedback in a formal way, all teachers, principals and superintendents were invited to participate in a survey. Of the 5,358 pilot participants, 2,263 (42%) responded (1,778 teachers, 386 administrators and 99 superintendents). The respondents represented all school levels: elementary (50%), middle (22%), and high (23%). (See PGES Pilot Report Fall 2013 at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=6E4zvnQ%2fXnWan6GCogd8resane%2bUBm7bsB6A3Ib6mGw%3d&docid=0b8c0521057274ec8bd9fa14edbe07bb1.)

A support system for districts and regional education cooperatives was created by the KDE with Gates Foundation funding. Effectiveness coaches and regional consultants were trained and placed across the state to provide just-in-time support. The PGES consultants and effectiveness coaches have provided training and professional development on the effectiveness system. Inter-rater reliability training and assessments have been conducted using a common electronic platform. The PGES consultants and effectiveness coaches have also provided training and technical support throughout the year, beginning with the process for implementing the use of multiple measures. The training and preparation for the pilot implementation was conducted regionally in collaboration with education cooperatives. The goal was to build capacity regionally to support the fidelity of implementation. The supports, provided free of charge, have helped build capacity. The resources provided are:

- A website that provides a variety of tools, research, and guidance;
- PD 360 (CIITS) to provide access to a variety of videos and resources; and
- Space in CIITS for lesson planning, access to student information, an area for assessment development, as well as storage of PGES documents.

The graphic found below shows how technology is integrated to support implementation of PGES.



Each cooperative region has at least one professional growth and effectiveness coach to provide just-in-time support throughout the pilot. As the coaches collect feedback from the field, they meet either by LYNC (face-to-face technology) or in person with KDE leadership weekly to

provide feedback to the steering committee and to make adjustments in the process to refine and improve implementation.

Collaboration with university partners is essential, specifically in the areas of education leadership and teacher preparation. The Education Professional Standards Board (EPSB) has assisted KDE in identifying key education preparation staff to facilitate the opportunity to develop a continuum from preparation to practicing professionals. Additional training will be offered to university and school district staff that are responsible for the Kentucky Teacher Internship Program. The EPSB is working with KDE staff to build training aligning the standards for the internship program with the professional growth and effectiveness system. The University of Kentucky and Eastern Kentucky University are making adjustments in their teacher preparation programs to ensure that PGES is a part of teacher preparation; other universities are following suit. These conversations are current, on-going and on a fast track. (See Clinical Model Design at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=fjQB7jU2o%2fcxM2PfTIFgMz4UXUDxi6zjCR2qu4sDEsY%3d&docid=0d8018538a9cb468b9a8187fb1bf2e5d1.) At the December 4, 2013 Kentucky Board of Education meeting, the Education Professional Standards Board, KDE and the Kentucky Education Association presented on the work that is occurring in teacher and leader preparation to support effectiveness. The minutes from that meeting can be found at http://education.ky.gov/KBE/meet/Documents/Summary%20Minutes%20Dec%202013.pdf.

Ever-Forward: Next Steps

As Kentucky continues to lead the nation with its college- and career-ready agenda, it cannot deny the critical role that professional learning plays. Being selected by Learning Forward as the Demonstration State for Implementing the Common Core Standards has enabled Kentucky to elevate the discussion related to professional learning and begin to analyze what steps are needed to support educators in becoming more effective in their teaching and learning practices.
A report -- Transforming Professional Learning in Kentucky: Meeting the Demands of the Common Core State Standards -- authored by Linda Darling-Hammond (Stanford University) and Barnett Berry (Center for Teaching Quality) offers a look into the professional learning policy landscape in our state. Several recommendations deserve immediate attention as we seek to ensure that all students have access to highly effective teaching, learning and assessment practices that will prepare them for college and career success.

In particular, the following are suggested shifts in practice for a systems approach to professional learning for Kentucky educators:

- creating a “culture change” around professional learning — particularly with use of time during and beyond the school day; accessing/capitalizing on internal expertise, focusing more on learning than on complying with a time requirement for professional development hours;
- ensuring there is coherence and integration of professional learning systems—between higher education and P-12 (transition, remediation, preparation, professional learning/recertification);

- developing a clear vision of professional learning and growth that translates into practice for all (ultimately ensuring equity in students' access to effective teachers, leaders, and learning experiences).

The report can be found at http://education.ky.gov/curriculum/lit/Documents/KY%20PD%20Report%204%202012.pdf.

As part of this effort, a Professional Learning Task Force of key stakeholders made recommendations to policy and practice that is improving Kentucky's system of professional learning. A list of members can be found at http://education.ky.gov/curriculum/lit/Documents/Professional%20Learning%20Task%20Force%20Members%202011%2012.pdf.

The report of the Professional learning Task Force can be found at http://education.ky.gov/curriculum/lit/Documents/Comprehensive%20System%20Final%2010-25-12.pdf. The report includes policy recommendations to support a comprehensive professional learning system in Kentucky. In June 2012, the Kentucky Board of Education adopted 704 KAR 3:035 (http://www.lrc.ky.gov/kar/704/003/035.htm) incorporating a new definition of professional learning and professional learning standards recommended by the Task Force.

3.B ENSURE LEAS IMPLEMENT TEACHER AND PRINCIPAL EVALUATION AND SUPPORT SYSTEMS

3.B Provide the SEA's process for ensuring that each LEA develops, adopts, pilots, and implements, with the involvement of teachers and principals, including mechanisms to review, revise, and improve, high-quality teacher and principal evaluation and support systems consistent with the SEA's adopted guidelines.

Guidance Question: Is the SEA's process for ensuring that each LEA develops, adopts, pilots, and implements with the involvement of teachers and principals, evaluation and support systems consistent with the SEA's adopted guidelines likely to lead to high-quality local teacher and principal evaluation and support systems?

Guiding the Development

In April 2012 the Kentucky Board of Education adopted the Kentucky Professional Growth and Effectiveness System's six components being submitted as part of the ESEA waiver proposal (http://education.ky.gov/KBE/meet/Documents/KBE%20Summary%20Minutes%20of%20April%202012%20mtg.pdf.) The components were as follows:

- continuous improvement of instruction;
- meaningful differentiation of teacher/principal performance using at least three performance levels;
- multiple measures of effectiveness including use of student growth data (both state standardized tests and formative growth measures that are rigorous and comparable across schools in a district) as a significant factor;
- regular evaluation (most likely annual);

- clear and timely feedback to include opportunities for professional development;
- use of the system to inform personnel decisions

These components are mirrored in KRS 156.557. The statute can be found at http://www.lrc.ky.gov/Statutes/statute.aspx?id=42137.

The revisions to the certified personnel evaluation system previously in statute included a dynamic shift from individually approved evaluation systems to a statewide valid and reliable system focused on the professional growth of educators and student growth and achievement. This change was necessary to meet the expectations of Kentucky's approach to comprehensive, continuous reform in education called Unbridled Learning, and to ensure all students are college- and career-ready. The following link shows the interconnectedness of the work within Unbridled Learning: http://education.ky.gov/CommOfEd/pres/Documents/howitfitstogether.pdf.

In the comprehensive professional effectiveness structure, Kentucky included the multiple measures of professional practice and student growth. Sources of evidence (as discussed later in this section) are used to inform professional practice for teachers and principals. Student growth is informed by a state contribution and a local contribution for all teachers, principals and assistant principals. The Kentucky Board of Education (KBE) and Kentucky Department of Education (KDE), in partnership with the two steering committees mentioned earlier in 3A, committed to the following:

- no public reporting of individual teacher data;
- not supporting student growth as a sole measure for making personnel decisions; and
- agreement that an educator effectiveness model focused on continuous improvement is only beneficial if the data and information from the system are used to improve instructional practices leading to improved student learning outcomes.

In preparation for the 2013 session of the General Assembly and consideration of legislation related to teacher and leader effectiveness, KDE presented the work of the teacher and principal effectiveness steering committees to the Interim Joint Committee on Education (IJCE) at the June 2012 meeting. The IJCE was briefed on the ESEA waiver Kentucky had been granted and the need for state legislation in the 2013 session to support the work of the steering committees in developing a statewide system focused on professional growth and student achievement. Minutes for the IJCE meeting may be accessed at http://www.lrc.ky.gov/minutes/educat/120611OK.HTM.

During the 2013 session of the Kentucky General Assembly, House Bill 180 (KRS 156.557) passed the Kentucky General Assembly and was signed into law by the Governor. The components in KRS 156.557 are summarized below:

- Prior to the beginning of the 2014-2015 school year, KDE was to develop a framework for a statewide personnel evaluation system. The KBE was required to promulgate administrative regulations to establish a statewide professional growth and effectiveness system for the purposes of supporting and improving the performance of all certified school personnel. The system is to promote the continuous professional growth and

development of skills needed to be a highly effective teacher or a highly effective administrator in a school or district.

- The system must use multiple measures of effectiveness, including student growth data as a significant factor in determining the effectiveness of teachers and administrators, that utilize both state standardized tests and local formative growth measures that are rigorous and comparable across schools in a local district; include both formative and summative evaluation components; measure professional effectiveness; support professional growth; have at least three performance levels; be used to inform personnel decisions; be considerate of the time requirements of evaluators at the local level; not require that all certified school personnel have a formal summative evaluation each year; and require evaluations be done using multiple measures instead of a single measure.

- The regulation must include required performance criteria for teachers, principals and assistant principals. The regulation must allow local districts to apply for a waiver, should they so desire, from the statewide system on the condition that the local system uses multiple measures of effectiveness, including student growth data as a significant factor in determining the effectiveness of teachers and administrators; utilization of both state standardized tests and local formative growth measures that are rigorous and comparable across schools in a local district; inclusion of formative and summative evaluation components; measurement of professional effectiveness; support of professional growth; use of at least three performance levels; use of it to inform personnel decisions; consideration of the time requirements of evaluators at the local level and not requiring that all certified school personnel have a formal summative evaluation each year; and the rating of teachers or administrators by multiple measures instead of a single measure. (In March of 2014, Kenton County School District applied for such a waiver and it was approved at the April 9, 2014 Kentucky Board of Education meeting).

- The regulation must build in a local and state procedural appeals processes and Ensure the disclosure of any data or information, including student growth data, collected by local school districts or the KDE t on individual classroom teachers is prohibited.

KRS 156.557 in its entirety can be found at
http://www.lrc.ky.gov/Statutes/statute.aspx?id=42137.

Immediately, the KDE began the regulation development process focused on the statute, customer/stakeholder input, the three years of previous work on PGES development, information from states that have made progress in the development of teacher evaluation systems, and the guiding document (Our Responsibility, Our Promise: Transforming Educator Preparation Entry into the Profession). See the following link to access the guiding document at
http://www.ccsso.org/Resources/Publications/Our_Responsibility_Our_Promise_Transforming_Educator_Preparation_and_Entry_into_the_Profession.html.

Also, the teacher and principal effectiveness steering committees continued to shape the guidelines provided to districts related to the PGES. At the January 2014 meetings, both steering committees reviewed the proposed regulation and provided feedback before it was sent to the

Kentucky Board of Education for its first reading. Also, guidance was developed aligned to the regulation. The minutes of the meeting can be found at http://education.ky.gov/teachers/HiEffTeach/Pages/Teacher-and-Principal-Steering-Committees.aspx.

As a result of the work of the teacher and principal steering committees from January 2013 through January 2014, KDE was able to present for its first reading the Professional Growth and Effectiveness System regulation, 704 KAR 3:370, to the Kentucky Board of Education in February 2014. The newsletter for the board meeting can be found at http://portal.ksba.org/public/Meeting.aspx?PublicAgencyID=4388&PublicMeetingID=10511&AgencyTypeID=1 and the minutes of the meeting can be found at http://education.ky.gov/KBE/meet/Documents/Feb%205%202014%20minutes.pdf.

Since the first reading of the regulation, KDE staff, including PGES and Effectiveness Coaches, collected feedback from across the state on the regulation, as well as guidance on implementation. A model Certified Evaluation Plan 3.0 (CEP 3.0) was provided in January 2014 to guide districts through the process of adding components of PGES to the district CEP. The CEP 3.0 can be found at http://education.ky.gov/teachers/HiEffTeach/Documents/CEP%203%200%202-14-14%20FINAL%20AE.pdf.

Districts also were given a PGES Checklist to provide feedback regarding plans for implementation and the convening of the 50/50 committee. (The 50/50 committee is the local evaluation committee, required in KRS 156.557, made up of equal numbers of teachers and administrators.) Based upon the needs identified in the checklist and through district visits conducted by PGES consultants, a CEP training was provided by each educational cooperative throughout the state. Additional guidance documents were provided to help lead teachers and principals through the development of Student Growth Goals (SGG). The KDE website was updated to provide easy access for all school districts to use the resources provided to build capacity within each district for successful implementation. Based upon the questions and feedback provided in each training, a Frequently Asked Questions (FAQ) document was created and published on the website for districts to have immediate answers. The FAQ can be found at http://education.ky.gov/teachers/PGES/Pages/PGES.aspx and resources around student growth in PGES can be found at http://education.ky.gov/teachers/HiEffTeach/Pages/Student-Growth.aspx.

In addition, KDE staff in the Division of Next Generation Professionals recommitted to being stakeholder friendly and providing effective school and district support for successful implementation.

704 KAR 3:370 is the new regulation containing the guidelines for implementing the Professional Growth and Effectiveness System described in KRS 156.557. The regulation is intentionally written to meet the requirements of the ESEA waiver with an emphasis on districts being able to build and submit a plan, through a 50/50 committee, for KDE guidance and approval based on the direction of the PGES framework. On April 9, 2014, the Kentucky Board of Education (KBE) approved 704 KAR 3:370 and the repeal of the current regulation on evaluation guidelines, 704 KAR 3:345. The regulation now proceeds through the public hearing

process and the legislative committee review process as part of the final steps in it becoming state law.

704 KAR 3:370, as well as the repeal of the previous regulation on evaluation, can be found on the Kentucky Board of Education's online materials site under agenda item XII. at http://portal.ksba.org/public/Meeting.aspx?PublicAgencyID=4388&PublicMeetingID=10926&AgencyTypeID=1. Evidence of its adoption can be found in the press release from the meeting at http://education.ky.gov/comm/news/Documents/R%2014-036%20KBE%20meeting.pdf. In order to illustrate how the recommendations of the teacher and principal steering committees have been incorporated into the regulation and guidance, the following materials are being provided: Attachment A Teacher PGES Committee Recommendations found at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=s4DvxfbHDuSm%2b8ozU%2bx7S5xbD53xe9MbmU7MeGa5Auw%3d&docid=01c237f642fee4fc1a18fa49795233636 and Attachment B Principal PGES Committee Recommendations found at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=h24YrEjXsWyCoeI8sm6NvuH1t1IQGGMINQtkpm5ow9Y%3d&docid=0105b50ff64a442058051e72f331b68a9.

In addition to the adoption of guidelines for teacher and principal evaluation, Kentucky also is working on an aligned system for superintendent evaluation through the Superintendent Professional Growth and Effectiveness System. Information on that work can be found at http://education.ky.gov/teachers/hqt/pages/superintendent%20professional%20growth%20and%20effectiveness%20system.aspx.

Timeline

Beginning in the 2014-2015 school year, all local districts will fully implement the requirements of KRS 156.557 and 704 KAR 3:370 for all teachers, principals and assistant principals. During the 2014-2015 school year, the system will be fully implemented across the state but not included in the overall school and district accountability scores described in 703 KAR 5:225 (http://www.lrc.ky.gov/kar/703/005/225.htm) or for use in making personnel decisions. In January 2014, the United States Department of Education granted Kentucky an extension of the timeline in the ESEA waiver related to the PGES being used for personnel decisions and accountability. Beginning in the 2015-16 school year, all school districts will fully implement the PGES for all certified school personnel and add use of the system for personnel decisions and the overall school and district accountability scores.

In order to ensure the guidelines adopted by the KBE in 704 KAR 3:370 are implemented, each local school district is required to submit to KDE a Professional Growth and Effectiveness System Certified Evaluation Plan and procedures to establish the district's evaluation system for all certified school personnel. As a result of feedback on the regulation and the CEP 3.0, a new version of the Model CEP, version 4.0, will assist districts in developing and implementing their CEP. The KDE will review and approve each local school district's plan and procedures for compliance with the requirements established in KRS 156.557 and 704 KAR 3:370 and also for the quality of the plan to reach the goal of supporting the growth of teachers and impacting

student achievement. The local board of education is required to establish a written policy for implementing PGES for all certified school personnel in the district, consistent with the requirements of KRS 156.557 and 704 KAR 3:370. The policy adopted by the local board will support fidelity and monitoring of implementation at the district level. The approach being taken by the KDE Office of Next Generation Learners is to provide support based on the needs that the districts and cooperative regions identify. The support will be differentiated based on a survey that was administered by PGES effectiveness coaches with each district which determined where they would need the most help in enabling this portion of the regulation to be successfully implemented on a tight timeframe. In addition, the districts were asked to identify particular strengths to enable more networking with other districts with this information. (See Regional Model Plan Training Feedback at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=IDdpVnPFe3mdYlCxqtiBGJWvrC%2bmqTiPeUkXs3lbmjQ%3d&docid=06802f7c0471e4bdebc117660d3162cdd.)

A local evaluation committee, made up of an equal number of teachers and administrators (referred to as a 50/50 committee), will propose to the local board of education PGES procedures and forms for the evaluation of certified school personnel positions. KDE is providing examples of best practices in developing local evaluation committees so the voices of teachers and administrators are heard. The local board of education's role is to act on procedures and forms that meet the requirements of KRS 156.557(5) (c) and include the following minimum procedural requirements:

- Require a minimum of one (1) peer observation of a teacher evaluatee during the summative evaluation year, document peer observations in the department-approved technology platform (CIITS), and share the documentation with the teacher for formative evaluation purposes. At the request of a teacher, peer observations may be used in the formative process.
- Require a teacher evaluator to conduct a minimum of three (3) observations of a teacher evaluatee during the summative evaluation cycle and, at a minimum, one (1) full classroom observation during the summative year and to document all observations in the department-approved technology platform.
- Require a principal evaluator to conduct a minimum of two (2) site visits each year.
- Create a process for the selection of peer observers.
- Require a formative evaluation conference between the evaluator and the evaluatee within five (5) working days following each observation.
- Require the summative evaluation conference be held at the end of the summative evaluation cycle and include all applicable system data.
- Require the summative evaluation, with multiple observations, to occur annually for each teacher who has not attained continuing service status under KRS 161.740 or "continuing status" under KRS 156.800(7) and that it may utilize the formative data collected during the beginning teacher internship period, pursuant to 16 KAR 7:010, in the summative evaluation of an intern teacher.
- Require multiple observations of a teacher who has attained continuing service status under KRS 161.740 or "continuing status" under KRS 156.800(7) and whose observation results are determined to be Ineffective.

- Require summative evaluation at least once every three (3) years for a teacher who has attained continuing service status under KRS 161.740 or "continuing status" under KRS 156.800(7).
- Require summative evaluation annually for an assistant principal or principal.
- Require a summative evaluation of teachers, principals and assistant principals to be documented in writing and to be included in the evaluatee's official personnel record.
- Require documentation of a summative evaluation of a teacher, principal, and assistant principal in the department-approved technology platform (EDS in CIITS).
- Require inclusion of the overall performance rating sources of evidence in the documentation of a teacher, principal or assistant principal's summative evaluation.
- Provide an opportunity for a written response by the evaluatee, and require the response to be included in the official personnel record.

The district has discretion on the following items:

- The district may require the utilization of additional trained administrative personnel to observe and provide information to the evaluator.
- Beyond the minimum observation requirements set forth in KRS 156.557 and 704 KAR 3:370, the district may establish uniform requirements for the duration, frequency, and nature of observations conducted by an evaluator for the purpose of evaluation.
- The district, upon the request of a teacher, may use peer observation data in the formative process.
- The district may develop and implement a Peer Assistance and Review (PAR) process. The PAR process includes certified school personnel created to provide peer assistance and review for the purposes of supporting and improving instructional practice and making personnel decision recommendations.
- The district may determine how peer observers are selected and how they are assigned to teachers.

In order to support the implementation of these requirements in districts, KDE's Office of Next Generation Learners has focused on feedback from the field to provide the necessary tools to be successful in writing evaluation plans. Regional work sessions were conducted in the cooperatives to address exactly what needs to be done and a model Certified Education Plan (CEP) has gone through four iterations based on field feedback. Dates for the regional meetings were shared with superintendents in the commissioner's January 2014 webcast. The link to that webcast can be found at http://mediaportal.education.ky.gov/leadership/commissioner/2014/01/superintendent-webcast-january-2014/.

The feedback that has been received is reflected in the Model Certified Evaluation Plan 4.0 found at http://education.ky.gov/teachers/PGES/Pages/Certified-Evaluation.aspx.

All those evaluating teachers, principals and assistant principals are in the process of being trained and must be trained and tested before they can evaluate. It is the district's responsibility to ensure that an evaluator meets the requirements of the district's PGES plan and procedures prior to evaluating teachers, principals and assistant principals. In order to monitor the

implementation of the system and track compliance with training and testing requirements, each district is required to designate a contact person responsible for these tasks. That person in each district, along with the superintendent, will be the point of contact for KDE when monitoring district PGES implementation.

Evaluator training and testing takes place over a four-year cycle. In year one of the cycle (occurred in summer of 2012 for the first individuals who were trained for the pilot and then has continued to occur as more individuals trained for full implementation in 2014-15), evaluators will receive training on all statutes and administrative regulations applicable to the evaluation of teachers, principals and assistant principals; and training in identifying effective teaching and management practices, effective observation and conferencing techniques, development of student growth goals, providing clear and timely feedback, establishing and assisting with a professional growth plan, and summative decision techniques. All evaluators will be tested on research-based and professionally accepted teaching and management practices and effective evaluation techniques. Those evaluators who observe teachers for the purpose of evaluation are required to successfully complete certification as an observer and can do so in year one of the cycle. Only those observers who earn certification as an observer may serve as an official evaluator of teachers. If a supervisor does not earn certification, another certified observer must be present with the supervisor during the observation. Observers of teachers for the purpose of evaluation will be required in years two and three to recalibrate for the purpose of minimizing observer drift. Also, in years two and three of the training and testing cycle, all evaluators will be updated on any changes to the district's PGES plan, policies, or procedures, or to statutes or administrative regulations related to the evaluation of certified school personnel. The effectiveness coaches and PGES consultants will be the "boots on the ground" in the regions to provide just-in-time support and updates through the educational cooperatives as well as be on-call as needed by districts and schools. As of March 2014, 2,041 educators had been trained as observers across the state and are proficient. (See Observer Certification Numbers at https://staffkyschools.sharepoint.com/sites/kde/ESEA/_layouts/15/guestaccess.aspx?guestaccesstoken=%2fzwveuDqGbBOocZLQyKQ0uwSo10pCN4JAXC9PZrcz3g%3d&docid=03f48a132f6b348c990c93cc2023090c0.)

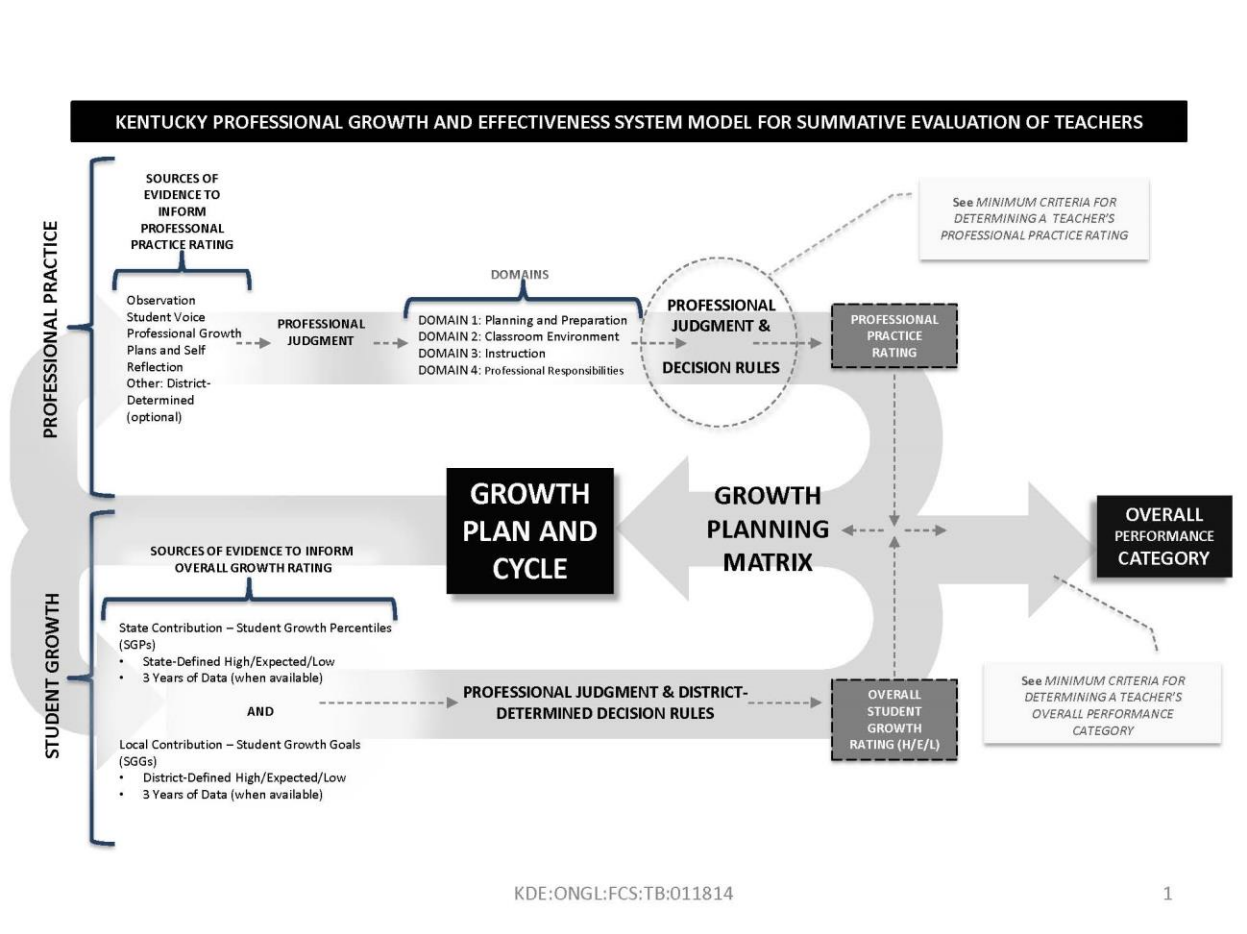
At the beginning of the fourth year of an evaluator certification cycle, the evaluator is required to complete an abbreviated training and testing in order to remain qualified to observe teachers for the purpose of evaluation. KDE shall issue year one (1) approval as an evaluator upon the evaluator's successful completion of the required evaluation training and testing program, as well as a successful completion of observer certification.

Since certification and recalibration of observers is critical to the validity and reliability of observation and this requirement is new to evaluators in Kentucky, beginning in July 2013, KDE partnered with the Kentucky Association of School Administrators (KASA) and Battelle for Kids to develop and deliver a yearlong professional learning experience for school leaders, focused on implementing the Professional Growth and Effectiveness System (PGES) through the Kentucky Leadership Academy (KLA). KLA provided principals with "just-in-time" support throughout the process of the statewide pilot on issues such as observation and providing quality feedback. KLA and Battelle collaborated to create a social media site for KLA participants. This platform is managed by principals across the state with at least one representative from each region. The

platform continues to provide daily support for principals, from principals, regarding the Teacher Professional Growth and Effectiveness System (TPGES) and the Principal Professional Growth and Effectiveness System (PPGES). The link to the platform can be found at http://www.kasa.org/subsite/dist/page/kentucky-leadership-academy-64.

Peer observation for formative purposes has been included in PGES. The importance of observer training is true for peer observers, as well. Therefore, a Peer Observer Course was developed through a collaboration between KDE and Kentucky Educational Television (KET). Educators have found the course useful for learning more about the Framework for Teaching, providing quality feedback, and getting the most from the peer observation process. It is comprised of three modules that can be completed in a self-paced manner and takes approximately three hours to complete. Upon completion, a certificate is awarded by KET. The link to the modules can be found at http://ket.pbslearningmedia.org/resource/4407ae8b-48b1-4060-ba05-f97dabf95627/professional-learning-for-peer-observers/. Districts are required to ensure that peer observers complete the peer observer training modules at least once every three years.

Analysis of data collection from the processes and measures depicted below will build a climate for continuous improvement. PGES uses multiple measures of effectiveness, including student growth data as a significant factor in determining the effectiveness of teachers and administrators. The two measures of performance in Kentucky are professional practice and student growth. Within those measures, multiple sources of evidence will be used to determine a rating on each measure for each teacher, principal and assistant principal. The ratings on the measures will then be placed on a matrix to determine an overall performance rating.



One measure in PGES for teachers is professional practice. This is illustrated by looking at the top half of the chart depicted above. Each teacher, principal and assistant principal will receive a professional practice rating.

For teachers, the district's professional practice rating form utilizes The Framework for Teaching Evaluation Instrument, 2011 Edition, in conjunction with the Teacher Evaluation Crosswalk, in compliance with KRS 156.557 and the requirements of 704 KAR 3:370, and includes the following:

- Planning and Preparation Domain - Components include Knowledge of Content and Pedagogy, Demonstrating Knowledge of Students, Setting Instructional Outcomes, Demonstrating Knowledge of Resources, Designing Coherent Instruction, and Designing Student Assessments;

- Classroom Environment Domain - Components include Creating an Environment of Respect and Rapport, Establishing a Culture of Learning, Managing Classroom Procedures, Managing Student Behavior, and Organizing Physical Space;

- Instruction Domain - Components include Communicating with Students, Questioning and Discussion Techniques, Engaging Students in Learning, Using Assessment in Instruction, and Demonstrating Flexibility and Responsiveness; and

- Professional Responsibilities Domain - Components include Reflecting on Teaching, Maintaining Accurate Records, Communicating with Families, Participating in a Professional Community, Growing and Developing Professionally, and Showing Professionalism.

The Teacher Evaluation Crosswalk can be found on the Kentucky Board of Education's online materials site under agenda item XII. at http://portal.ksba.org/public/Meeting.aspx?PublicAgencyID=4388&PublicMeetingID=10926&AgencyTypeID=1.

When the recommendation was made by the Teacher Steering Committee in January 2014 to move to student growth as a separate measure and not a domain in the summative model, the student growth domain was removed from the Framework for Teaching. The Framework can be found under agenda item XII. at http://portal.ksba.org/public/Meeting.aspx?PublicAgencyID=4388&PublicMeetingID=10926&AgencyTypeID=1.

Evaluators will utilize *The Framework for Teaching Evaluation Instrument*, 2011 Edition, in conjunction with the Teacher Evaluation Crosswalk, in compliance with KRS 156.557 and the requirements 704 KAR 3:370, to determine ratings for the teacher on each of the four domains listed above. The evaluator will use evidence from professional growth plans and self-reflection, observation, and student voice surveys, in combination with professional judgment, to inform the teacher's rating on each of the four (4) domains. The evaluator may, if included in the district's approved Certified Evaluation Plan (CEP), use additional district-determined sources of evidence to inform the teacher's professional practice rating.

CRITERIA FOR DETERMINING A TEACHER'S PROFESSIONAL PRACTICE RATING

IF…	THEN…
Domains 2 AND 3 are rated INEFFECTIVE	Professional Practice Rating shall be INEFFECTIVE
Domains 2 OR 3 are rated INEFFECTIVE	Professional Practice Rating shall be DEVELOPING OR INEFFECTIVE
Domains 1 OR 4 are rated INEFFECTIVE	Professional Practice Rating shall NOT be EXEMPLARY
Two Domains are rated DEVELOPING, and two Domains are rated ACCOMPLISHED	Professional Practice Rating shall be ACCOMPLISHED
Two Domains are rated DEVELOPING, and two Domains are rated EXEMPLARY	Professional Practice Rating shall be ACCOMPLISHED
Two Domains are rated ACCOMPLISHED, and two Domains are rated EXEMPLARY	Professional Practice Rating shall be EXEMPLARY

In order to support comparability of professional practice ratings both within and across districts, the evaluator must utilize the following decision rules for determining the professional practice rating for a teacher:

(a) If a teacher is rated Ineffective in the Classroom Environment domain or in the Instruction domain, the teacher's professional practice rating shall not be Exemplary or Accomplished;
(b) If a teacher is rated Ineffective in the Classroom Environment domain and in the Instruction domain, the teacher's professional practice rating shall be Ineffective;
(c) If a teacher is rated Ineffective in any domain, the teacher's professional practice rating shall be Accomplished, Developing, or Ineffective;
(d) If a teacher is rated Developing in two (2) domains and Accomplished in two (2) domains, the teacher's professional practice rating shall be Accomplished;
(e) If a teacher is rated Developing in two (2) domains and Exemplary in two (2) domains, the teacher's professional practice rating shall be Accomplished; and
(f) If a teacher is rated Accomplished in two (2) domains and Exemplary in two (2) domains, the teacher's professional practice rating shall be Exemplary.

The second measure in the PGES is student growth. This is illustrated by looking at the bottom half of the chart depicted on page 159. The student growth measure consists of a state contribution, when available for teachers, and a local contribution.

For teachers, the Kentucky Board of Education determined the scale for low, expected, and high growth regarding the state contribution due to the fact that Kentucky uses a student growth percentile growth model in its accountability system (http://www.lrc.ky.gov/kar/703/005/200.htm). Student growth percentile is defined as each student's rate of change compared to other students with a similar test score history. KDE provides the scale related to student growth percentile to local school districts. Only teachers of mathematics and reading in grades four through eight will have state contribution data.

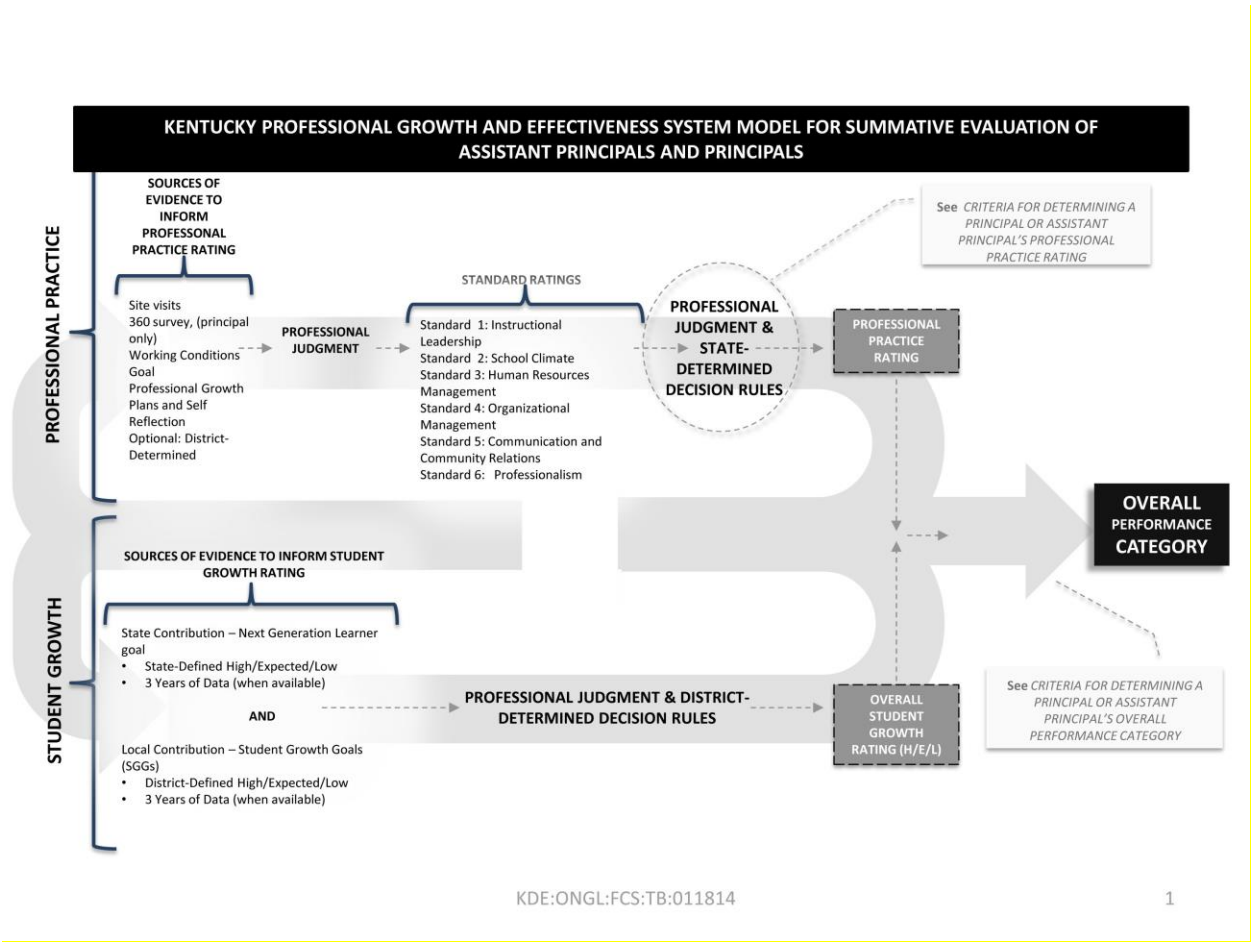
The local contribution of student growth for teachers will be based on student growth goals as measured by formative measures determined by the district. Student growth goals are goals focused on learning, that are specific, appropriate, realistic, and time-bound, that are developed collaboratively and agreed upon by the evalutee and evaluator, and that use local formative growth measures that are rigorous and comparable across schools in a local district, such as Northwest Education Alliance, Discovery Ed, ACT formative assessments, etc.

Using guidance from KDE, the local school district determines the scale for low, expected, and high student growth goal ratings. In determining the scale, local school districts consider the definition of typical student growth contained in 703 KAR 5:200, Section 1 (12), which is the student growth percentile of 40 or above. The local school district is required to develop a process for using professional judgment and the following sources of evidence to determine the overall student growth rating:

(a) Growth trends consisting of the three (3) most recent years of student growth percentile data, when available, for teachers; and

(b) Growth trends consisting of the three (3) most recent years of student growth goal data, when available, for all teachers.

It is desirable to use three years of student growth data; however, new teachers may not have three years of data. Districts will use the student growth data they have available to them to make decisions on the summative rating of those teachers.



Each principal and assistant principal will also receive a professional practice rating. The district's professional practice rating form will use the Principal and Assistant Principal Performance Standards and the Principal and Assistant Principal Performance Standards Crosswalk, in compliance with KRS 156.557 and the requirements of 704 KAR 3:370, and will include the following performance standards and descriptors:

- Instructional Leadership Performance Standard - The evaluatee fosters the success of all students by facilitating the development, communication, implementation, and evaluation of a shared vision of teaching and learning that leads to student academic growth and school improvement.

- School Climate Performance Standard - The evaluatee fosters the success of all students by developing, advocating, and sustaining an academically rigorous, positive, and safe school climate.

- Human Resources Management Performance Standard - The evaluatee fosters effective human resources management by assisting with selection and induction and by supporting, evaluating, and retaining quality instructional and support personnel.

- Organizational Management Performance Standard - The evaluatee fosters the success of all students by supporting, managing, and overseeing the school's organization, operation, and use of resources.

- Communication and Community Relations Performance Standard - The evaluatee fosters the success of all students by communicating and collaborating effectively with stakeholders.

- Professionalism Performance Standard - The evaluatee fosters the success of all students by demonstrating professional standards and ethics, engaging in continuous professional learning, and contributing to the profession.

The Principal Evaluation Crosswalk can be found under agenda item XII. at http://portal.ksba.org/public/Meeting.aspx?PublicAgencyID=4388&PublicMeetingID=10926&AgencyTypeID=1.

When the recommendation was made by the Principal Steering Committee in January 2014 to move to student growth as a separate measure and not a domain in the summative model, the student growth domain was removed from the standards. The Principal Performance Standards can be found under agenda item XII. at http://portal.ksba.org/public/Meeting.aspx?PublicAgencyID=4388&PublicMeetingID=10926&AgencyTypeID=1.

The evaluator will use the *Principal and Assistant Principal Performance Standards* and the *Principal and Assistant Principal Performance Standards Crosswalk*, in compliance with KRS 156.557 and the requirements of 704 KAR 3:370, to determine ratings for an assistant principal or principal evaluatee on each of the performance standards.

The evaluator will use evidence from professional growth plans and self-reflection, Val Ed (the department-approved survey of perception of superintendents, district personnel and teachers) and the TELL survey goal. For principals only, the evaluator also will use evidence from two site visits per year. The evaluator may, if included in the district's approved evaluation plan, use additional district-determined sources of evidence to inform the evaluatee's rating on each of the six standards.

CRITERIA FOR DETERMINING A PRINCIPAL or ASSISTANT PRINCIPAL'S PROFESSIONAL PRACTICE RATING

IF…	THEN…
Principal or Assistant Principal is rated Exemplary in at least four of the standards and no standard is rated Developing or Ineffective	Professional Practice Rating shall be Exemplary
Principal or Assistant Principal is rated Accomplished in at least four standards and no standard is rated Ineffective	Professional Practice Rating shall be Accomplished
Principal or Assistant Principal is rated Developing in at least five standards	Professional Practice Rating shall be Developing
Principal or Assistant Principal is rated Ineffective in two or more standards	Professional Practice Rating shall be Ineffective

In order to support comparability within and across districts, the evaluator will use the following decision rules to determine a professional practice rating:

(a) If the evaluatee is rated Exemplary in at least four (4) of the standards and no standard is rated Developing or Ineffective, the professional practice rating shall be Exemplary;
(b) If the evaluatee is rated Accomplished in at least four (4) standards and no standard is rated Ineffective, the professional practice rating shall be Accomplished;
(c) If the evaluatee is rated Developing in at least five (5) standards, the professional practice rating shall be Developing; and
(d) If the evaluatee is rated Ineffective in two (2) or more standards, the professional practice rating shall be Ineffective.

Additionally, all principals and assistant principals have both a state and a local student growth component contribution. The overall student growth rating for principals and assistant principals will be determined as follows: The state contribution for principals and assistant principals is based on the degree to which the evaluatee meets the Next Generation Learners Goal. A principal's Next Generation Learners Goal shall be the assistant principal's Next Generation Learners Goal as well.

The local contribution for the student growth measure for principals and assistant principals is a rating based on the degree to which the principal or assistant principal meets student growth goals. Assistant principals share the principal's student growth goals.

The scale for low, expected, and high student growth goal ratings will be determined by the local school district. In determining the scale, local school districts will consider the school's goals

and measures of success in the Comprehensive School Improvement Plan (CSIP) required in 703 KAR 5:225, Section 9 (http://www.lrc.ky.gov/kar/703/005/225.htm). Information about Comprehensive School Improvement Plans can be found at http://education.ky.gov/school/csip/Pages/default.aspx.

The district will develop a process for using professional judgment and evidence from the following sources of evidence to determine the overall student growth rating:

- Growth trends over the three (3) most recent years of Next Generation Learners student growth data, calculated pursuant to 703 KAR 5:200; and
- Growth trends over the three (3) most recent years of student growth goal data.

The KDE survey that was administered to all districts to gather feedback indicated that the area where they needed the most help was student growth. A webpage of resources was developed and videos of how superintendents and teachers view growth goals were made available to assist in just-in-time support. The webpage can be found at http://education.ky.gov/teachers/HiEffTeach/Pages/Student-Growth.aspx.

CRITERIA FOR DETERMINING A TEACHER'S OVERALL PERFORMANCE CATEGORY

PROFESSIONAL PRACTICE RATING	STUDENT GROWTH RATING	OVERALL PERFORMANCE CATEGORY
Exemplary	High OR Expected	EXEMPLARY
	Low	ACCOMPLISHED
Accomplished	High	EXEMPLARY
	Expected	ACCOMPLISHED
	Low	DEVELOPING
Developing	High	ACCOMPLISHED
	Expected OR Low	DEVELOPING
Ineffective	High	DEVELOPING
	Expected OR Low	INEFFECTIVE

CRITERIA FOR DETERMINING A PRINCIPAL OR ASSISTANT PRINCIPAL'S

OVERALL PERFORMANCE CATEGORY

PROFESSIONAL PRACTICE RATING	STUDENT GROWTH RATING	OVERALL PERFORMANCE CATEGORY
Exemplary	High OR Expected	Exemplary
	Low	Developing
Accomplished	High	Exemplary
	Expected	Accomplished
	Low	Developing
Developing	High	Accomplished
	Low OR Expected	Developing
Ineffective	Low, Expected OR High	Ineffective

Based on the recommendation of the Teacher and Principal steering committees, the overall performance categories for teachers, principals and assistant principals are Exemplary, Accomplished, Developing or Ineffective. The overall performance category is determined by combining the professional practice rating and the overall student growth rating:

Professional Practice + Student Growth = Overall Performance Category.

The teacher and principal steering committees made recommendations that were incorporated into 704 KAR 3:370, setting thresholds for the overall ratings of teachers, principals and assistant principals. For teachers, the thresholds are:

(a) A teacher's overall performance rating shall be Exemplary if:
1. The professional practice rating is Exemplary and the overall student growth rating is high;
2. The professional practice rating is Exemplary and the overall student growth rating is expected; or
3. The professional practice rating is Accomplished and the overall student growth rating is high.

(b) A teacher's overall performance rating shall be Accomplished if:
1. The professional practice rating is Exemplary and the overall student growth-rating is low;
2. The professional practice rating is Accomplished and the overall student growth rating is expected; or
3. The professional practice rating is Developing and the overall student growth rating is high;

(c) A teacher's overall performance category shall be Developing if:
1. The professional practice rating is Accomplished and the overall student growth rating is low;
2. The professional practice rating is Developing and the overall student growth rating is expected;
3. The professional practice rating is Developing and the overall student growth rating is low; or
4. The professional practice rating is Ineffective and the overall student growth rating is high.

(d) A teacher's overall performance category shall be Ineffective if:
1. The professional practice rating is Ineffective and the overall student growth rating is expected; or
2. The professional practice rating is Ineffective and the overall student growth rating is low.

For principals and assistant principals, the thresholds are:

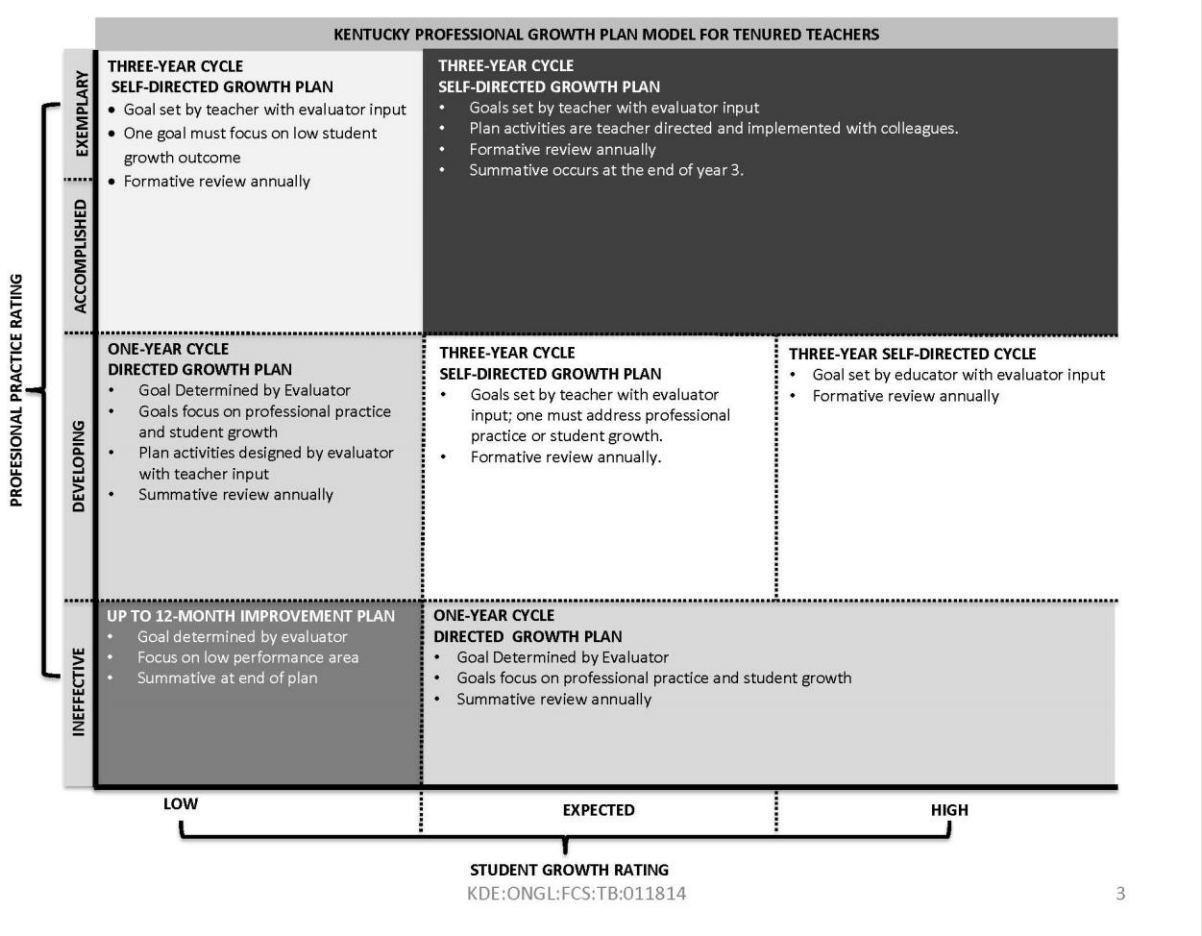
(a) An evaluatee's overall performance category shall be Exemplary if:
1. The professional practice rating is Exemplary and the overall student growth rating is high;
2. The professional practice rating is Exemplary and the overall student growth rating is expected; or
3. The professional practice rating is Accomplished and the overall student growth rating is high.

(b) An evaluatee's overall performance category shall be Accomplished if:
1. The professional practice rating is Accomplished and the overall student growth rating is expected;
2. The professional practice rating is Developing and the overall student growth rating is high;

(c) An evaluatee's overall performance category shall be Developing if:
1. The professional practice rating is Exemplary and the overall student growth rating is low;
2. The professional practice rating is Accomplished and the overall student growth rating is low;
3. The professional practice rating is Developing and the overall student growth rating is expected; or
4. The professional Practice rating is Developing and the overall student growth rating is low.

(d) An evaluatee's overall performance category shall be Ineffective if the professional practice rating is Ineffective.

By using this matrix approach, student growth has a significant role, along with professional practice, in determining the overall performance category of teachers, principals and assistant principals.



Districts will use PGES to inform personnel decisions no later than in 2015-16. The decisions may include choices of the professional learning teachers and leaders need to be successful, based on clear and timely feedback.

Teachers will be placed on an appropriate growth plan and summative evaluation cycle based on the professional practice rating and the overall student growth rating, as illustrated by the Kentucky Professional Growth Plan Model for Teachers depicted above. All teachers who have not attained continuing status will be evaluated every year; however, teachers who have continuing status will have their summative cycle determined by the following thresholds:

> (a) A teacher whose professional practice rating is Exemplary or Accomplished and has an expected or high overall student growth rating shall have a professional growth plan that includes: goals set by the teacher, with evaluator input; activities that are teacher-directed and implemented with colleagues; a formative review annually; and a summative evaluation that occurs at the end of year three of the evaluation cycle.
> (b) A teacher whose professional practice rating is Accomplished or Exemplary, with a low overall student growth rating, or Developing, with a high overall student growth rating, shall have a professional growth plan that includes: goals set by the teacher with evaluator input; if there is a low student growth rating, one goal shall focus on a low

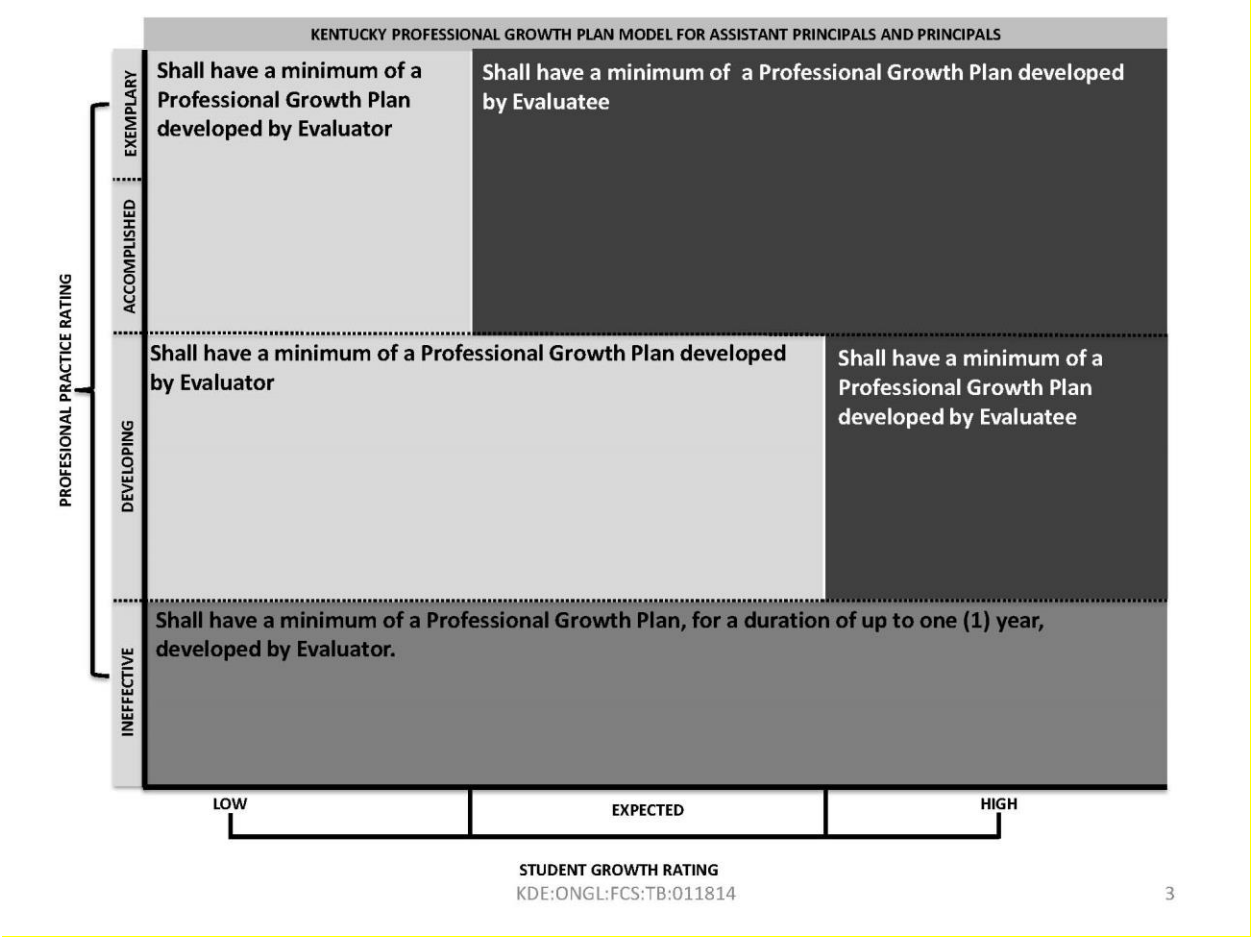
student growth outcome; an annual formative review; and a summative evaluation that occurs at the end of year three of the evaluation cycle.

(c) A teacher whose professional practice rating is Developing, with an expected overall student growth rating, shall have a professional growth plan that includes: goals set by the teacher with evaluator input; one goal that addresses professional practice or student growth; activities that are teacher-directed and implemented with colleagues; an annual formative review; and a summative evaluation that occurs at the end of year three of the evaluation cycle.

(d) A teacher whose professional practice rating is Developing, with a low overall student growth rating, or whose professional practice rating is Ineffective, with an expected or high overall student growth rating, shall have a professional growth plan that includes goals determined by the evaluator: goals shall focus on professional practice and student growth, include an annual formative review, and include a summative evaluation that occurs at the end of one year.

(e) A teacher whose professional practice rating is Ineffective, with a low overall student growth rating, shall have an improvement plan with goals determined by the evaluator; the goals shall focus on low performance areas and a summative evaluation shall occur at the end of the plan, whose duration is determined by the evaluator and may last up to one year.

Every tenured teacher in Kentucky will, at a minimum, be evaluated every three years. The plan and cycle schedule above allows those teachers who need additional support to receive it when they need it. Professional growth plans are reviewed annually to determine if teachers are on track to meet goals and, if needed, additional support can be provided.



Principals or Assistant Principals will be placed on an appropriate growth plan based on the professional practice rating and the overall student growth rating, as illustrated by the Kentucky Professional Growth Plan Model for Principals and Assistant Principals depicted above.

(a) An evaluatee whose professional practice rating is Exemplary, with an expected to high overall student growth rating, shall have, at a minimum, a professional growth plan with goals set by the evaluatee with evaluator input and a summative evaluation that occurs at the end of each school year.
(b) An evaluatee whose professional practice rating is Accomplished, with an expected to high student overall student growth rating, shall have, at a minimum, a professional growth plan with goals set by the evaluatee with evaluator input and a summative evaluation that occurs at the end of each school year.
(c) An evaluatee whose professional practice rating is Developing, with a high overall student growth rating, shall have, at a minimum, a professional growth plan with goals set by the evaluatee with evaluator input and a summative evaluation that occurs at the end of each school year.
(d) An evaluatee whose professional practice rating is Developing, with a low to expected overall student growth rating, shall have, at a minimum, a professional growth plan with goals determined by the evaluator; and a summative evaluation at the end of each school year.

(e) An evaluatee whose professional practice rating is Ineffective shall have, at a minimum, a professional growth plan with the goals determined by the evaluator and a summative evaluation at the end of the plan, as determined by the evaluator, not to exceed one (1) year in duration.

704 KAR 3:370 affords an opportunity to the evaluatee for both a local and state appeals process. The district is required to provide in its PGES Plan a process for an appeal to the local evaluation appeals panel. The process must include the following:

- A right to a hearing as to every appeal;
- An opportunity, five (5) days in advance of the hearing, for the evaluator and evaluatee to adequately review all documents that are to be presented to the local evaluation appeals panel; and
- A right to presence of the evaluatee's chosen representative.

A state appeals process is also in place. If certified school personnel believe that the local district is not properly implementing the evaluation plan as approved by KDE, they have the opportunity to appeal to the Kentucky Board of Education. The appeal procedure is as follows:

- The Kentucky Board of Education shall appoint a committee of three (3) state board members to serve on the State Evaluation Appeals Panel (SEAP). The SEAP's jurisdiction shall be limited to procedural matters already addressed by the local appeals panel or the district's failure to implement an evaluation plan as approved by the department. The SEAP shall not have jurisdiction of a complaint involving the professional judgment conclusion of an evaluation, and the SEAP's review shall be limited to the record of proceedings and documents therein, or lack thereof, at the local district level and any documents submitted pursuant to 704 KAR 3:370.
- No later than thirty (30) calendar days after the final action or decision at the local district level, certified school personnel may submit a written request to the chief state school officer for a review before the SEAP. An appeal not filed in a timely manner shall not be considered. A specific description of the complaint and grounds for appeal shall be submitted with the request.
- A brief, written statement, or other document that a party wishes to submit for consideration by the SEAP shall be filed with the panel and served on the opposing party at least twenty (20) days prior to the scheduled review.
- A decision of the SEAP shall be rendered within fifteen (15) working days after the review.
- A determination of district noncompliance with the local evaluation plan or absence of a district local evaluation plan shall render the evaluation void, and the certified employee shall have the right to be reevaluated.

Determinations on specific personnel decisions regarding continued employment will continue to be driven by Chapter 161 of the Kentucky Revised Statutes and local board policy.

Additional Pertinent Information

Throughout the development of the PGES, the steering committees focused on developing a system that supports the professional growth of teachers, principals and assistant principals. An appeal was made by the steering committees, KBE and KDE to wait until the rich data generated from the system is available to inform personnel decisions. The Prichard Committee convened a team on teacher effectiveness representing stakeholder groups such as the Kentucky Education Association, Kentucky Chamber of Commerce, Kentucky School Boards Association, Kentucky General Assembly, Kentucky Association of School Superintendents, Kentucky Parent Teacher Association and many others to conduct a review of issues that affect the state's efforts to expand Kentucky's workforce of high-quality teachers. The team met over a 14-month period and published their recommendations in December 2013. Two of the issues the team explored were compensation and tenure. The team recommended that Kentucky develop career pathways to professionalize teacher pay levels and encouraged the adoption of differentiated pay scales to reflect teacher expertise and activities and the status of teaching as a true profession.

In 2002, the Kentucky General Assembly passed KRS 157.075 (http://www.lrc.ky.gov/Statutes/statute.aspx?id=3274). The statute allowed local districts to differentiate compensation for teachers in order to recruit and retain teachers in critical shortage areas; help reduce the number of emergency certified teachers employed in the district; provide incentives to recruit and retain highly skilled teachers to serve in difficult assignments and hard-to-fill positions; provide career advancement opportunities for classroom teachers who voluntarily wish to participate; or reward teachers for increasing their skills, knowledge, and instructional leadership within the district or school. As required by the statute, the Kentucky Board of Education promulgated administrative regulation 702 KAR 3:310 to set guidelines for districts related to differentiated compensation. The infrastructure is in place for differentiated compensation in Kentucky. Another recommendation of the Prichard Committee team was to conduct a complete review of teacher tenure in Kentucky to determine what, if any, changes are needed that would benefit the teaching profession. KRS Chapter 161 addresses the requirements for teacher continuing status and due process. To see the recommendations of the Prichard Committee Teacher Effectiveness Team, go to http://www.prichardcommittee.org/wp-content/uploads/2013/12/FINAL-TEAM-REPORT-ON-TEACHING-12-3-13.pdf.

These recommendations, as well as Kentucky's work with the Hope Street Group, will continue to inform the work moving forward. A press release about Kentucky's work with Hope Street Group can be found at http://education.ky.gov/comm/news/Documents/R%2013-038%20Hope%20Street%20Group.pdf.

Beginning in the spring of 2015, districts will report to KDE the percentage of principals, assistant principals, and teachers in each overall performance category and the percentage of teachers on each growth plan. KDE will publicly report, by district, the aggregate number of principals, assistant principals, and teachers in each overall performance category.

KRS 156.557 requires the Kentucky Department of Education to annually provide for on-site visits by trained personnel to a minimum of fifteen (15) school districts to review and ensure appropriate implementation of the evaluation system by the local school districts. This will be a

part of the consolidated monitoring process that has already been established to review key work processes in school districts (IDEA, Title I, Title II, Preschool, Career and Technical Education). KDE will provide technical assistance to local districts to eliminate deficiencies and to improve the effectiveness of the evaluation system. Districts implementing an alternative Professional Growth and Effectiveness plan approved by the KDE pursuant to KRS 156.557(7) shall be monitored within three (3) years of the initial implementation of the alternative plan, and subsequently at the discretion of KDE. As mentioned earlier, Kenton County is the only district that has such a system, and it was approved by the Kentucky Board of Education at the April 9, 2014 meeting.

As districts are monitored, if found to be out of compliance with implementation, the Kentucky Department of Education has the authority to apply KRS 158.780 (http://www.lrc.ky.gov/Statutes/statute.aspx?id=3584) and call for a management audit which could lead to exercising state assistance or take over through the provisions of KRS 158.785 (http://www.lrc.ky.gov/Statutes/statute.aspx?id=3586).