

Principle 3; Kentucky ESEA Flexibility Request; Revised January 8, 2013

KENTUCKY
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
<p>If the SEA has not already developed any guidelines consistent with Principle 3, provide:</p> <ul style="list-style-type: none"> 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). 	<p><input type="checkbox"/> If the SEA has already developed and adopted one or more, but not all, guidelines consistent with Principle 3, provide:</p> <ul style="list-style-type: none"> 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). 	<p><input checked="" type="checkbox"/> If the SEA has developed and adopted all of the guidelines consistent with Principle 3, provide:</p> <ul style="list-style-type: none"> i. a copy of the 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); and iii. a description of the process the SEA used to involve teachers and principals in the development of these guidelines.

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

Kentucky has now selected Option C above. Yes, the Kentucky Board of Education adopted guidelines consistent with Principle 3 at its April 2012 meeting. The guidelines can be found in the form of amended regulation 704 KAR 3:345 found at [http://education.ky.gov/KBE/meet/Documents/April%202012%20704%20KAR%203345%20Reg%20\(Attach%201\).pdf](http://education.ky.gov/KBE/meet/Documents/April%202012%20704%20KAR%203345%20Reg%20(Attach%201).pdf).

Overview of Developing and Adopting Guidelines for Local Teacher and Principal Evaluation and Support Systems

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 Department of Education (KDE) includes a specific goal to create a fair and equitable system to measure teacher and leader effectiveness. The system will consist of multiple measures including student growth, professional growth, artifacts and evidences, student/parent voice, peer observations, teacher self-reflection and classroom observations. The principal effectiveness system will incorporate 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 guidelines consistent with this principle of the ESEA waiver request proposal. The development and adoption of guidelines and stakeholder involvement, the process and timeline for implementation, remaining policy decisions and the proposed monitoring and technical guidance are outlined below but will continue to be informed by ongoing, national and state research in the field.

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

Background and Stakeholder Involvement

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

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Education, colleges and universities, Education Professional Standards Board, parents, and teachers, principals and superintendents from participating volunteer districts. Membership on the steering committees has evolved over the course of the year in an effort to meet the steering committees' requests to ensure voices from the volunteer districts that are piloting the system are accurately communicated to the steering committees. Teacher and principal perspectives are a pivotal part of the efforts underway. Minutes from the Teacher and Principal Steering Committees' meetings, to date, may be accessed on the Kentucky Department of Education (KDE) website at:

<http://education.ky.gov/teachers/HiEffTeach/Pages/Teacher-and-Principal-Steering-Committees.aspx> and <http://education.ky.gov/teachers/HOT/Pages/Principal-Steering-Committee.aspx>.

Critical to the successful implementation of a new statewide effectiveness system, KDE has maintained a strong connection with the Kentucky legislature. 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 can be found as the last presentation on the page at the following link:

<http://education.ky.gov/CommOfEd/pres/Pages/default.aspx>.

More recently in June 2012, this same committee received an update on the system's development, timeline for implementation and initial field test study data. The presentation can be found as the tenth presentation on the page at the following link:

<http://education.ky.gov/CommOfEd/pres/Pages/default.aspx>

As a state, Kentucky included the six guidelines from the waiver proposal in its revised regulation (704 KAR 3:345, Evaluation Guidelines) outlining the core principles for a new teacher/principal effectiveness system. On April 4, 2012, this regulation, found at [http://education.ky.gov/KBE/meet/Documents/April%202012%20704%20KAR%203345%20Reg%20\(Attach%201\).pdf](http://education.ky.gov/KBE/meet/Documents/April%202012%20704%20KAR%203345%20Reg%20(Attach%201).pdf), was adopted by the Kentucky Board of Education ensuring a focus on growth and effectiveness for improving student learning outcomes across the state. Evidence of this adoption can be found in the April 2012 Kentucky Board of Education minutes on pages 10-12, found at

<http://education.ky.gov/KBE/meet/Documents/KBE%20Summary%20Minutes%20of%20April%202012%20mtg.pdf>. The criteria included in this regulation are outlined below:

- 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

Furthermore, the Kentucky Board of Education has directed the Kentucky Department of

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Education to commit to the following:

- no public reporting of individual teacher data;
- not supporting student growth as a single 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.

The additional commitments above also represent the feedback from the two statewide steering committees and district/school comments gathered during the 2011-2012 academic school year.

The revision of the current regulation on the certified personnel evaluation systems in the state represents a dynamic shift from individually approved evaluation systems to a statewide valid and reliable system that includes multiple measures and student growth as a significant factor. Kentucky's educational community unanimously agrees that these changes are necessary to meet the expectations of Unbridled Learning and to ensure all students are college- and career-ready.

History and Current Framework Development

In an effort to jump-start the identification of the characteristics of effective teaching practices, participating districts began almost three years ago 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 has provided technical assistance to KDE throughout the development process. Specifically, Edvantia consultants have played an instrumental role in sharing the process for validity and reliability relative to the rubric design. Changes to the initial Wallace Foundation Rubric to create the Teacher Effectiveness Framework 2.0 were an outgrowth of the regional focus group work. (3Ai,ii) This work led to the creation of a framework that would use four performance levels to meaningfully differentiate performance. The Teacher Effectiveness Steering Committee agreed to the following performance levels – exemplary, accomplished, developing and ineffective for a new effectiveness system for Kentucky.

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 the integrated design team 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. (3B)

Although KDE has received expert feedback from various technical assistance providers, including Dr. James Stronge and the Appalachia Regional Comprehensive Center, the Teacher Effectiveness Steering Committee continued to be troubled by the perceived misalignment of

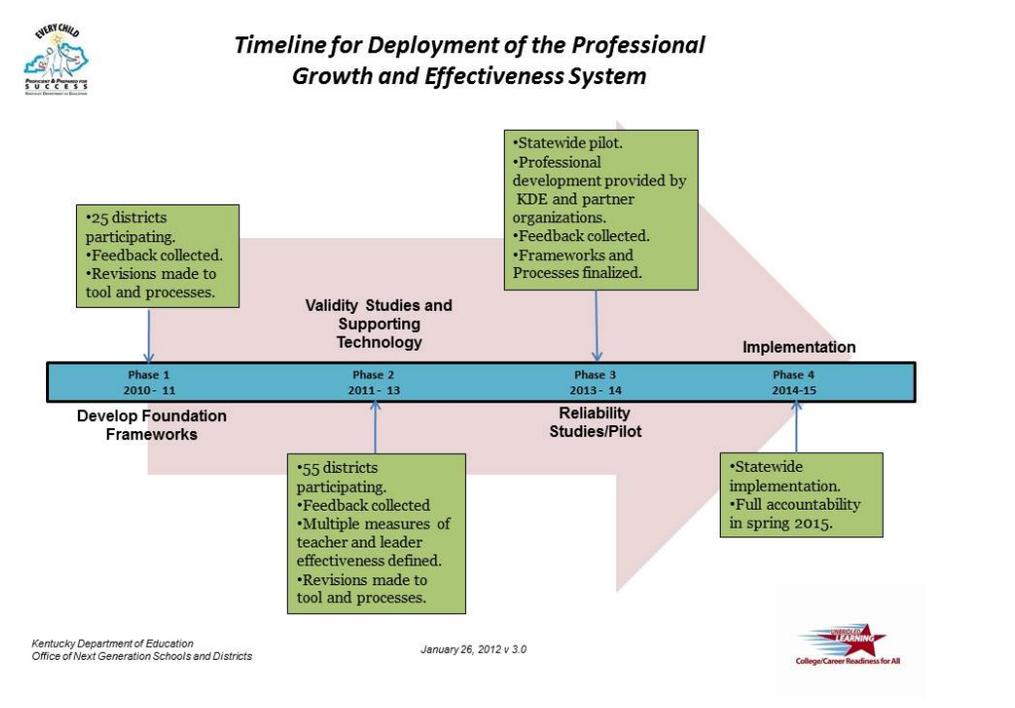
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Kentucky’s multiple measures and the framework. This was also reinforced by the early results from the 2011-2012 field test regarding the content validity of Kentucky’s original framework. Based on this information, Kentucky recently decided to abandon the original framework for teachers and adopt Charlotte Danielson’s 2011 Framework for Teaching.

The Principal Effectiveness Steering Committee has established a subcommittee to continue the design of the state principal framework. This work will be led by Dr. James Stronge in partnership with the Kentucky Association of School Administrators and will be completed within the next four months in order to begin field testing by October 2012.

Timeline and Process for Implementation

The current timeline and process for implementation of the Teacher and Principal Professional Growth and Effectiveness System is represented by the figure below:



A more detailed timeline can be found at the following link:
<http://education.ky.gov/teachers/HQT/Pages/Designing-PGES.aspx>.

The following sections present the processes that have been or will be used in the initial and

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extended field test and statewide pilot years.

Initial Field Test (2011-2012 academic school year)

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 effectiveness frameworks and specific multiple measures excluding observation. Fifty-four volunteer districts were asked to identify teachers that represent all grade levels and content areas, specifically with the criteria identifying teachers in:

- English/language arts and mathematics;
- Non-tested area (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 provides data collection opportunities across all grade levels and content areas while engaging teachers through multiple measures of effectiveness. This methodology allowed KDE to determine if the process, protocols and instrumentation are appropriate, specifically in the non-tested areas.

Additionally, the initial field test presented an opportunity for KDE to work alongside of districts/schools in testing and verifying the Teacher of Record (TOR) definitions. These definitions are necessary in order to make the appropriate linkages for teacher/student growth measures. Kentucky is 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 (CELТ) will support the work underway to ensure the critical elements are in place. Work began on this topic in early 2011. KDE launched a technology platform based on the state's student information system that has assisted in approximately 12 of the 54 districts testing and verifying their student rosters, protocols and procedures to determine system accuracy and common practices for teacher assignment and scheduling. As a part of this initial implementation, districts were able to identify gaps, establish system business requirements to ensure statewide consistency and delineate the unique linkages between students and teachers at each school level.

The CELТ has provided a framework to guide Kentucky's development process. The phases include: student and teacher roster business requirements and data verification, defining teacher role groups (contributing educators) and definition development and refinement for pilot year implementation. The first step is establishing the purpose and intent of the definition, roles within the system, how educators contribute to student growth and ultimately how the definition offers the flexibility needed to establish primary and contributing educator impact on student learning. Kentucky will continue to refine the TOR definition to meet the recommended characteristics provided by CELТ. 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

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- 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)

The field test provided the department data to determine the viability of the measures and the Kentucky Teacher Effectiveness Framework. The feedback from the participating districts/schools helped inform the decision to abandon the Kentucky-developed framework and adopt the Danielson 2011 Framework for Teaching. This decision, endorsed by the Teacher Effectiveness Steering Committee, will support the implementation of a framework that has a solid research base grounded in clear examples of domains of educator practices aimed at improving student learning outcomes. Danielson's domains include a focus on an educator's:

- Planning and Preparation
- Classroom Environment
- Instruction
- Professional Responsibilities

Kentucky will be implementing this framework and adapting it to include a fifth domain of student growth during the 2012-2013 extended field test design. Within each domain, Kentucky will maintain the language that will be used to differentiate performance into four levels (mentioned in the previous section). As a result, the extended field test year will yield data to inform the use and implementation of the framework to meet all six guidelines within this waiver.

Extended Field Test (2012-2013 academic school year)

To create a comprehensive approach to the design, development and implementation of the professional growth and effectiveness system, Kentucky will implement an additional field test year to elicit additional feedback from teachers and principals, conduct research to ensure appropriate system weights, finalize instrumentation development and determine the critical attributes to better serve teachers of English Language Learners and special education populations. Given the previous field test did not include all the system measures, the extended field test will allow districts/schools to implement the effectiveness system in its entirety including the observation measure. The Kentucky-Adapted Danielson 2011 Framework will be implemented and the artifacts and evidence from the multiple measures will be used so that the state and its districts may judge the validity of these measures in meaningfully determining the impact on student achievement. The extended field test will allow LEAs the opportunity to build capacity, access current infrastructures and try all of the multiple measures in the system with some level of fidelity. Additionally, this year will produce data for the steering committees to make informed policy decisions regarding the weighting and use of student growth and the other

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measures in the Teacher and Principal Effectiveness Systems.

The participants in the field test will have local and state assessment data to inform instructional practices and student growth needs. The data this fall (2012) will represent the first administration and implementation of the new Common Core State Standards and will represent a statewide effort to examine reading and mathematics student growth and assessment data for the effectiveness system. In the non-assessed areas the state is implementing program reviews that will require teachers to use state and national standards to identify and develop common assessments as evidence for the student growth multiple measures. In addition to the program reviews, non-assessed area teachers will demonstrate proficiency in 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.

The extended field test will present additional opportunities for KDE to verify the current TOR definitions based on the previously mentioned CELT characteristics. KDE will work more closely with districts/schools to further expand the roster verification process and the role of contributing professionals as well as establish protocols for scaling the TOR definition to account for primary (K-3) and contributing educators. Findings during the extended field test will establish models and protocols for the remaining districts/schools scheduled to implement during the statewide pilot in the 2013-2014 academic school year.

The training for the field test participants (teachers and primary observers/principals) will be conducted regionally to ensure high participation and saturation of the needed content. The Kentucky Association of School Administrators has contracted with Teachscape to ensure all primary observers are certified and meet inter-rater reliability expectations. Principals and supporting educators, including educators who work with SWDs and ELLs, participating in the formative and summative evaluation process must meet inter-rater reliability expectations. Extensive training and preparation with volunteer districts will address evaluator consistency as well as the accuracy of the observation instruments and protocols. These trainings are set for July 2012.

At the conclusion of the field test, Strategic Data Fellows working with KDE will conduct correlation studies on the multiple measures and student growth to inform the policy decisions that will still need to be made about the effectiveness system (i.e., weighting of each measure, including student growth in the overall system). Kentucky has followed the Measuring Effective Teachers (MET) Research Project carefully and will be implementing a similar research design to capture Kentucky-specific data to inform policy decisions and system deployment.

Pilot Year Implementation (2013-14 Academic School Year)

The KDE will engage the remaining 120 local districts in a readiness planning process in the fall of 2012. The goal is to establish communication planning, infrastructure development, and capacity to implement the effectiveness system. Local districts will have the flexibility to stagger the implementation bringing a few schools "on line" throughout the year. The goal of this approach is to ensure the local districts have the capacity to implement with fidelity. By March

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of 2014, local districts using this approach must have all schools trained and implementing the Professional Growth and Effectiveness System. Other districts may choose a system-wide implementation approach. The size and capacity of the districts will likely dictate which of the aforementioned approaches are used.

In the fall of 2013, the professional growth and effectiveness system will be piloted statewide to ensure inter-rater reliability and support school district capacity to implement the system. All 174 school districts will participate in the pilot implementation. Districts will select schools and appropriate staff based on selection criteria. (See Attachment 24 on page 265 of the Appendix). KDE staff, including regional staff will provide training and professional development on the effectiveness system. Inter-rater reliability training and assessments will be conducted using the Teachscape certification process led by the Kentucky Association of School Administrators. The training and preparation for the pilot implementation will be conducted regionally in collaboration with education cooperatives. The goal is to build capacity regionally to support the fidelity of implementation.

Universities and colleges represent another regional partner in the implementation of the new Professional Growth and Effectiveness System. Collaboration with university partners is essential, specifically in the areas of education leadership and teacher preparation. The Education Professional Standards Board (EPSB) will assist 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 has agreed to align the standards for the internship program with the Kentucky-Adapted Teacher and Principal Professional Growth and Effectiveness Frameworks.

District and regional meetings will continue monthly to gather feedback and inform the technical assistance and support services, specifically targeting feedback and input on the instrumentation used, TOR definitions and data, and process and capacity to implement. KDE staff, including regional staff, will support districts and schools through this pilot implementation phase. KDE Strategic Data Fellows will conduct periodic reviews of the effectiveness system's implementation to ensure fidelity to implementation and continuous support. The data collected from the reviews and technical assistance visits will inform the development of the state's monitoring protocols and procedures.

Remaining Policy Decisions

Over the past year, the Kentucky Board of Education (KBE) has engaged in at least two study sessions and several conversations focused on human capital issues. During the December 2011 board meeting, KBE members heard an introduction of regulatory language and an update on the development of Kentucky's new teacher and principal effectiveness system. KDE staff outlined specific shifts in the current statutory and regulatory language in order to meet the guidelines within this waiver proposal. At the April 2012 meeting, the guidelines were approved in the form of revisions to 704 KAR 3:345.

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The KBE will focus many of their upcoming conversations during the 2012-2013 academic school year on the anticipated changes to policy, specifically addressing the challenges in evaluating special educators and ELL educators. The KBE has already requested additional information on how the system will “ensure the evaluation framework can identify and provide the professional development needs of special educators and ELL specialists and detect improvements in practice resulting in sustained job-embedded professional development.” Additionally, the board will discuss the established requirements for evaluator training that includes explicit training on the teacher effectiveness measures and support for principals and primary observers in providing meaningful feedback based on student growth data.

The KBE has maintained an option within the guidelines for school districts to develop their own system of effectiveness as long as it meets the state’s expectations for validity and reliability. Additional changes in regulation will highlight specific components related to tenured and non-tenured staff and evaluation processes for specialty educators (i.e., special education teachers and ELL teachers) as well as appeal procedure guidelines. These additional changes to the regulatory language will be informed by the 2012 -2013 extended field test so that the Kentucky Department of Education (KDE) has the appropriate input from general and special educators from the participating districts.

The KBE will continue to be informed by the Measuring Effective Teaching (MET) project, the state research endeavors that are underway and the recommendations of the statewide steering committees. For a summary of the steering committees’ major recommendations to date, use the following links: <http://education.ky.gov/teachers/HiEffTeach/Pages/Teacher-and-Principal-Steering-Committees.aspx> and <http://education.ky.gov/teachers/HQT/Pages/Principal-Steering-Committee.aspx>.

Critical decisions will be made regarding principal or primary observer case load for observations, inter-rater reliability and calibration, the role of specialty teachers in the system (i.e., ELL educators and teachers of students with disabilities) and adequately determining the Teacher of Record.

Proposed Effectiveness System Monitoring

KDE will develop a comprehensive monitoring system to support system implementation, data accuracy and integrity, as well as technical assistance to school districts identified as being in Teacher Quality Improvement Status and Teacher Quality Accountability Status. During the pilot year of implementation, KDE will work with education partners and school districts to develop the monitoring system. As part of the Continuous Instructional Improvement Technology System (CIITS) implementation, KDE will develop a district- and state-level data collection module to meet the reporting requirements of the state’s accountability system. The data collection module found in the Educator Development Suite of CIITS will provide school districts the opportunity to gather data on the performance levels of educators to inform the equitable distribution of effective educators. Additionally, school districts will have access to professional growth data to target professional development needs based on student achievement. Kentucky’s Race to the Top 3 application will facilitate district/school support in the overall implementation and

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monitoring of this system.

The state portion of the data collection Educator Development Suite module provides two key elements. First, state-level reporting of effective educators is a component within the accountability system. Second, the data collection module allows the state to monitor district- and school-level performance ratings to determine growth of educators and inter-rater consistencies of evaluators, as well as professional growth needs to support district-level capacity. As an added benefit, the aggregate data at the state level will be shared with the Education Professional Standards Board for its data dashboard on the effectiveness of preparation programs. The statewide pilot year for the professional growth and effectiveness system is scheduled to begin in fall 2013. The first year of accountability for the professional growth and evaluation system will be the 2014-15 school year.

Teacher and Leader Effectiveness and Statewide Accountability

Next-Generation Professionals is the third pillar of the state’s accountability model and comprises 10 percent of the state’s Annual Measurable Objective (AMO) formula. The vision for the teacher and principal effectiveness portion of the AMO calculation will mirror the process articulated within the gap measure explained on page 35. School districts will be held accountable for the professional growth of all educators and specifically for those performing below the accomplished performance level in the professional growth and effectiveness system. Baseline data will be collected in the spring of 2015. Targets will be set to increase the percentage of accomplished educators and ultimately increase college and career readiness. The professional growth and effectiveness system will provide data to target support to teachers and leaders in Focus and Priority Schools.

Under the current teacher quality model, only highly qualified teacher (HQT) data are reported. The opportunity through the ESEA waiver process allows Kentucky to shift from a pure HQT accountability approach outlined in Title II, Part A to measuring teacher and principal effectiveness to facilitate College and Career Readiness for All. The proposed approach will identify school districts that do not meet the expectations in the accountability model. The flexibility offered through the waiver will allow Kentucky to guide school districts to maximize the use of federal funds to meet the needs of students while enhancing the effectiveness of teachers and principals.

A revised Kentucky project plan detailing the development of the Professional Growth and Effectiveness System to meet Option C, item i., is attached. (Note: This will replace Attachment 25 on page 266 of the Appendix when all parts of the waiver are put back together into one document, since Principles 1 and 2 are being reviewed separately.)

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

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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?

Overview of Ensuring LEAs Implement Teacher and Principal Evaluation and Support Systems

The use of two statewide steering committees is essential to the development process for the statewide effectiveness system. The charge to the committees is to "provide guidance on the design, development and deployment of the Teacher and Principal Professional Growth and Effectiveness Systems (PGES)." The steering committees' membership include regular and special education teachers, principals, superintendents and representatives from AdvancEd, Council on Postsecondary Education, Prichard Committee, Partnership for Successful Schools, Educational Professional Standards Board, Kentucky Education Association, Kentucky Association of School Councils, Kentucky Association of School Superintendents, Kentucky Association of School Administrators, Kentucky School Boards Association, Kentucky Parent Teacher Association and university faculty from teacher and principal preparation programs (3B).

The Kentucky Department of Education also extended an invitation to school districts asking for volunteers to develop two frameworks that would define "effectiveness" for the Professional Growth and Effectiveness System. Twenty-five districts answered the call for the 2010-11 school year. The volunteer districts represented rural and urban areas from four regions of the state. A focus group process was established to engage teachers and principals from a variety of content areas and grade levels. The goal was to implement a grassroots approach in the development of the professional growth and effectiveness system. Data were collected at the district and regional levels to establish consistency across the volunteer districts. The synthesized data were submitted to the statewide steering committees for further guidance or approval. Additional volunteer districts were identified in July 2011, bringing the total participants to approximately 50 school district teachers and leaders. Additionally, the original 25 volunteer districts were polled to determine ways to improve the implementation of the professional growth and effectiveness system. Of the original 25 districts, 17 responded acknowledging the value of participation in the development process. Many stated having the opportunity to shape the development of the system has created a sense of ownership that will aid in the implementation of the final product.

Detailed Narrative on Ensuring LEAs Implement Teacher and Principal Evaluation and Support Systems

In the summers of 2010 and 2011, representatives from the steering committees and volunteer districts presented to the Kentucky General Assembly's Interim Joint Committee on

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Education. The charge from the committee was to continue the development process involving as many stakeholders as possible. The collected information from volunteer districts along with steering committee guidance and recommendations was submitted to the Kentucky Board of Education (KBE) at its December 7, 2011, meeting in the form of an effectiveness framework (guidelines for measured effectiveness), guiding principles for the professional growth and effectiveness system and regulatory language to implement the system statewide. The board was asked to provide feedback to Kentucky Department of Education (KDE) staff prior to bringing back the regulation for review and then final approval in the spring of 2012.

KRS 156.557(3) (c) requires the KBE to develop written guidelines for school districts to follow in developing and implementing an evaluation system for certified employees. The related administrative regulation establishes the requirements for the evaluation programs and policies of school districts. The current statute identifies the process for assessing certified staff, roles involved in certified evaluations and the components of the system. In section two of the statute cited above, school districts are required to develop an evaluation plan and procedures that must be approved by KDE. Administrative regulation 704 KAR 3:345 establishes specific guidelines for school district evaluation plan approval and underwent revision in spring of 2012.

The changes to the aforementioned regulation identify the components of the new system, specifically changing the individual district evaluation plan approval process to a statewide system adoption. Recommendations from the statewide steering committees shaped the policy changes in 704 KAR 3:345 submitted to the KBE in April 2012. The regulatory process also included input from the Local Superintendents Advisory Council and Teacher and Principal Advisory Councils.

Components of the statewide system will include clearly articulated standards, multiple measures of effectiveness and four distinct performance levels. The regulation offers some flexibility to school districts seeking to develop their own evaluation system. However, the KDE anticipates that the KBE will establish strict criteria for any locally developed evaluation systems in order to ensure these systems meet the same validity and reliability standards.

Collaboration with the Council on Postsecondary Education and the Education Professional Standards Board is essential to the development of the Professional Growth and Effectiveness System (PGES). The involvement through the P-20 data collaboration, principal preparation program redesign and the teacher preparation and induction program review process have identified ways to connect teacher and leader preparation to teacher and leader performance.

At each stage of the development process, volunteer districts' input will inform steering committee decisions on the development of the four domains, performance levels and the descriptors outlining expected practices for each performance level. The decision-making process is designed to elicit feedback from practitioners and gain consensus and support from all education partners involved. Recently the Teacher Effectiveness Steering Committee recommended the adoption of the Danielson 2011 Framework for Teaching. KDE adapted the Danielson Framework to include the identified multiple measures and performance levels. KDE will conduct an extended field test beginning in the fall of 2012 using the Kentucky-Adapted Danielson 2011 framework. Additional data will be gathered to further refine the

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effectiveness system implementation. Ultimately, the volunteer district input informs the decision making of the statewide steering committees that leads to making recommendations to the KBE.

In addition, KDE has entered into a three-year partnership with the Bill and Melinda Gates Foundation to implement an integration grant that will use the PGES to support English and math teachers as they teach the state-adopted English/language arts and mathematics Kentucky Common Core Standards. The implementation of this grant will allow us to use the tools developed during the Measures of Effective Teaching (MET) Project to train the peer observers and evaluators to support educator professional growth through meaningful feedback. The video-based professional development for peers and evaluators will further support the inter-rater reliability and validity of the effectiveness system.

Obtaining a waiver from current requirements for use of federal funds would allow Kentucky to implement a system of support to provide technical assistance and accountability that aligns with the Kentucky Professional Growth and Effectiveness System as well as provide critical support to Kentucky's 41 Priority Schools. The Kentucky Department of Education proposes that identification of the districts currently identified as 2141(a) and 2141(c) be modified and allow flexibility regarding the use of federal funds. Modification of Section 2141 will not only increase the percentage of highly qualified teachers, but will improve teacher and leader effectiveness resulting in the achievement of Kentucky's Unbridled Learning: College- and Career-Ready for All goals and an increase in effective teaching and learning. The Professional Growth and Assessment System data will provide additional data for Priority Schools to support state level targeted assistance to ensure students benefit from the growth and effectiveness of educators in the Priority Schools.

Proposed modifications include the following:

- Districts formerly identified as being in 2141(a) status would be identified as districts in Teacher Quality Improvement Status. Criteria for District Teacher Quality Improvement Status would include:
 - For two consecutive years the district has not maintained 100% highly qualified teachers as identified through the March LEAD Report from the Education Professional Standards Board; AND
 - The district has 15% or more of its teacher or leader workforce at the Ineffective performance level as identified by the Teacher and Leader Professional Growth and Effectiveness System; AND
 - The district has not met the Unbridled Learning Annual Measureable Objective (AMO) for two consecutive years.

Districts identified as being in Teacher Quality Improvement Status would be required to incorporate Teacher Quality Improvement Plans as part of the comprehensive school and district planning process. The plan must include scientifically-based research strategies to meet 100 percent HQT status, increase the percentage of Accomplished Teachers according to the Teacher and Leader Professional Growth and Effectiveness

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System and meet the district's AMO with the outcome of improved student learning. The plan must be developed by the district, in consultation with principals, teachers, school councils and parents. The plan must be completed within 30 days of the district being notified of the Teacher Quality Improvement identification.

- Districts formerly identified as being in 2141(c) status would be identified as districts in Teacher Quality Accountability Status. Proposed Criteria for District Teacher Quality Accountability Status includes:
 - For three consecutive years the district has not maintained 100% highly qualified teacher status as identified through the March LEAD Report from the Education Professional Standards Board; AND
 - The district has 15% or more of its teacher or leader workforce at the Ineffectiveness performance level as identified by the Teacher and Leader Professional Growth and Effectiveness System; AND
 - The district has not met the Unbridled Learning Annual Measurable Objective for three consecutive years.

Districts identified as being in Teacher Quality Accountability Status would incorporate Teacher Quality Accountability Plans as part of the comprehensive school and district planning process. The plan must include scientifically-based research strategies to meet 100 percent HQT status, increase the percentage of Accomplished Teachers according to Teacher and Leader Professional Growth and Effectiveness Systems and meet the district's AMO. This plan also must include a funding agreement that targets resources, including, but not limited to federal funds for the use of achieving the aforementioned goals. The funding agreement must support specific strategies identified in the Teacher Quality Accountability Plan to improve teacher and principal practices designed to increase student growth and achievement. Funds may be targeted in a way to build capacity and ensure sustainability for continuous growth and achievement. While a district is in Teacher Quality Accountability status, the Teacher Quality Accountability Plan will serve as the guide for technical assistance ensuring flexibility and the maximum use of federal funds. This plan must be developed by the district, in consultation with principals, teachers, school councils and parents. The plan must be developed and submitted to the Kentucky Department of Education within 45 days of the district being notified of the Teacher Quality Accountability identification.

The Kentucky Department of Education will transition to the Teacher Quality Improvement and the Teacher Quality Accountability status criteria in the 2014-15 school year.

Parent Notification

Districts identified as being in Teacher Quality Improvement Status **or** Teacher Quality Accountability Status must notify all parents of this status within 10 days of being notified by the Kentucky Department of Education. The letter must include:

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- definition of the status
- reason the district was identified
- percentage of highly-qualified teachers providing instruction in core content areas
- strategies the district is using to improve teaching and learning

District Support

The Kentucky Department of Education will provide differentiated levels of support based upon the identified needs of the district. These services may include training for local school-based decision making councils, equitable distribution of staff, school improvement through enhanced teaching and learning working conditions and comprehensive recruitment and retention strategies. Districts can expect technical assistance with the incorporation of the Teacher Quality Improvement Plan and Teacher Quality Accountability Plan as part of the school and district planning process, determining effective use of funds and other areas of need that could include inter-rater reliability training and systematic professional growth supports. The aforementioned services are not inclusive and may be delivered in a variety of ways including but not limited to regional technical assistance services, Web conferencing and on-site visits.

All districts newly identified as being in Teacher Quality Accountability Status will receive an onsite technical assistance/monitoring visit. The visit would determine the area where additional supports are necessary to reach 100 percent Highly Qualified Status and improve teacher and leader effectiveness as well as meet the Annual Measureable Objective of College and Career Readiness.

Proposed Use of Funds and Waiver Flexibility Opportunities

Currently, federal funds must target funds to schools that have the lowest proportion of highly qualified teachers; schools identified for improvement, corrective action or restructuring; or schools having the largest average class size. A waiver regarding the use of federal funds would allow the Kentucky Department of Education (KDE) to focus not only on the highly qualified status of teachers and leaders, **but also on the improvement of their effectiveness**, which ultimately improves student growth and achievement. Additionally, KDE would be able to focus on the equitable distribution of teachers to reduce the disproportionate number of minority, low socio-economic and other populations of students being taught by ineffective, non-highly qualified and inexperienced teachers. A critical focus on the professional growth and development of educators must address the student growth needs at every school in the Commonwealth.

The use of funds would continue to be the focus of meeting the professional development needs of teachers and administrators. The flexibility would move school districts away from the traditional use of funds to hire class-size reduction teachers toward an approach to assess the student and/or professional growth needs. There is little research to support that the reducing of class size has a profound effect on student growth and achievement, unless the student-teacher ratio is drastically diminished. Therefore, districts identified as being in

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Teacher Quality Improvement Status would not be allowed to hire additional class-size reduction staff beyond current staffing levels. Also, districts would not be allowed to hire additional paraeducators beyond current funding levels. Kentucky's theory of change has a clear, driving assumption that increasing effective teaching will improve student learning outcomes, as explained on page 16 of this waiver request.

Federal funds would be redirected to focus on areas of need that have often been implemented with little or no funding, such as recruitment and retention of highly effective teachers and leaders and salaries for staff whose focus is the improvement of teacher and leader effectiveness. KDE recognizes the valued opportunity to focus on student growth needs through this waiver. The development of the professional growth and effectiveness system, along with the flexibility and redirection of federal funds, will provide the support and leverage needed to reach the state's college and career readiness goals.